

PAPERWORK REDUCTION ACT SUBMISSION

Designated Original  
No Docs/ADITms

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Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

1. Agency/Subagency originating request <b>U.S. Nuclear Regulatory Commission</b>		2. OMB control number <input checked="" type="checkbox"/> a. <b>3150 - 0027</b> <input type="checkbox"/> b. None	
3. Type of information collection (check one) <input type="checkbox"/> a. New collection <input type="checkbox"/> b. Revision of a currently approved collection <input checked="" type="checkbox"/> c. Extension of a currently approved collection <input type="checkbox"/> d. Reinstatement, without change, of a previously approved collection for which approval has expired <input type="checkbox"/> e. Reinstatement, with change, of a previously approved collection for which approval has expired <input type="checkbox"/> f. Existing collection in use without an OMB control number		4. Type of review requested (check one) <input checked="" type="checkbox"/> a. Regular <input type="checkbox"/> c. Delegated <input type="checkbox"/> b. Emergency - Approval requested by (date):	
		5. Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> a. Yes <input checked="" type="checkbox"/> b. No	
		6. Requested expiration date <input checked="" type="checkbox"/> a. Three years from approval date <input type="checkbox"/> b. Other (Specify):	

7. Title  
**NRC Form 7, Application for License to Export Nuclear Material and Equipment**

8. Agency form number(s) (if applicable)  
**NRC Form 7**

9. Keywords  
**Export Regulation, Nuclear Equipment and Material**

10. Abstract  
**Any person in the U.S. wishing to use existing NRC general licenses for the export of incidental radioactive material exceeding 100 Kgs or export nuclear material and equipment requiring a specific authorization should file an application on NRC Form 7. The application will be reviewed by the NRC and the Executive Branch, and if applicable statutory, regulatory, and policy considerations are satisfied, the NRC will issue a license authorizing the export.**

11. Affected public (Mark primary with "P" and all others that apply with "X") <input type="checkbox"/> a. Individuals or households <input type="checkbox"/> d. Farms <input checked="" type="checkbox"/> b. Business or other for-profit <input type="checkbox"/> e. Federal Government <input type="checkbox"/> c. Not-for-profit institutions <input type="checkbox"/> f. State, Local or Tribal Government		12. Obligation to respond (Mark primary with "P" and all others that apply with "X") <input type="checkbox"/> a. Voluntary <input type="checkbox"/> b. Required to obtain or retain benefits <input checked="" type="checkbox"/> c. Mandatory	
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13. Annual reporting and recordkeeping hour burden a. Number of respondents <u>63</u> b. Total annual responses <u>63</u> 1. Percentage of these responses collected electronically <u>0.0</u> % c. Total annual hours requested <u>150</u> d. Current OMB inventory <u>150</u> e. Difference <u>0</u> f. Explanation of difference 1. Program change _____ 2. Adjustment _____		14. Annual reporting and recordkeeping cost burden (in thousands of dollars) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	
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15. Purpose of information collection (Mark primary with "P" and all others that apply with "X") <input type="checkbox"/> a. Application for benefits <input type="checkbox"/> e. Program planning or management <input type="checkbox"/> b. Program evaluation <input type="checkbox"/> f. Research <input type="checkbox"/> c. General purpose statistics <input checked="" type="checkbox"/> g. Regulatory or compliance <input type="checkbox"/> d. Audit		16. Frequency of recordkeeping or reporting (check all that apply) <input type="checkbox"/> a. Recordkeeping <input type="checkbox"/> b. Third-party disclosure <input checked="" type="checkbox"/> c. Reporting <input checked="" type="checkbox"/> 1. On occasion <input type="checkbox"/> 2. Weekly <input type="checkbox"/> 3. Monthly <input type="checkbox"/> 4. Quarterly <input type="checkbox"/> 5. Semi-annually <input type="checkbox"/> 6. Annually <input type="checkbox"/> 7. Biennially <input type="checkbox"/> 8. Other (describe)	
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17. Statistical methods Does this information collection employ statistical methods? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Agency contact (person who can best answer questions regarding the content of this submission) Name: <u>Suzanne Schuyler-Hayes</u> Phone: <u>301-415-2333</u>	
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## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

