

FINAL SUPPORTING STATEMENT FOR  
10 CFR PART 55, OPERATORS' LICENSES

(OMB CLEARANCE NO. 3150-0018)

Extension

DESCRIPTION OF THE INFORMATION COLLECTION

The Nuclear Regulatory Commission's regulations in 10 CFR 55 establish: (1) procedures and criteria for the issuance of licenses to operators and senior operators of utilization facilities (which are licensed pursuant to the Atomic Energy Act of 1954, as amended, 10 CFR 50, and 10 CFR 52); (2) the terms and conditions upon which the Commission will issue or modify the operators' licenses; and (3) the terms and conditions to maintain and renew the operators' licenses.

The majority of the information collection requirements related to 10 CFR 55 apply to the holders of, and applicants for, utilization facility operating licenses (as defined in 10 CFR 50 and 52). Several of the information collections apply to the holders of, or applicants for, an individual operator's license (i.e., operators and senior operators as defined in 10 CFR 55). The information collections are necessary to permit the timely examination of applicants, operators, and senior operators as well as the issuance and renewal of operator licenses.

This supporting statement provides a comprehensive overview of the information collection requirements specified in 10 CFR 55. The burden hours associated with NRC Form 396, "Certification of Medical Examination by Facility Licensee" (OMB Clearance No. 3150-0024), NRC Form 398, "Personal Qualification Statement – Licensee" (OMB Clearance No. 3150-0090) and NRC Form 536, "Operator Licensing Examination Data" (OMB Clearance No. 3150-0131) are contained in the supporting statements for their associated OMB Clearances and are not included.

In addition to the regulations, three NRC Regulatory Guides and two NUREG reports provide guidance on acceptable methods of implementing the regulations. These Regulatory Guides and NUREG reports are:

1. Regulatory Guide 1.134 - Medical Evaluation of Licensed Personnel at Nuclear Power Plants (Revision 4), September 2014 (facility licensees may continue to use the earlier versions).
2. Regulatory Guide 1.149 - Nuclear Power Plant Simulation Facilities for Use in Operator Training and License Examinations (Revision 4), April 2011 (facility licensees may continue to use the earlier versions).
3. Regulatory Guide 1.8 - Qualification and Training of Personnel for Nuclear Power Plants (Revision 3), May 2000 (facility licensees may continue to use the earlier versions).
4. NUREG-1021 - Operator Licensing Examination Standards for Power Reactors (Revision 10), December 2014.

5. NUREG-1478 – Operator Licensing Examiner Standards for Research and Test Reactors (Rev.2), June 2007.

A. JUSTIFICATION

1. Need for and Practical Utility of the Collection of Information

Holders of facility operating licenses (67 nuclear power sites and 31 non power sites) under 10 CFR Parts 50 and 52, and holders of, and applicants for individual operator licenses (numbering approximately 4,700) under 10 CFR Part 55, shall submit the following items in accordance with the following:

§55.11: Application for exemption from the requirements of the regulations in 10 CFR 55. Facility licensees are expected to comply with the regulations unless they provide sufficient information for the Commission to determine that a specific exemption is authorized by law, will not endanger life or property, and is otherwise in the public interest.

§55.23, 55.31(a) (6), and 55.57(a) (6): NRC Form 396, "Certification of Medical Examination by Facility Licensee" (currently approved under OMB Clearance No. 3150-0024).

§55.25: Notification to the Commission within 30 days of learning of the diagnosis of a licensed operator's permanent physical or mental disability. Submittal of NRC Form 396 is required if a license restriction is requested (currently approved under OMB Clearance No. 3150-0024).

§55.27: Report medical qualifications data to Commission upon request (currently approved under OMB Clearance No. 3150-0024).

§55.31(a) and (d): Application that a written examination and operating test be administered and certification on NRC Form 398, "Personal Qualification Statement - Licensee," that the applicant has completed the facility licensee's requirements for licensing (currently approved under OMB Clearance No. 3150-0090). In practice, per NUREG-1021, power reactor facility licensees must also submit a written request for the NRC to administer the generic fundamentals examination (GFE) in advance of the formal license application.

§55.31(b): Additional information as necessary for the NRC to determine whether to grant or deny the license application or revoke, modify or suspend the license.

§55.35: Certification on NRC Form 398 that the applicant is ready for reexamination and a statement that describes the extent of the applicant's retraining (currently approved under OMB Clearance No. 3150-0090).

