

FINAL OMB SUPPORTING  
STATEMENT FOR  
10 CFR PART 55  
OPERATORS' LICENSES  
(3150-0018)  
  
EXTENSION

Description of the Information Collection

The Nuclear Regulatory Commission's (NRC) regulations in 10 CFR Part 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 Part 50, and 10 CFR Part 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 this Part apply to the holders of and applicants for a utilization facility operating licenses (as defined in 10 CFR Part 50 and Part 52). The remaining 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 Part 55).

This supporting statement provides a comprehensive overview of the information collection requirements specified in 10 CFR Part 55. There are additional information collections in 10 CFR Part 55 that are covered by other OMB clearances and are not addressed in this supporting statement. These are 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).

Specific information collection requirements include filing applications for an exemption, which include general license information as well as information specific to the request, written examinations and operating tests prepared by facility licenses, request to use a simulation facility, request to certify a Commission approved simulator, copies of requalification written examinations and/or annual operating tests.

A. JUSTIFICATION

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

The information is needed in order to determine licensee compliance with the regulations set forth in 10 CFR Part 55. The information is used for NRC-developed initial licensed operator examinations, and to evaluate exemptions from the 10 CFR Part 55 regulations for operator license applicants, changes in licensed operator medical conditions, the quality of facility-developed initial licensed operator examinations, requests to waive examination requirements, compliance with operator license conditions, operator license renewal, and the licensed operator requalification

program.

Details of these regulations can be found at the end of this supporting statement in "Description of Requirements."

2. Agency Use of Information

The NRC will use the reports and records required by 10 CFR Part 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, 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 (i.e., 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 is beneficial. The NRC has issued [Guidance for Electronic Submissions to the NRC](#) which provides direction for the electronic transmission and submittal of documents to the NRC. Electronic transmission and submittal of documents can be accomplished via the following avenues: the Electronic Information Exchange (EIE) process, which is available from the NRC's "Electronic Submittals" Web page, by Optical Storage Media (OSM) (e.g. CD-ROM, DVD), by facsimile or by e-mail. Respondents are able to submit the requested information using fillable-fillable forms and/or computer-readable formatted forms. It is estimated that approximately 90% of the potential responses for 10 CFR Part 55 are filed electronically. Approximately 95% 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.

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 Part 55 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 six 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 November 28, 2018 (83 FR 61169). Additionally, we contacted via email nine potential respondents in the areas of operating and non-power reactor owner/operator licensee's representatives from Dominion Generation, Exelon Generation Co., LLC, Florida Power & Light Co, Southern Nuclear Operating Co., Tennessee Valley Authority and the University of Missouri-Columbia. Of the nine potential respondents contacted, no respondent replied. Further, no comments were received from the published Federal Register Notice.

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 medical information collected to ensure that facility licensees meet the requirements of the requalification program and maintain operator license conditions such that licensed operators continue to meet the requirements for licensing as set forth in 10 CFR Part 55. The NRC Privacy Officer has determined there are no Privacy Act implications because the information is collected by a third party.

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: 172,915 (150,869 reporting + 22,046 recordkeeping).  
Total burden cost: \$45,476,645 (\$39,678,547 reporting + \$5,798,098 recordkeeping)  
Total respondents and recordkeepers: 96 (64 Power sites + 31 Non-power sites + 1 site under construction).

The \$275 hourly rate used in the burden estimates is based on the Nuclear Regulatory Commission's fee for hourly rates as noted in 10 CFR 170.20 "Average cost per professional staff-hour." For more information on the basis of this rate, see the Revision of Fee Schedules; Fee Recovery for Fiscal Year 2018 (83 FR 29622, June 25, 2018).

### 13. Estimate of Additional Industry Costs

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 \$2,425 (22,046 recordkeeping hours x \$275 per hour x .0004).

The annual cost to reproduce the examinations for initial operator licensing is estimated to be \$6,750 (45 licensee sites x 1500 pages per examination x \$.10 per page).

Total Other Additional Costs are \$9,175 (\$2,425 + \$6,750).

### 14. Estimated Annualized Cost to the Federal Government

The staff has developed estimates of annualized costs to the Federal Government related to the conduct of this collection of information. These estimates are based on staff experience and subject matter expertise and include the burden needed to review, analyze, and process the collected information and any relevant operational expenses

The annual burden and cost to the Federal Government is shown on Table 3. The total annual Federal Government burden is 29,047 hours and the total annual Federal Government cost is estimated to be \$7,639,361.

### 15. Reasons for Change in Industry Burden and Cost

The industry burden decreased by 39,137 hours from 212,052 to 172,915 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 2 from 98 to 96 (65 Power Sites + 31 Non-power Sites) due to the decommissioning of 2 power sites in 2015 and 2018 and therefore are no longer required to report under Part 55.