**NOTE:** The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8 (b) (3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b) (3):
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
  - (v) Nature of extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Authorized Agency Official	Date
Signature of Senior Official or designee <i>Brenda Jo. Shelton</i> Brenda Jo. Shelton, NRC Clearance Officer, Office of the Chief Information Officer	Date 12/22/99

**FINAL OMB SUPPORTING STATEMENT FOR  
NRC FORM 7, APPLICATION FOR LICENSE TO  
EXPORT NUCLEAR MATERIAL AND EQUIPMENT  
(3150-0027)  
EXTENSION REQUEST**

**DESCRIPTION OF THE INFORMATION COLLECTION**

The Nuclear Regulatory Commission (NRC), under the Atomic Energy Act of 1954, as amended, and Title II of the Energy Reorganization Act of 1974, as amended, has authority for exercising export controls over nuclear equipment and material. All persons who wish to export or import nuclear equipment and material as specified in 10 CFR 110 Sections 110.8, 110.9, and 110.9a must provide certain information collection elements to enable the NRC and the Executive Branch to make required export and import licensing determinations to ensure compliance with NRC regulations and to satisfy statutory requirements of the Atomic Energy Act of 1954, as amended.

Section 110.19(b), Types of Licenses, requires that a person using a general license under this part as authority to export incidental radioactive material that is contained in or a contaminant of a shipment that exceeds 100 kilograms in total weight shall file a completed NRC Form 7 before export takes place.

Section 110.20(a)(1), General License Information, requires that a person using a general license as authority to export incidental radioactive material contained in or a contaminant of a shipment exceeding 100 kilograms in total weight file an NRC Form 7 before the export takes place.

Section 110.21(e), General License for the Export of Special Nuclear Material, requires that a person using the general licenses in paragraphs (a), (b), or (c) as authority to export special nuclear material as incidental radioactive material contained in or a contaminant of a shipment exceeding 100 kilograms in total weight shall file a completed NRC Form 7 before the export takes place.

Section 110.22(f), General License for the Export of Source Material, requires that a person using the general licenses in paragraphs (a),(b),(c) or (d) as authority to export source material as incidental radioactive material contained in or a contaminant of a shipment exceeding 100 kilograms in total weight shall file an NRC Form 7 before the export takes place.

Section 110.23(e), General License for the Export of Byproduct Material, requires that a person using the general licenses in paragraphs (a), (b), and (c) as authority to export byproduct material as incidental radioactive material contained in or a contaminant of a shipment exceeding 100 kilograms in total weight shall file a completed NRC Form 7 before the export takes place.

Section 110.31, Application for a Specific License requires that a person file an application for a license to export or import nuclear material or equipment requiring specific authorization, with appropriate fee in accordance with 10 CFR 170. Applications should be filed on NRC Form 7, except that applications for import of material, export of a production or utilization facility, license renewal or license amendment should be filed by letter in accordance with §110.51 (OMB has approved this collection under 3150-0036). A person is required to provide the information specified in § 110.32 and the NRC may require more information. An application shall be withdrawn when not needed.

Section 110.32, Information Required in an Application for a Specific License/NRC Form 7, states that the following information is required on an application: name and address of applicant, supplier, intermediate and ultimate consignees; country of origin of equipment and material; shipment dates; and description of export and end use. Applications for import and export of radioactive waste and for export of incidental radioactive material require the volume, classification, physical and chemical characteristics, route of transit, and ultimate disposition.

#### A. JUSTIFICATION

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

The NRC Form 7 is a multipurpose export license application designed to allow persons to provide the minimum amount of information necessary for NRC to fulfill the statutory and regulatory requirements governing exports of nuclear material and nuclear equipment under the NRC's authority. The form is clear, concise, easy to understand, and simple to prepare.