§55.40(a) and (d): Information regarding exam content for operators. This information is needed for the NRC to prepare the site-specific written and operating tests that applicants must pass in order to obtain an operator's license.

§55.40(b) (1) and (3): The written examinations required by §55.41 and §55.43 and the operating tests required by §55.45. In lieu of submitting information from which the NRC will prepare the licensing examinations, power reactor facility licensees may prepare the examinations themselves and submit them to the NRC for review and approval.

§55.40(c): Written request for the NRC to prepare, proctor, and grade the required licensing examinations. Preparing a site-specific power reactor licensing examination requires significantly more resources than reviewing and approving a facility-prepared examination; therefore, a written request provides the basis to budget and schedule the resources. NRC Form 536 (currently approved under OMB Clearance No. 3150-0131) can be used for this purpose.

§55.46(b): Power reactor facility licensees that propose to use a simulation facility, other than a plant-referenced simulator, or the plant in the administration of operating tests under §55.45(b) (1) or (3) shall request approval from the Commission. This is necessary to ensure the consistency and validity of the operating tests upon which licensing decisions are based.

§55.47: Request for waiver of examination and test requirements on NRC Form 398 (currently approved under OMB Clearance No. 3150-0090).

§55.57(a): Certification on NRC Form 398 that the renewal applicant has competently and safely discharged the license responsibilities and satisfactorily completed the requalification program during the effective term of the current license (currently approved under OMB Clearance No. 3150-0090).

§55.59(a)(2)(iii): In lieu of the Commission accepting a certification by the facility licensee that the licensee has passed written examinations and operating tests administered by the facility licensee within its Commission-approved program developed by using a systems approach to training under paragraph (c) of this section, the Commission may administer a comprehensive requalification written examination and an annual operating test.

§55.59(c): Have a requalification program and, upon request, submit to the Commission a copy of comprehensive requalification written examinations or annual operating tests. This improves efficiency by enabling the NRC staff to review these materials before traveling to the site for a licensed operator requalification program inspection.

- b. Facility licensees are required to maintain the following documentation:

§55.27: Retain medical qualifications data (currently approved under OMB Clearance No. 3150-0024).

§55.40(b)(2): Establish, implement and maintain procedures to control examination security and integrity and have them available during facility inspections.

§55.46(d)(1): The results of the simulation facility performance tests are required to be retained for four years after completing the tests or until superseded by updated test results. The NRC staff will review uncorrected performance deficiencies to ensure that the operating tests administered per §55.45(b) are valid.

§55.53(f): Certification that the qualifications and status of a licensee who has not been actively performing the functions of an operator are current and valid. This certification, which, in practice, is not submitted to the NRC but subject to inspection on-site, ensures that licensed operators who have not maintained their watch-standing proficiency are fully qualified before they are allowed to resume licensed duties.

§55.59(b): Evidence of successful completion of additional training, if necessary. Licensed operators are required to complete a requalification training and examination program to maintain the knowledge, skills, and abilities needed to safely perform licensed duties. Included with 55.59(c)(5)(I) reporting.

§55.59(c)(5)(I): Maintain records of operator participation in the requalification program until the operator's license is renewed. This enables the facility licensee to certify, pursuant to §55.57(a) (4), that a license renewal applicant has satisfactorily completed the requalification program during the 6-year term of the license.

## 2. Agency Use of Information

The NRC will use the reports and records required by 10 CFR 55 for one or more of the following purposes:

- preparation, review, and approval of the written examinations and operating tests used to determine if the applicants for operator licenses have learned to operate the facility competently and safely and, additionally, and to determine if applicants for senior operator licenses have learned to safely and competently direct the activities of licensed operators;
- review and approval of operator license applications (initial, retake, upgrade and renewal);
- review and evaluation of the licensed operator requalification programs conducted by facility licensees; and
- review of facility licensees' plans for, and performance testing of, simulators.

3. Reduction of Burden through Information Technology

There are no legal obstacles to reducing the burden associated with this information collection. The NRC encourages respondents to use information technology when it would be beneficial to them. The NRC issued a regulation on October 10, 2003 (68 FR 58791), consistent with the Government Paperwork Elimination Act, which allows its licensees, vendors, applicants, and members of the public the option to make submissions electronically via CD-ROM, e-mail, special Web-based interface, or other means. It is estimated that approximately 90% of the potential responses for 10 CFR Part 55 (not including NRC Form 396 and NRC Form 398) are filed electronically. 100% of draft examinations and back-up information are submitted to the NRC and reviewed by the NRC electronically.