Overall, the estimated reporting burden and estimated recordkeeping burden decreased, as follows:

	<b>BURDEN HOURS</b>		
	Previously approved	Current Request	Change
Reporting	188,647	150,869	-37,778
Recordkeeping	23,405	22,046	-1,359
<b>TOTAL</b>	<b>212,052</b>	<b>172,915</b>	<b>-39,137</b>

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

- The NRC staff decreased the number of power reactor respondents under 55.40(b)(1) and (3) to indicate the number of examinations that the facility licensees would develop from 45 to 41. This decreased the number of hours from 112,500 to 102,500.
- The NRC staff decreased the number of power reactor respondents under 55.59(c) from 67 to 32 to account for the fact that the requalification cycle and inspection occurs on a biennial frequency. This decreased the number of hours from 85,090 to 40,640 (a decrease of 44,450 hours).

In addition, there was one major decrease in recordkeeping burden:

- The number of recordkeepers for 50.40(b)(2) for records associated with initial license examination at power reactor facilities, decreased from 65 to 45 power reactor facilities because 45 examinations are performed each year. This reduced the burden by 440 hours.

Other changes, based on NRC staff experience include:

- The NRC staff added a line to the burden table to account for power reactor facility burden on initial examinations that are developed by the NRC under 55.40(c). This correction increased the number of burden hours from 0 to 5,000. The burden on industry per response is 1,250 hours. This is not a new information collection or NRC requirement. The NRC has always developed one initial examination per region (for a total of four) each year; however, this was not properly accounted for previously, as it was considered as part of the facility developed examination burden.
- In the previous renewal, reporting burden for the entire requalification operating test was captured in a single line on the burden table at 1,270 hours per response. However, the burden table was revised to better reflect that power reactor facilities have three burden requirements related to requalification under 55.59:
  1. There is a burden associated with support for the full requalification inspection – this was previously listed for all power facilities under 55.59(a) and was estimated as an annual burden. Because this is actually a biennial burden, it was determined to be more accurately captured as half of all power facilities annually under 55.59(c), which requires the facility to provide documents in support of Commission inspections (1,270 hours per response). The facilities are required

to support a requalification inspection every other year. The change from calculating this as an annual burden to calculating it as a biennial burden (and thus reducing the number of respondents by half) resulted in a decrease in burden of 44,450 hours.

2. There is a second burden associated with reporting the annual test pass rates. This is an existing requirement but this burden was not previously captured in the prior submission. It was determined that this burden was best reflected under 55.59(a)(2) for half of the power reactor facilities on a yearly basis (10 hours per response for 32 respondents, an increase of 320 hours).
3. Finally, the facilities are required to document participation of licensed operators in the requalification program, which was previously documented under 55.59(c), but was determined to be more accurately reflected under 55.59(c)(5), as that is the specific portion of that regulation that requires it (6 hours per respondent for 64 respondents, an increase of 384 hours).

Note that non-power reactors do not have the same NRC inspection programs as the power reactor inspection program, and therefore they have different burdens listed.

- The NRC staff added a line to the burden table under 55.31(b) for non-power sites. This increased the burden by 120 hours (5 respondents x 24 hours per respondent). 55.31(b) allows the Commission to require further information under affirmation in order to enable it to determine whether to grant or deny the application or whether to revoke, modify, or suspend the license. The previous submission assessed burden for power reactors, but did not assess any burden associated with non-power sites, even though this allowance has been used (as an example, the NRC may request additional medical information to make a determination of medical fitness). The research and test reactor branch provided an estimate of the probable number of respondents and estimated burden for this item, which was not included in previous submission. There are no new information collections or NRC requirements associated with this.
- The NRC staff added a second item under recordkeeping for 55.46(d)(1) for recordkeeping associated with the Commission-approved simulation facility. Therefore, there are only 64 respondents listed under the first item. The total number of hours for the two items remain unchanged.
- The NRC staff included power reactor facilities with an accredited requalification program, this would not include the facility under construction. Therefore, a total of 64 power reactor respondents under 55.59(a)(2) and 55.59(c) and 64 power reactor respondents under 55.59(c)(5).

In addition, the hourly rate used to calculate licensee costs has increased from \$268/hr to \$275/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.

DESCRIPTION OF INFORMATION COLLECTION REQUIREMENTS  
CONTAINED IN  
10 CFR PART 55  
OPERATORS' LICENSES  
3150-0018

The following CFR references specify the type of information that is collected under this OPM clearance.

§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.

§55.31(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.

§55.40(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.

§55.59(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.

Facility licensees are required to maintain the following documentation:

§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. This is 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.

GUIDANCE DOCUMENTS FOR INFORMATION COLLECTION REQUIREMENTS  
CONTAINED IN  
10 CFR PART 55  
REQUIREMENTS FOR RENEWAL OF OPERATORS' LICENSES  
3150-0018

Title	Accession number
Regulatory Guide 1.134 - Medical Evaluation of Licensed Personnel at Nuclear Power Plants (Revision 4), September 2014	ML14189A385
Regulatory Guide 1.149 – Nuclear Power Plant Simulation Facilities for Use in Operator Training and License Examinations (Revision 4), April 2011	ML110420119
Regulatory Guide 1.8 - Qualification and Training of Personnel for Nuclear Power Plants (Revision 3), May 2000	ML003706932
NUREG-1021 - Operator Licensing Examination Standards for Power Reactors (Revision 11), February 2017	ML17038A432
NUREG-1478 – Operator Licensing Examiner Standards for Research and Test Reactors (Rev.2), June 2007	ML072000059

