

**COMPLIANCE DETERMINATION STRATEGY  
RRT 7.5 RECORDS AND REPORTS**

**APPLICABLE REGULATORY REQUIREMENTS:**

10 CFR 60.21(c)(15)(v)  
10 CFR 60.71  
10 CFR 60.72  
10 CFR 60.73

**TYPES OF REVIEW:**

Acceptance Review (Type 1)  
Safety Review (Type 3)

**RATIONALE FOR TYPES OF REVIEW:**

**Acceptance Review (Type 1) Rationale:**

This regulatory requirement topic is considered to be license application-related because, as specified in the license application content requirements of 10 CFR 60.21(c) and the regulatory guide "Format and Content for the License Application for the High-Level Waste Repository (FCRG)" it must be addressed by the U.S. Department of Energy (DOE) in its license application. Therefore, the staff will conduct an Acceptance Review of the license application for this regulatory requirement topic.

**Safety Review (Type 3) Rationale:**

This regulatory requirement topic is considered to be related to radiological safety, retrievability, containment, and waste isolation. It focuses on the plans for maintaining records of activities of the geologic repository. It is a requirement for which compliance is necessary to make a safety determination for construction authorization as defined in 10 CFR 60.31(a) (i.e., regulatory requirements concerning DOE's proposed operating procedures to protect health and to minimize danger to life and property). Therefore, the staff will conduct a Safety Review of the license application to determine compliance with this regulatory requirement.

**REVIEW STRATEGY:**

**Acceptance Review:**

In conducting the acceptance review of the regulatory requirements for plans to maintain records and reports of activities of the geologic repository, the reviewer should determine if the information present in the license application and its references for determining compliance with the applicable regulatory requirements is complete in technical breadth and depth as identified in the FCRG. The reviewer should determine that all appropriate information necessary for the staff to review DOE's plans for maintaining records and reports is presented such that the assessments required by the applicable regulatory requirements can be performed.

The reviewer should determine if the information presented in the license application is presented in such a manner that the logic leading to a demonstration of compliance with the requirement is clear and does not require the reviewer to conduct extensive literature searches.

Finally, the reviewer should determine if the DOE has either resolved all the NRC staff objections that apply to these requirements or provided all the information requested in Section 1.6.2 of the FCRG, for unresolved objections. The reviewer should evaluate the effects of any unresolved objections, both individually and in combinations with others, on: (1) the reviewer's ability to conduct a meaningful and timely review; and (2) the Commission's ability to make a decision regarding construction authorization within the three-year statutory period.

#### **Safety Review:**

This regulatory requirement topic is limited to requirements for plans to maintain records and reports of geologic repository construction and operations. It is not concerned with preservation of records after permanent closure of the geologic repository or with the maintenance of quality assurance records. Treatment of these types of records will be covered under Sections 7.9 and 10.0, respectively, of the license application and their attendant review plans. The specific aspects of the license application on which the reviewer will focus are discussed below, and the Acceptance Criteria will be identified in Section 3.0 of this Review Plan.

In conducting the Safety Review the reviewer should determine if the information presented in the license application and its references is an acceptable demonstration of compliance with the applicable regulatory requirements. At a minimum, the reviewer should determine the adequacy of the plans and procedures presented in the license application to support DOE's demonstration of compliance with these regulatory requirements. Specifically, DOE will need to provide information regarding the program for keeping records of geologic repository activities, including maintaining records of the licensed activity with a complete history of receipt, handling, storage, and disposition of radioactive waste; construction records; reports of deficiencies of the site; records of permanent closure; records of tests using radioactive waste that are conducted during construction or emplacement; and records of inspections.

In order to conduct an effective review, the reviewer will rely on staff expertise and independently acquired knowledge and information in addition to that provided by the DOE in its license application. For example, records control systems utilized in the commercial nuclear power industry provide examples for geologic repository record management. It is incumbent upon the reviewer to have acquired a body of knowledge regarding these and other critical considerations in anticipation of conducting the review to assure that the records and reports program is sufficient in scope and depth to provide the information to resolve the concerns.

#### **Contributing Analysts:**

NRC: K. Kalman, K.Hooks, M. Nataraja, and B. Jagannath

CNWRA: R. Brient

**Date of Analysis:** April 8, 1993

**APPLICABLE REGULATORY REQUIREMENTS FOR EACH REVIEW TYPE:**

Type 1:

10 CFR 60.21(c)(15)(v)  
10 CFR 60.71  
10 CFR 60.72  
10 CFR 60.73

Type 3:

10 CFR 60.71  
10 CFR 60.72  
10 CFR 60.73

**REFERENCES:**

Nuclear Regulatory Commission, "Format and Content For the License Application for the High-Level Waste Repository." Office of Nuclear Regulatory Research. [Refer to the "Products List" for the Division of High-Level Waste Management to identify the most current edition of the FCRG in effect.]

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This regulatory requirement topic is considered to be related to radiological safety, retrievability, containment, and waste isolation. It focuses on the plans for maintaining records of activities of the geologic repository. It is a requirement for which compliance is necessary to make a safety determination for construction authorization as defined in 10 CFR 60.31(a) (i.e., regulatory requirements concerning DOE's proposed operating procedures to protect health and to minimize danger to life and property). Therefore, the staff will conduct a Safety Review of the license application to determine compliance with this regulatory requirement.

**REVIEW STRATEGY:**

**Acceptance Review:**

In conducting the acceptance review of the regulatory requirements for plans to maintain records and reports of activities at the geologic repository, the reviewer should determine if the information present in the license application and its references for determining compliance with the applicable regulatory requirements is complete in technical breadth and depth as identified in the FCRG. The reviewer should determine that all appropriate information necessary for the staff to review DOE's plans for maintaining records and reports is presented such that the assessments required by the applicable regulatory requirements can be performed.

The reviewer should determine if the information presented in the license application is presented in such a manner that the logic leading to a demonstration of compliance with the requirement is clear and does not require the reviewer to conduct extensive literature searches.

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**Safety Review:**

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*no italics*

In conducting the Safety Review the reviewer should determine if the information presented in the license application and its references is an acceptable demonstration of compliance with the applicable regulatory requirements. At a minimum, the reviewer should determine the adequacy of the plans and procedures presented in the license application to support DOE's demonstration of compliance with ~~this~~ regulatory requirement~~s~~. Specifically, DOE will need to provide information regarding the program for keeping records of geologic repository activities, including maintaining records of the licensed activity with a complete history of receipt, handling, storage, and disposition of radioactive waste; construction records; reports of deficiencies of the site; records of permanent closure; records of tests using radioactive waste that are conducted during construction or emplacement; and records of inspections. *these*

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