2. Agency Use of Information

The Commission and the Executive Branch review the license applications submitted on NRC Form 7 to make required export licensing determinations to ensure compliance with regulations. If applicable statutory, regulatory, and policy considerations are satisfied, the NRC will issue a license authorizing the export.

The Commission reviews exports of incidental radioactive material filed on NRC Form 7 before the export takes place to help assure that the NRC is informed before the fact of these kinds of shipments and allows us to inform other interested parties, as appropriate, including import control authorities in interested foreign countries.

3. Reduction of Burden through Information Technology

There are no legal obstacles to reducing the burden associated with this information collection. Licensees and applicants may utilize information technology if they so desire; however, no responses have been submitted electronically.

4. Effort to Identify Duplication and Use Similar Information

The Information Requirements Control Automated System (IRCAS) was searched to determine agency duplication. None was found.

5. Effort to Reduce Small Business Burden

The requirements specified in §§ 110.20, 110.31, and 110.32 are the same for large and small businesses, because the proliferation and policy concerns are the same; therefore, all businesses must provide the same data. To reduce small business burden, the NRC has established general licenses which exempt from new controls many of the shipments that were of particular concern to small businesses. Further, the NRC allows small businesses to apply for broad, long-term licenses to export materials to reduce burdens associated with paperwork expenses, license application fees, and uncertainties in delivery.

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

The information requested in §§ 110.20-110.23 cannot be collected less frequently because it reflects the International Atomic Energy Agency (IAEA) Code of Practice on the International Transboundary Movement of Radioactive Waste to help ensure that radioactive waste coming into or leaving the U.S. is subject to U.S. Government approval and consent of other involved parties.

The information requested in §§ 110.31-32 with respect to exports is submitted only when deemed necessary by exporters and is keyed to the decision criteria that guides the NRC in approving or denying applications. It specifically incorporates the requirements of the Atomic Energy Act of 1954, as amended, for export. Therefore, if the collection is not conducted or is conducted less frequently, a person who wishes to export under NRC's export authority would be unable to do so because the NRC could not make the necessary determination on whether an export license should be issued.

7. Circumstances Which Justify Variation From OMB Guidelines None.

8. Consultations Outside the NRC

An opportunity to comment on the information collection requirements was published in the Federal Register on September 2, 1999 (64 FR 48211). No comments were received.

9. Payment or Gift to Respondents Not applicable.

10. Confidentiality of the Information

Normally none of the information referred to in §§ 110.31-32 is considered confidential or proprietary. However, when the exporter specifically requests the NRC to keep the information confidential, the NRC will treat the information as "Company Proprietary" as in accordance with 10 CFR Section 2.790.

11. Justification for Sensitive Questions

There are no sensitive questions.

12. Estimated Burden and Burden Hour Cost

All licensees comply equally with the export requirements of §§ 110.19, 110.20, 110.21, 110.22, 110.23 and §§ 110.31 and 110.32. Based upon our experience, for the collection in § 110.31, we estimate 63 applications will be filed on NRC Form 7 annually

and another 70 applications will be filed annually by letter which is approved under control number 3150-0036. Using a cost of \$140 per hour, the annual cost required to prepare the NRC Form 7 is estimated as follows:

**Annual Reporting or Disclosure Burden for NRC Form 7:**

<u>Annual Number of Respondents</u>	<u>Annual Number of Responses per Respondent</u>	<u>Hours per Response</u>	<u>Total Hours</u>	<u>Cost</u>
60	1	2	120	\$16,800
(incidental radioactive material export filings under §§ 110.19(b), 110.20(a)(1), 110.21(e), 110.22(f), 110.23(e); nuclear material and equipment export submissions under §§ 110.31-110.32, except radioactive waste)				
3	1	10	30	4,200
(radioactive waste export submissions under § 110.31-110.32)				
63			150	21,000

Total annual burden is estimated at 150 hours at a cost of \$21,000 (150 x \$140).

