



U.S. NUCLEAR REGULATORY COMMISSION

Revision 4\*  
October 1981

# REGULATORY GUIDE

OFFICE OF NUCLEAR REGULATORY RESEARCH

## REGULATORY GUIDE 10.1

### COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

#### A. INTRODUCTION

The Commission's regulations set forth in Title 10, Chapter I, Code of Federal Regulations, require the submission of various reports in connection with licensed activities. In addition, the Commission's regulations require that each applicant for a license authorizing operation of a production or utilization facility include in the application proposed technical specifications. These technical specifications as approved by the NRC are incorporated into the facility license as conditions of the license and include a section on reporting requirements. This guide is not intended to impose additional reporting requirements or to implement existing requirements. The purposes of this guide are (1) to provide a compilation of reporting requirements applicable to the various types of NRC licensees and other persons subject to NRC regulations and (2) to provide information that would assist in the timely and correct distribution of the reports.

#### B. REPORT COMPILATION

The reports listed in Appendix A to this guide reflect regulatory or licensing requirements existing at the time of issuance of this guide and include an identification of addressee or addressees, method of transmittal, timing, and type of licensee. It is expected that revisions to this guide will be made periodically as the various reporting requirements are revised or as reporting requirements are added or deleted. The requirements specified in the regulations, conditions of license, or provisions of license technical specifications prevail if there is a conflict between the requirements and the information in this guide.

\*The substantial number of changes in this revision has made it impractical to indicate the changes with lines in the margin.

8309060437 811031

PDR REGGD

10.001 R

PDR

#### USNRC REGULATORY GUIDES

Regulatory Guides are issued to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations, to delineate techniques used by the staff in evaluating specific problems or postulated accidents, or to provide guidance to applicants. Regulatory Guides are not substitutes for regulations, and compliance with them is not required. Methods and solutions different from those set out in the guides will be acceptable if they provide a basis for the findings requisite to the issuance or continuance of a permit or license by the Commission.

This guide was issued after consideration of comments received from the public. Comments and suggestions for improvements in these guides are encouraged at all times, and guides will be revised, as appropriate, to accommodate comments and to reflect new information or experience.

Appendix A does not discuss the specific information that should be contained in the report; for this information, the licensee should refer to the underlying regulation, condition of license, or provision of the license technical specifications. In some cases, the information that is to be submitted by licensees is described in detail in other publications in the regulatory guide series. For example, Regulatory Guide 1.16, "Reporting of Operating Information - Appendix A Technical Specifications," deals with the reporting of operating information for nuclear power plants. This guide does not include the requirements for records that must be maintained by the licensee or reports required for (1) license applications, (2) license amendments, and (3) license terminations.

For the most part, neither the NRC's regulations nor the technical specifications of a facility license specify the number of copies of a report to be submitted by a licensee to the Commission. Submittal of the number of copies of each report as specified by numerals in parentheses under the headings "Primary Recipient" and "Secondary Recipient" in Appendix A would aid in the timely review of the report by the staff. For any new or revised reporting requirement not listed in Appendix A and for which the appropriate number of copies is not specified in the regulations, license condition, or technical specification, contact the appropriate NRC staff for the number of copies needed.

The codes and abbreviations used in Appendix A are identified either by footnotes on the page on which they appear or in a comprehensive listing on page 10.1-15.

The reports listed have been renumbered in this revision. Therefore, the number of a specific report in this revision does not necessarily correspond to the number used for the same report in previous revisions to this guide.

Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch.

The guides are issued in the following ten broad divisions:

- |                                   |                                   |
|-----------------------------------|-----------------------------------|
| 1. Power Reactors                 | 6. Products                       |
| 2. Research and Test Reactors     | 7. Transportation                 |
| 3. Fuels and Materials Facilities | 8. Occupational Health            |
| 4. Environmental and Siting       | 9. Antitrust and Financial Review |
| 5. Materials and Plant Protection | 10. General                       |

Copies of issued guides may be purchased at the current Government Printing Office price. A subscription service for future guides in specific divisions is available through the Government Printing Office. Information on the subscription service and current GPO prices may be obtained by writing the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Publications Sales Manager.

