

UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS  
WASHINGTON, DC 20555-0001

DECEMBER 15, 2016

**NRC REGULATORY ISSUE SUMMARY 2016-XX  
ADMINISTRATION OF 10 CFR PART 72 CERTIFICATE OF COMPLIANCE  
CORRECTIONS AND REVISIONS**

**ADDRESSEES**

All holders of Certificates of Compliance (CoCs) and all general licensees under the provisions of Title 10 of the *Code of Federal Regulations* (10 CFR) Part 72, "Licensing Requirements for the Independent Storage of Spent Nuclear Fuel, High-Level Radioactive Waste, and Reactor-Related Greater than Class C Waste."

**INTENT**

The U.S. Nuclear Regulatory Commission (NRC) is issuing this regulatory issue summary (RIS) to inform addressees of the processes used to revise initial CoCs and subsequent amendments (hereafter referred to as CoCs, whether initial CoCs or subsequent amendments) to make administrative corrections and technical changes using the existing regulatory framework in 10 CFR Part 72. This RIS does not address or propose any changes to 10 CFR Part 72. Neither specific action nor any written response is required.

**BACKGROUND**

Pursuant to 10 CFR Part 72, Subpart L, spent fuel storage system vendors (herein referred to as cask vendors) apply to the NRC for a CoC. The NRC evaluates the application and, if it determines that the system meets the requirements in 10 CFR Part 72, the agency issues a CoC. All approved CoCs are listed in 10 CFR 72.214, "List of Approved Spent Fuel Storage Casks," via the rulemaking process. Pursuant to 10 CFR 72, Subpart K, approved storage systems may be used at power reactor sites by persons authorized to possess or operate nuclear power reactors under 10 CFR Part 50, "Domestic Licensing of Production and Utilization Facilities," or 10 CFR Part 52, "Licenses, Certifications, and Approvals for Nuclear Power Plants."

**SUMMARY OF ISSUE**

After the effective date of a new CoC, the vendor may seek to make changes to that CoC. Some of these changes ("technical changes") to the CoC are significant enough that the NRC requires that these changes be accomplished through a rulemaking amendment process which revises the existing CoC using notice and comment procedures, but are not significant enough or of sufficient scope that the NRC considers the changes to constitute a new CoC or new

**ML14107A510**

amendment to a CoC. Other changes to the CoC are less significant, because they involve administrative or editorial corrections. These types of changes (“administrative corrections”) may be made by rulemaking without notice and comment.

This RIS describes the criteria and processes for making technical changes through notice and comment rulemaking when revising the existing CoC, and the criteria and processes for making administrative corrections to an existing CoC.

#### Administrative Corrections – “Corrections”

In accordance with the Administrative Procedure Act (APA) (5 U.S.C. § 553), the NRC has the authority to issue corrections to a rule without first seeking public comment. The NRC has used this authority to issue corrections to a CoC using the direct final rule process. The NRC uses this process when the change being made to the CoC meets the APA standards for corrections. Administrative and editorial corrections have been made to address errors in CoCs such as the following:

- typographical errors, such as correction of an incorrect date in the storage term
- formatting errors
- errors associated with hidden text created during conversion from a Microsoft Word document to a portable document file (pdf)
- errors in page numbering

Cask vendors that have identified these types of administrative or editorial changes may apply to the NRC for a correction to the CoC. In applying for a correction, the cask vendor should provide a detailed justification explaining why it believes the information to be changed is an editorial or administrative error, along with the proposed correction.

Administrative corrections do not fall within the definition of backfitting as defined in 10 CFR 72.62 or 10 CFR 50.109, nor do they represent violations of issue finality under 10 CFR Part 52. These corrections, which are of an administrative or editorial nature and do not change the substantive technical information of the CoC, are not the type of changes that were intended to be included in the definition of backfitting. In addition, the definition of backfitting under 10 CFR 72.62 does not refer to CoC holders (and even if it did, the administrative corrections would not be considered backfitting because they are voluntarily requested by the CoC holder rather than imposed by the NRC).

Administrative corrections may affect general licensees who utilize (or have contracted to utilize) casks fabricated under the CoC which is the subject to the corrective rule. These general licensees are accorded backfitting protection under 10 CFR 72.62 and 10 CFR 50.109 as well as issue finality concerns in 10 CFR 52.63. Nonetheless, these effects are considered to be minor or insignificant, and not within the scope of substantive changes which are within the scope of the backfitting and issue finality.

For these reasons, administrative corrections are not within the scope of backfitting or issue finality, and the NRC would not address backfitting or issue finality in an administrative correction rulemaking for a CoC.

### Technical Changes – “Revisions”

Cask vendors may seek to revise existing CoCs to include changes to storage cask systems, structures, or components or to correct technical errors in calculations that underpin existing technical specifications. Neither of these necessarily qualify as administrative corrections under the APA guidelines; nor are the changes substantive enough to merit a new CoC or new amendment to a CoC. Instead, a revision to a CoC allows for technical changes to an existing CoC without issuing a new CoC or amendment. The NRC will evaluate and process a revision to a CoC using the same rulemaking process used for an initial or amended CoC, namely, to include a notice and comment process. The NRC has already issued several revisions to CoCs.

The NRC has revised CoCs to include the following technical changes:

- revision of a CoC condition to clarify a specific heat load measurement that first-time users of a specific storage cask must perform
- update to the American Society of Mechanical Engineers Boiler and Pressure Vessel Code specification in a CoC to a later code year for certain steels
- correction of the decay times in the technical specifications for minimum additional decay time required when the spent fuel contains nonfuel hardware

Vendors may request revisions when they wish to apply technical changes to existing CoCs. The NRC may issue revisions to CoCs when the following criteria are met:

- The system sought to be revised has not been purchased by a general licensee; or general licensees that have purchased storage cask equipment for the specific CoC design being revised were made aware of the revision request by the vendor and support it; and
- The revision to the CoC does not require a general licensee to change any existing storage cask structure, system, or component; and,
- The requested technical changes have only minor impacts on field and administrative implementation by the vendor and general licensees.