13. Estimate of Other Additional Costs None.

14. Estimated Annualized Cost to the Federal Government

The collection and processing of information on NRC Form 7 under 10 CFR Part 110 associated with the collections referred to in §§ 110.19-110.23, and §§ 110.31-110.32 is estimated to be the same as that currently approved by OMB. We estimate that it will require approximately 700 NRC professional staff hours per year related to data entry, data base management, and subsequent reporting and record keeping. Annual labor cost to the Federal Government at \$140 per staff hour is \$98,000 (700 hours x \$140). This estimate covers only the information collection and handling costs associated with NRC Form 7. Additional costs for information storage, coding, tabulating, and responding to public inquiries are approximately \$42,000 per year (300 hours x \$140). The total annual cost to the Federal Government is approximately \$140,000. Much of this cost is recovered through fee assessments to NRC licensees pursuant to 10 CFR Part 170. (See OMB approval number 3150-0036 for costs associated with other requirements under 10 CFR Part 110.)

15. Reasons for Changes in Burden or Cost

There is no change in burden. The change in cost reflects an increase in the annual labor cost to the Federal Government from \$120 to \$140 per staff hour.

16. Publication for Statistical Use Not applicable.

17. Reason for Not Displaying the Expiration Date The expiration date is displayed.

18. Exceptions to the Certification Statement There are no exceptions.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**  
Not applicable.

# APPLICATION FOR LICENSE TO EXPORT NUCLEAR MATERIAL AND EQUIPMENT

(See Instructions on Reverse)

Estimated burden per response to comply with this mandatory collection request: 2.4 hours. This submittal is reviewed to ensure that the applicable statutory, regulatory, and policy considerations are satisfied. Send comments regarding burden estimate to the Records Management Branch (T-6 E6), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by internet e-mail to bjs1@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0027), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.

1. APPLICANT'S USE →		a. DATE OF APPLICATION	b. APPLICANT'S REFERENCE		2. NRC USE →	a. DOCKET NUMBER	b. LICENSE NUMBER	
3. APPLICANT'S NAME AND ADDRESS a. NAME					4. SUPPLIER'S NAME AND ADDRESS (Complete if applicant is not supplier)			
b. STREET ADDRESS (Facility Site)					a. NAME			
c. CITY			d. STATE	e. ZIP CODE		b. STREET ADDRESS		
f. TELEPHONE NUMBER (Area Code - Number - Extension)					c. CITY		d. STATE	e. ZIP CODE

5. FIRST SHIPMENT SCHEDULED	6. FINAL SHIPMENT SCHEDULED	7. APPLICANT'S CONTRACTUAL DELIVERY DATE	8. PROPOSED LICENSE EXPIRATION DATE	9. U.S. DEPARTMENT OF ENERGY CONTRACT NO. (if known)

10. ULTIMATE FOREIGN CONSIGNEE a. NAME		RIS	11. ULTIMATE END USE (include plant or facility name)		USE CODE
b. STREET ADDRESS (Facility Site)					
c. CITY		d. COUNTRY	11a. DATE REQUIRED		

12. INTERMEDIATE FOREIGN CONSIGNEE a. NAME		RIS	13. INTERMEDIATE END USE		USE CODE
b. STREET ADDRESS (Facility Site)					
c. CITY		d. COUNTRY	13a. DATE REQUIRED		

14. INTERMEDIATE FOREIGN CONSIGNEE a. NAME		RIS	15. INTERMEDIATE END USE		USE CODE
b. STREET ADDRESS (Facility Site)					
c. CITY		d. COUNTRY	15a. DATE REQUIRED		

16. COM CODE	17. DESCRIPTION (Include chemical and physical form of nuclear material; give dollar value of nuclear equipment and components)	18. MAX. ELEMENT WEIGHT	19. MAX. WT. %	20. MAX. ISOTOPE WEIGHT	21. UNIT

22. COUNTRY OF ORIGIN - SOURCE MATERIAL	23. COUNTRY OF ORIGIN - SNM WHERE ENRICH OR PRODUCED	24. COUNTRIES WHICH ATTACH SAFEGUARDS (if known)

25. ADDITIONAL INFORMATION ON CONSIGNEES, END USES, AND PRODUCT DESCRIPTION (Use separate sheet if necessary)

26. The applicant certifies that this application is prepared in conformity with Title 10, Code of Federal Regulations; and that all information in this application is correct to the best of his/her knowledge.