4. Effort to Identify Duplication and Use Similar Information

No sources of similar information are available. There is no duplication of requirements. The NRC has in place an ongoing program to examine all information collections with the goal of eliminating all duplication and/or unnecessary information collections.

5. Effort to Reduce Small Business Burden

No small businesses are affected by these information collection requirements.

6. Consequences to Federal Program or Policy Activities if the Collection Is Not Conducted, or is Conducted Less Frequently

The information collections under 10 CFR 55, with the exceptions of the NRC Form 396, the NRC Form 398 and the NRC Form 536, are conducted "one time only" or "as required." No other frequency of collection is assigned. If the information collections were not conducted, the NRC would not be able to fulfill its statutory responsibility to determine the qualifications of applicants for operator licenses, including the preparation and approval of initial operator licensing examinations, or to oversee simulator and requalification training and examination programs.

7. Circumstances Which Justify Variation from OMB Guidelines

Procedures must be retained for the life of the facility license. Operators are licensed for 6 years and facility licensees must retain certifications and other data associated with operator licenses for inspection by the NRC to ensure operational safety at nuclear reactor facilities.

8. Consultations Outside the NRC

Opportunity for public comment on the information collection requirements for this clearance package was published in the Federal Register on October 1, 2015 (80 FR 59200). As part of the public consultation process, in October 2015, NRC staff

contacted by email two research and test reactors licensees (Pennsylvania State University and National Institute of Standards and Technology) three operating reactor licensees (Florida Power & Light, Duke Energy and NextEra Energy) and a nuclear vendor from Curtiss-Wright Corporation. No comments were received.

9. Payment or Gift to Respondents

Not applicable.

10. Confidentiality of Information

Confidential and proprietary information is protected in accordance with NRC regulations at 10 CFR 9.17(a) and 10 CFR 2.390(b).

11. Justification for Sensitive Questions

The NRC uses the information from the NRC Form 396 for determining that the applicant or operator licensee's medical condition and general health will not adversely affect the performance of assigned operator job duties or cause operational errors endangering public health and safety. The NRC Form 398 is used for determining that the applicants or operator licensees meet the non-medical qualification requirements to become licensed reactor operators or senior reactor operators. The Commission bases its findings upon the certifications by facility licensees as detailed on these forms.

12. Industry Burden and Burden Hour Cost

The annual reporting and recordkeeping burdens summarized below are detailed in Tables 1 and 2.

Total burden hours are: 212,052 (188,647 reporting + 23,405 recordkeeping).

Total burden cost: \$56,829,936 (\$50,557,396 reporting + \$6,272,540 recordkeeping)

Total respondents and recordkeepers: 98 (67 Power sites + 31 Non-power sites).

13. Estimate of Additional Industry Costs

NRC has determined that the storage and equipment costs per square foot are approximately \$45. The quantity of records to be maintained is proportional to the recordkeeping burden. Based on the number of pages maintained for a typical clearance, the records storage cost has been determined to be equal to 0.04 percent of the recordkeeping burden cost. The storage cost for this clearance is \$2,509 (23,405 recordkeeping hours x \$268 per hour x .0004).

The annual cost to reproduce the examinations for initial operator licensing is estimated to be \$5,000 (50 licensee sites x 1000 pages per examination x \$.10 per page).

Total Other Additional Costs are \$7,509 (\$2,509 + \$5,000).

14. Estimated Annualized Cost to the Federal Government

The annual burden and cost to the Federal Government is shown on Table 3. The total annual Federal Government burden is 15,899 hours and the total annual Federal Government cost is estimated to be \$4,260,932. This cost is fully recovered through the fee assessment to NRC licensees pursuant to 10 CFR 170 and/or 171.

15. Reasons for Change in Industry Burden and Cost

The industry burden increased by 46,152 hours from 165,900 to 212,052 hours. These changes are based on NRC and industry staff experiences and are specifically addressed below.

In general, the number of respondents licensed under 10 CFR Parts 50 and 52 decreased by 3 from 101 to 98 (67 Power Sites + 31 Non-power Sites) due to the decommissioning of 3 power sites in 2013.