Unless the revised CoC indicates otherwise, general licensees using the specific CoC amendment that is being revised are required to meet the conditions of the revised CoC as of its effective date. In some instances, the NRC has added a condition to the revised CoC providing general licensees with a 180-day implementation period to do the following:

- Make any changes required by the revision.
- Update the necessary site paperwork.
- Complete a report pursuant to 10 CFR 72.212(b)(5) as they would for applying the changes authorized by a newer amendment when upgrading to an amended certificate.
- Register the cask with the NRC as they would for upgrading to an amended certificate.

The NRC expects that future revisions will include these conditions.

As to CoC holders, technical changes that are accomplished by revisions of a CoC usually would not fall within the definition of backfitting as defined in 10 CFR 72.62 or 10 CFR 50.109, and should not represent violations of issue finality under 10 CFR Part 52. The definition of backfitting under 10 CFR 72.62 does not refer to CoC holders (and even if it did, the administrative corrections would not be considered backfitting because they are voluntarily requested by the CoC holder rather being imposed by the NRC). The NRC would address backfitting or issue finality considerations for a CoC holder, if necessary, in any technical change rulemaking for a CoC in the rulemaking process for the revision after discussions with the affected general licensee.

Technical changes may affect general licensees who utilize (or have contracted to utilize) casks fabricated under the CoC which is the subject of the rulemaking revising the CoC. These general licensees are accorded backfitting protection under 10 CFR 72.62 and 10 CFR 50.109 as well as issue finality concerns in 10 CFR 52.63 to the extent that they have already contracted for, received or put into use the CoC. If a general licensee has contracted for, received or put into use the CoC prior to the revision of the CoC, then the NRC will treat the technical change rulemaking as applied to those licensees as backfitting and/or a violation of issue finality, and address the applicable backfitting and issue finality requirements. Historically, in such cases the NRC has accepted documentation provided by the CoC holders indicating that the general licensees who may be impacted by the revision voluntarily support the revision and will willingly comply with the revised CoC in determining that the revision is not a backfit. By contrast, if the CoC to be revised has not been purchased or put into use by any general or specific licensee, then there are no backfitting or issue finality concerns which may come into play. In such cases, the NRC would not address backfitting or issue finality requirements.

## **BACKFITTING AND ISSUE FINALITY DISCUSSION**

This RIS informs cask vendors and general licensees of the processes currently used by the NRC for correcting and revising CoCs.

This RIS requires no action or written response beyond that already required by the NRC regulations. Therefore, this RIS does not represent backfitting as defined in 10 CFR 72.62(a) or 10 CFR 50.109(a)(1), nor is it otherwise inconsistent with any issue finality provision in 10 CFR Part 52. Consequently, for this RIS, the NRC staff did not perform a backfit analysis or further address the issue finality criteria.

## **FEDERAL REGISTER NOTIFICATION**

[Discussion to be provided in final RIS]

## **CONGRESSIONAL REVIEW ACT**

[Discussion to be provided in final RIS]

## PAPERWORK REDUCTION ACT STATEMENT

This RIS does not contain new or amended information collection requirements subject to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.). Existing information collection requirements were approved by the Office of Management and Budget (OMB), approval numbers 3150-0008 and 3150-0132.

### Public Protection Notification

The NRC may not conduct or sponsor, and a person is not required to respond to, an information collection unless the requesting document displays a currently valid OMB control number.

## CONTACT

Please direct any questions about this matter to the technical contact listed below.

Mark D. Lombard, Director  
Division of Spent Fuel Management  
Office of Nuclear Material Safety  
and Safeguards

Technical Contact: John Goshen, NMSS/DSFM  
301-415-6933  
E-mail: [John.Goshen@nrc.gov](mailto:John.Goshen@nrc.gov)

Note: NRC generic communications may be found on the NRC public Web site  
<http://www.nrc.gov> under NRC Library/Document Collections.

## PAPERWORK REDUCTION ACT STATEMENT

This RIS does not contain new or amended information collection requirements subject to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.). Existing information collection requirements were approved by the Office of Management and Budget (OMB), approval numbers 3150-0008 and 3150-0132.

## CONTACT

Please direct any questions about this matter to the technical contact listed below.

Mark D. Lombard, Director  
Division of Spent Fuel Management  
Office of Nuclear Material Safety  
and Safeguards

Technical Contact: John Goshen, NMSS/DSFM  
301-415-6933  
E-mail: [John.Goshen@nrc.gov](mailto:John.Goshen@nrc.gov)

Note: NRC generic communications may be found on the NRC public Website  
<http://www.nrc.gov> under NRC Library/Document Collections.

DISTRIBUTION: RIS File

**ADAMS ACCESSION NUMBER: ML14107A510**

OFC	NMSS/DSFM	NMSS/DSFM	NMSS/MSTR		NMSS/DSFM
NAME	JGoshen	WWheatley	AMcIntosh		JMcKirgan
DATE	04/20/2015	6/1/2015	8/24/2016		8/24/2016
OFC	QTE	OCIO	OGC	NMSS/DSFM/DD	NMSS/DSFM/D
NAME	JDougherty	KBenney	ACoggins	THsia	MLombard
DATE	8/8/2016	10 / 4 /2016	12 / 6 /2016	12/ 13 /2016	12/15 /2016

**OFFICIAL RECORD COPY**