27. AUTHORIZED OFFICIAL	a. SIGNATURE	b. TITLE



## U.S. NUCLEAR REGULATORY COMMISSION

### INSTRUCTIONS FOR PREPARATION OF APPLICATION FOR LICENSE TO EXPORT NUCLEAR MATERIAL AND EQUIPMENT, NRC FORM 7

One signed, original of NRC Form 7 must be submitted by the applicant to the Director for Nonproliferation, Exports and Multilateral Relations, (Office of International Programs, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or delivered in person to the Commission's Offices at 11555 Rockville Pike, Rockville, Maryland. Except for the shaded areas, all applicable items on this form should be completed, to the extent the information is available at the time the application is submitted.

An applicant for an export license must make full disclosure of all recipients of the proposed export so that a decision on the application may be made with full knowledge of all relevant facts. The name(s) and address(es) of the plant, facility, firm, or location where the material may be handled, stored, converted, or fabricated and where the material ultimately will be used, together with precise facts concerning the use that will be made of the items to be exported by each intermediate and ultimate consignee must be stated. The materials or equipment to be exported must be fully and accurately described in detail. If more space is needed, attach an additional sheet of paper.

The following is excerpted from the Nuclear Regulatory Commission regulations prescribing procedures and standards for the export and import of nuclear equipment and nuclear material. For the complete codification of NRC's export and import regulations, applicants for licenses should refer to Part 110 of Title 10, Chapter 1, Code of Federal Regulations.

#### § 110.31 Application for a specific license

(a) A person shall file an application for a specific license to export or import with the Director for Nonproliferation, Exports, and Multilateral relations, Office of International Programs, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. The application may be delivered to the Commission's Offices at 11555 Rockville Pike, Rockville, Maryland 20852 or at 2120 L Street, NW (Lower Level), Washington, DC 20037.

(b) An application for a specific license to export or import must be accompanied by the appropriate fee in accordance with the fee schedule in §170.21 and §170.31 of this chapter. A license application will not be processed unless the specified fee is received.

(c) A license application should be filed on NRC Form 7, except that an import license application and a production or utilization facility export license application should be filed by letter.

(d) Each person shall provide in the license application, as appropriate, the information specified in §110.32. The Commission also may require the submission of additional information if necessary to complete its review.

(e) An application may cover multiple shipments and destinations.

(f) The applicant shall withdraw an application when it is no longer needed. The Commission's official files retain all documents related to a withdrawn application.

#### §110.32 Information required in license applications for a specific license/NRC Form 7.

- (a) Name and address of applicant.  
(b) Name and address of supplier of equipment or material.

(c) Country of origin of equipment or material, if known.

(d) Names and addresses of all intermediate and ultimate consignees, other than intermediate consignees performing shipping services only.

(e) Dates of proposed first and last shipments.

(f) Description of the equipment or material including, as appropriate, the following:

(1) Maximum quantity of material in grams or kilograms (curies for byproduct material) and its chemical and physical form.

(2) For enriched uranium, the maximum weight percentage of enrichment and maximum weight of contained U-235.

(3) For nuclear equipment, total dollar value.

(4) For nuclear reactors, the name of the facility and its design power level.

(5) For proposed exports of imports of radioactive waste, and for proposed exports of incidental radioactive material—the volume, classification (as defined in §61.55 of this chapter), physical and chemical characteristics, route of transit of shipment, and ultimate disposition (including forms of management) of the waste.

(6) For proposed imports of radioactive waste—the industrial or other process responsible for generation of the waste, and the status of the arrangements for disposition, e.g., any agreement by a low-level waste compact or State to accept the material for management purposes or disposal.

(7) Description of end use by all consignees in sufficient detail to permit accurate evaluation of the justification for the proposed export or import, including the need for shipment by the dates specified.