Overall, the estimated reporting burden increased, while the estimated recordkeeping burden decreased, as follows:

	BURDEN HOURS		
	Previously approved	Current Request	Change
Reporting	132,226	188,647	56,421
Recordkeeping	33,674	23,405	-10,269
TOTAL	165,900	212,052	46,152

Two requirements account for most of the burden increase for reporting:

- The NRC staff increased the estimated burden for 55.40(b)(1) and (3), for written examinations and operating test-implementation, based on program knowledge and informal industry feedback. The estimated burden per response was increased from 2,250 hours to 2,500 hours. With 45 estimated responses, the overall burden estimate for this requirement increased by 11,250 hours, from 101,250 (45 responses x 2,250 hours) to 112,500 (45 responses x 2,500 hours).
- The NRC staff increased the estimated burden for 55.59(a), for requalification of licenses when the Commission may administer a comprehensive requalification written examination and an annual operating test. Previously, this was estimated to take 100 hours for one licensee. In this submission, NRC increased the estimated burden for this requirement based on program knowledge and informal industry feedback. The estimated burden for this renewal is 1,270 hours per response for 67 power reactors, for a total burden of 85,090, an increase of 84,990 hours.

In addition to the increases noted, there was one notable decrease in estimated reporting burden:

- The burden estimate for reporting under 50.59(c) was adjusted for requalification

of licenses for those who have a requalification program and, upon request, submit to the Commission a copy of comprehensive requalification written examinations or annual operating tests. The burden was adjusted from 262 hours per response for 70 power reactor sites (18,340 hours) to 6 hours per response at 67 sites (402 hours). The change in this estimate resulted in a decrease of 17,938 hours.

In addition, there were two major decreases in recordkeeping burden:

- The burden estimate for 50.59(a)(2) for records associated with requalification of licenses, decreased from 158 hours for 70 power reactor sites (11,060 hours) to 1 power reactor site at 160 hours (160 hours), a decrease of 10,900 hours.
- The burden estimate for 55.59(c) decreased for maintaining records of operator participation in the requalification program until the operator's license is renewed. The previous estimate was 260 hours for 70 power reactor sites for a total of 18,200 hours. The current estimate is 32 hours at 67 power reactor sites for a total of 2,144, a decrease of 16,056 hours.

Other less significant changes, based on NRC staff experience include:

- 55.11 – The power site burden per response increased by 15 hours from 40 to 55 hours based on averaged actual sites' experiences reported to the NRC.
  - 55.31(b) – The power site burden increased by 20 hours from 4 to 24 hours.
- 55.11 – The burden decreased for power sites decreased by 10 hours from 55 to 45 hours.
- 55.40(a) – The estimated burden hours per response decreased for power sites by 43 hours from 55 to 12 hours because of the increased use of electronic transfer of examination information and materials.
- 55.40 (d) – The burden hours per response decreased for non-power sites by 3 hours from 5 to 2 hours.
- 55.59(a) (2) (ii) – The burden hours per response decreased for non-power sites by 3 hours from 5 to 2 hours.
- 55.59(c) – The burden hours per response decreased for non-power sites by 8 hours from 16 to 8 hours.
- 55.40(b) (2) – The burden per response increased for power sites by 4 hours from 16 to 20 hours.
- 55.46(d) (1) – The burden per response for power sites increased by 14 hours from 30 to 44 hours.
- 55.59(c) (5) (I) – The burden per response for power sites increased by 15 hours from 260 to 275 hours.
- 55.40(b) (2) does not apply to non-power sites. They were inadvertently included in previous extensions are being removed beginning with this extension. The burden decreased by a total of 341 hours from 341 to 0.

In addition, the hourly rate used to calculate licensee costs has decreased from \$274/hr. to \$268/hr.

16. Publication for Statistical Use



This information will not be published for statistical use.

17. Reason for Not Displaying the Expiration Date

The recordkeeping and reporting requirements for this information collection are associated with regulations and are not submitted on instruments such as forms or surveys. For this reason, there are no data instruments on which to display an OMB expiration date. Further, amending the regulatory text of the CFR to display information that, in an annual publication, could become obsolete would be unduly burdensome and too difficult to keep current.

18. Exceptions to the Certification Statement

There are no exceptions.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Not applicable.