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 \$275/Hour
55.11	Specific Exemptions	2 Power Sites	1	2	45	90	\$24,750
55.11	Specific Exemptions	1 Non-power Site	1	1	55	55	\$15,125
55.31(b)	Applications- How to Apply	35 Power Sites	1	35	24	840	\$231,000
55.31(b)	Applications- How to Apply	5 Non-power Sites	1	5	24	120	\$31,560
55.40(a)	Written Examinations and Operating Test-Implementation	45 Power Sites	1	45	12	540	\$148,500
55.40(c)	Written examinations and Operating Test Implementation	4 Power Sites	1	4	1250	5,000	\$1,375,000
55.40(d)	Written Examinations and Operating Test-Implementation	25 Non-power Sites	1	25	2	50	\$13,750
55.40(b)(1) and (3)	Written Examinations and Operating Test-Implementation	41 Power Sites	1	41	2500	102,500	\$28,187,500
55.46(b)	Request to use simulation facility	0	0	0	800	0	\$0
55.53(g)	Conditions of licenses	4 Power Sites	1	4	4	16	\$4,400
55.53(g)	Conditions of licenses	1 Non-power Site	1	1	4	4	\$1,100
55.59(a)(2)	Requalification of licenses -- Annual Review	32 Power Sites	1	32	10	320	\$88,000
55.59 (a)	Requalification of licenses	31 Non-power Site	1	31	2	62	\$17,050
55.59 (c)	Requalification of licenses -- Biennial Review	32 Power Sites	1	32	1270	40,640	\$11,176,000
55.59(c)	Requalification of licenses	31 Non-power Sites	1	31	8	248	\$68,200

Section	Descriptions	Number of Respondents	Responses Per Respondent	Total Number of Responses	Burden per Response	Total Burden Hours	Cost at \$275/Hour
55.59(c)(5)	Requalification of licenses – Records	64 Power Sites	1	64	6	384	\$105,600
<b>TOTAL REPORTING</b>		95		353		150,869	\$41,488,975

**TABLE 2: ANNUAL INDUSTRY RECORDKEEPING REQUIREMENTS**

Section	Descriptions	Number of Recordkeepers	Burden Hours Per Recordkeeper	Total Burden Hours	Cost at \$275 / Hour
55.40(b)(2)	Written Examinations and Operating Test-Implementation	45 Power Sites	20	900	\$247,500
55.53(f)	Conditions of license	64 Power Sites	2	128	\$35,200
55.53(f)	Conditions of license	31 Non-power Sites	2	62	\$17,050
55.46(d)(1)	Simulation facilities (Operating)	64 Power Sites	44	2,816	\$774,400
55.46(d)(1)	Simulation facilities (Under construction)	1 Power Site	44	44	\$12,100
55.59(c)	Requalification of licenses	64 Power Sites	275	17,600	\$4,840,000
55.59(c)(5)	Requalification of licenses	31 Non-power Sites	16	496	\$136,400
55.46(b)	Request to use a simulation facility	0	0	0	\$0.00
<b>TOTAL RECORDKEEPING</b>		96		22,046	\$6,062,650

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

Total Burden hours: 172,915 (150,869 reporting + 22,046 recordkeeping)

Total Cost: \$47,551,625 (\$41,488,975 reporting + \$6,062,650 recordkeeping)

Total Respondents and Recordkeepers: 96 (64 Power Sites +31 Non-Power Sites + 1 Site

Under Construction) Total Responses: 449 (353 reporting responses + 96 recordkeepers)

TABLE 3: ESTIMATE OF ANNUAL COST TO THE FEDERAL GOVERNMENT					
Section	Descriptions	Number of Reports/Records	Hours Per Response	Burden Hours	Cost at \$275/ Hour
55.11	Specific Exemptions	2 Power Sites	80	160	\$44,000
55.11	Specific Exemptions	1 Non-Power Site	40	40	\$11,000
55.31(b)	Applications- How to Apply	35 Power Sites	1	35	\$9,625
55.40(b)	Written Examinations and Operating Test-Implementation	41 Power Sites	400	16,400	\$4,510,000
55.40(c)	Written Examinations and Operating Test-Implementation	5 Power Sites	700	3,500	\$962,500
55.40(d)	Written Examinations and Operating Test-Implementation	25 Non-power Sites	200	5,000	\$1,375,000
55.53(g)	Conditions of license	4 Power Sites	1	4	\$1,100
55.53(g)	Conditions of license	1 Non-power Site	1	1	\$275
55.59(a)(2)(iii)	Requalification of licenses	1 Power Site	250	250	\$68,750
55.59(a)(2)(iii)	Requalification of licenses	1 Non-power Site	120	120	\$33,000
55.59(c)	Requalification of licenses	32 Power Sites	96	3,072	\$844,800
55.59(c)	Requalification of licenses	31 Non-Power Sites	15	465	\$127,875
<b>Total Government Burden and Cost</b>		179		29,047	\$7,987,925