TABLE 1: ANNUAL INDUSTRY REPORTING REQUIREMENTS

Section	Descriptions	Number of Respondents	Responses Per Respondent	Total Number of Responses	Burden per Response	Total Burden Hours	Cost at \$268/Hour
55.11	Specific Exemptions	2 Power Sites	1	2	45	90	\$24,120
55.11	Specific Exemptions	1 Non-power Site	1	1	55	55	\$14,740
55.31(b)	Applications- How to Apply	35 Power Sites	1	35	24	840	\$225,120
55.40(a)	Written Examinations and Operating Test-Implementation	45 Power Sites	1	45	12	540	\$144,720
55.40(d)	Written Examinations and Operating Test-Implementation	25 Non-power Sites	1	25	2	50	\$13,400
55.40(b)(1) and (3)	Written Examinations and Operating Test-Implementation	45 Power Sites	1	45	2250	101,250	\$27,135,000
55.53(g)	Conditions of licenses	4 Power Sites	1	4	4	16	\$4,288
55.53(g)	Conditions of licenses	1 Non-power Site	1	1	4	4	\$1,072
55.59 (a)	Requalification of licenses	67 Power Sites	1	67	1270	85,090	\$22,804,120
55.59 (a)	Requalification of licenses	31 Non-power Site	1	31	2	62	\$16,616
55.59(c)	Requalification of licenses	67 Power Sites	1	67	6	402	\$107,736
55.59(c)	Requalification of licenses	31 Non-power Sites	1	31	8	248	\$66,464
TOTAL REPORTING		98		354		188,647	\$50,557,396

**TABLE 2: ANNUAL INDUSTRY RECORDKEEPING REQUIREMENTS**

Section	Descriptions	Number of Recordkeepers	Burden Hours Per Recordkeeper	Total Burden Hours	Cost at \$268 / Hour
55.40(b)(2)	Written Examinations and Operating Test-Implementation	67 Power Sites	20	1340	\$359,120
55.53(f)	Conditions of license	67 Power Sites	2	134	\$35,912
55.53(f)	Conditions of license	31 Non-power Sites	2	62	\$16,616
55.46(d)(1)	Simulation facilities	67 Power Sites	44	2,948	\$790,064
55.59(c)(5)(i)	Requalification of licenses	67 Power Sites	275	18,425	\$4,937,900
55.59(c)(5)(i)	Requalification of licenses	31 Non-power Sites	16	496	\$132,928
<b>TOTAL RECORDKEEPING</b>		98		23,405	\$6,272,540

**TOTAL BURDEN/COST FOR 10 CFR PART 55 (Tables 1 & 2)**

Total Burden hours: 212,052 (188,647 reporting + 23,405 recordkeeping)

Total Cost: \$56,829,936 (\$50,557,396 reporting + \$6,272,540 recordkeeping)

Total Respondents and Recordkeepers: 98 (67 Power Sites +31 Non-Power Sites)

Total Responses: 452 (354 reporting responses + 98 recordkeepers)

TABLE 3: ESTIMATE OF ANNUAL COST TO THE FEDERAL GOVERNMENT

Section	Descriptions	Number of Reports/Records	Actions Per Facility	Reports/ Records Per Response	Hours Per Response	Burden Hours	Cost at \$268/ Hour
55.11	Specific Exemptions	2 Power Sites	1	2	40	80	\$21,440
55.11	Specific Exemptions	1 Non-Power Site	1	1	40	40	\$10,720
55.31(b)	Applications- How to Apply	35 Power Sites	1	35	1	35	\$9,380
55.40(b)	Written Examinations and Operating Test-Implementation	45 Power Sites	1	45	130	5,850	\$1,567,800
55.40(c)	Written Examinations and Operating Test-Implementation	5 Power Sites	1	5	400	2,000	\$536,000
55.40(d)	Written Examinations and Operating Test-Implementation	25 Non-power Sites	1	25	200	5,000	\$1,340,000
55.53(g)	Conditions of license	4 Power Sites	1	4	1	4	\$1,072
55.53(g)	Conditions of license	1 Non-power Site	1	1	1	1	\$268
55.59(a)(2)(iii)	Requalification of licenses	1 Power Site	1	1	160	160	\$42,880
55.59(a)(2)(iii)	Requalification of licenses	1 Non-power Site	1	1	120	120	\$32,160
55.59(c)	Requalification of licenses	67 Power Sites	1	67	32	2,144	\$574,592
55.59(c)	Requalification of licenses	31 Non-Power Sites	1	31	15	465	\$124,620
Total Government Burden and Cost		218		218		15,899	\$4,260,932