# APPENDIX A

## COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
1.	All	Radiation exposure data to employees	§ 19.13(b)	When requested by worker	W	Individual	MPA (1)
2.	All	Radiation exposure data to former employees	§ 19.13(c)	Within 30 days of request or determination of exposure	W	Individual	MPA (1)
3.	All	Radiation exposure data to terminating employees	§ 19.13(e)	At termination	W	Individual	MPA (1)
4.	All	Respiratory protection program	§ 20.103(e)	30 days prior to use of equipment	W	RO (1)	DCD (1)
5.	All	Bioassay services	§ 20.108	As requested by Commission	W	EDO (1)	None
6.	All	Report of excessive radioactive contamination on package of radioactive material on receipt	§ 20.205 (b)(2)	Immediately	P,T	RO	Final deliver- ing carrier
7.	All	Report of excessive radiation levels external to the package on receipt	§ 20.205 (c)(2)	Immediately	P,T	RO	Final deliver- ing carrier
8.	All	Theft or loss of licensed material	§ 20.402(a)	Immediately	P	RO	None
9.	All	Theft or loss of licensed material	§ 20.402(b)	30 days	W	RO (1)	IE (1)
10.	All	Additional information on theft or loss	§ 20.402(c)	Within 30 days	W	RO (1)	IE (1)
11.	All	Report of incident	§ 20.403(a)	Immediately	P,T	RO	None
12.	All	Report of incident	§ 20.403(b)	24 hours	P,T	RO	None
13.	All	Overexposure of individual and excessive levels and concentrations of radioactivity	§ § 20.405(a), 20.409	30 days	W	RO (1)	IE (1); Exposed individual (1)
14.	All	Personnel exposure and monitoring reports	§ 20.407	Annually, first calendar quarter	W	MPA (1)	None

PAGE: 1 U.S. NUCLEAR REGULATORY COMMISSION DATE: 08/31/83  
PACKING SLIP

USNRC ORDER NUMB N04143-00005  
R. SMITH FOR PDR ORDER TYPE 2  
016

DOCUMENT NO. QTY # COST TOTAL COST COMMENTS

REC010.1 1 .00

TOTAL DOCUMENTS ORDERED 1  
TOTAL DOCUMENTS ENCLOSED 1



APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
15.	All	Personnel exposure at termination of employment	§§ 20.408(b), 20.409	30 days after determination of exposure or 90 days after termination, whichever is earlier	W	MPA (1)	Exposed individual (1)
16.	All	Failure to comply or existence of a defect	§ 21.21(b)	2 days	P,T	IE or RO	None
17.	All	Failure to comply or existence of a defect	§ 21.21(b)	5 days	W	IE or RO (1)	DCD (1)
18.	C	Reports required as conditions of Parts 30-35 licenses	§ 30.34 (e)(4)	Specified in license condition		Specified in license condition	
19.	C	Transfer of tritium; Form DOE/NRC-741; report by shipper	§ 30.55(a)	Promptly	W	DOE (1)	Receiver (3)
20.	C	Transfer of tritium; Form DOE/NRC-741; report by receiver	§ 30.55(a)	10 days after receipt of material	W	DOE (1)	Shipper (1)
21.	C	Tritium inventory report	§ 30.55(b)	Semiannually	W	DOE (1)	None
22.	C	Attempted theft or unlawful diversion of tritium	§ 30.55(c)	Promptly	P,T	RO	None
23.	C	Attempted theft or unlawful diversion of tritium	§ 30.55(c)	15 days	W	RO (1)	IE (1)
24.	C	Failure of or damage to shielding, on-off mechanism or indicator; detection of removable radioactive material	§ 31.5 (c)(5)	30 days	W	RO (1)	DCD (1)
25.	C	Transfer of device to specific licensee	§ 31.5(c)(8)	30 days	W	NMSS (1)	None
26.	C	Transfer of device to general licensee	§ 31.5 (c)(9)(i)	30 days	W	NMSS (1)	None
27.	C	Registration; Form NRC-483	§ 31.11(b)	Prior to use of byproduct material	W	NMSS (3)	None
28.	C	Report of changes of information furnished on Form NRC-483	§ 31.11(e)	30 days	W	NMSS (3)	None

# APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
29.	C	Material transfer report by §32.11 licensee	§32.12	Annually	W	NMSS (2)	RO (1)
30.	C	Transfer of material report by §32.14 or §32.17 licensee	§32.16	Annually	W	NMSS (2)	RO (1)
31.	C	Transfer of material report by §32.18 licensee	§32.20	Annually	W	NMSS (2)	RO (1)
32.	C	Transfer of material report by §32.22 licensee	§32.25(c)	Annually	W	NMSS (2)	RO (1)
33.	C	Transfer of material report by §32.26 licensee	§32.29(c)	Annually	W	NMSS (2)	RO (1)
34.	C	Transfer of devices licensed under §31.5 by §32.51 licensee to general licensee	§32.52(a)	Quarterly	W	NMSS (2)	RO (1)
35.	C	Transfer of devices licensed under Agreement State regulations equivalent to §31.5	§32.52(b)	Quarterly	W	State Agency* (1)	DCD (1)
36.	C	Transfer of tritium or promethium-147 licensed under §31.7 by §32.53 licensee	§32.56	Annually	W	NMSS (2)	RO (1)
37.	C	Leaking of sealed radiographic source	§34.25(d)	5 days	W	NMSS (1)	RO (1)
38.	C	Exceeding limit of removable contamination by Group VI licensee	§35.14 (b)(5)(iii)	5 days	W	RO (1)	IE (1)
39.	C	Exceeding limit of removable contamination revealed by leak test	§35.14 (e)(3)	5 days	W	RO (1)	IE (1)
40.	C	Physician Registration Form NRC-482	§35.31(b)	Prior to use of byproduct material	W	NMSS (3)	None
41.	C	Changes of information furnished on Form NRC-482	§35.31(d)	30 days	W	NMSS (2)	None

\*Responsible Agreement State Agency.

## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
42.	C	Therapy procedure misadministration	§ 35.42(a)	Immediately	P	RO	None
43.	C	Therapy procedure misadministration	§ 35.42(a)	24 hours	P	Ref. Phy.*	Patient**
44.	C	Therapy procedure misadministration	§ 35.42(b)	15 days	W	RO (1)	Ref. Phy. (1); Patient (1); DCD (1)
45.	C	Diagnostic procedure misadministration	§ 35.43	Quarterly	W	Ref. Phy. (1)	RO (1)
46.	D	Registration of general licensee who receives, acquires, possesses, or uses depleted uranium	§ 40.25 (c)(1)	30 days after first receipt	W	IE (1)	None
47.	D	Change to registration	§ 40.25(c)(2)	30 days	W	IE (1)	None
48.	D	Registration certificate - filed by transferor	§ 40.25 (d)(3)	Promptly	W	Transferee (1)	DCD (1)
49.	D	Registration certificate - transfer	§ 40.25(d)(4)	30 days	W	IE (1)	None
50.	D	Failure of retention system	§ 40.26(c)(2)	Immediately	P,T	IE or RO	None
51.	D	Transfer of material licensed under § 40.25	§ 40.35(d)	Promptly	W	Receiver (1)	None
52.	D	Transfer of material licensed under § 40.25	§ 40.35(e)(1)	Quarterly	W	IE (1)	None
53.	D	Transfer of devices under Agreement State regulations equivalent to § 40.25	§ 40.35 (e)(2)	Quarterly	W	State Agency***	DCD (1)
54.	D	Reports required as conditions of Part 40 license	§ 40.41 (e)(4)	Specified in license condition		Specified in license condition	
55.	D	Nuclear Material Transaction Report - Form DOE/NRC-741 filed by shipper	§ 40.64(a)	Promptly	W	DOE (1)	Receiver (3)

\*Referring physician.

\*\*Or responsible relative or guardian.

\*\*\*Responsible Agreement State Agency.

## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
56.	D	Nuclear Material Transaction Report - Form DOE/NRC-741 filed by receiver	§ 40.64(a)	10 days after receipt of material	W	DOE (1)	Shipper (1)
57.	D	Statement of source material inventory	§ 40.64(b)	Annually	W	DOE (1)	None
58.	D	Unlawful diversion of source material	§ 40.64(c)	Promptly	P,T	RO	None
59.	D	Unlawful diversion of source material	§ 40.64(c)	15 days	W	RO (1)	IE (1)
60.	D	Effluent Monitoring Report	§ 40.65	Semiannually	W	RO (1)	IE (1)
61.	D	Ceasing operations due to emission controls	§ 40, App. A.I, Crit. 8	10 days subsequent to restart	W	RO (1)	DCD (1)
62.	D	Failure of retention system	§ 40, App. A.I, Crit. 8A	Immediately	P,T	RO or IE	None
63.	D	Annual site inspection	§ 40, App. A.IV	60 days	W	NMSS	None
64.	A	Effluent releases report	§ 50.36a(a)(2), Tech Specs	Semiannually	W	RO (1)	DCD (1)
65.	A,B	Changes in security plan made without prior approval	§ 50.54(p)	Two months after change	W	NRR or NMSS (2)	MPA (1)
66.	A,B	Changes in emergency plan made without prior approval	§ 50.54(q)	30 days after change or proposed to NRC	W	RO (1)	DCD (1)
67.	A,B	Construction deficiency report	§ 50.55(e)(2)	24 hours	P,T	RO	None
68.	A,B	Construction deficiency report	§ 50.55(e)(3)	30 days	W	RO (1)	DCD (1)
69.	A,B	Facility changes, tests, and experiments conducted without prior approval	§ 50.59(b)	Annually or as otherwise specified in license	W	RO (1)	DCD (1)
70.	A,B	Financial report	§ 50.71(b)	Annually	W	NRR (10)	None



## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
71.	A,B	FSAR updating	§ 50.71(e)(1)	Annually	W	NRR (12)	None
72.	A,B	Significant events	§ 50.72(a)	Prompt (1 hour)	P	OP CTR	None
73.	A,B	Financial report	Part 50, App. C, Sec. III	Annually	W	NRR (10)	None
74.	A,B,F	Emergency notification	Part 50, App. E Sec. IV.D.3	15 minutes	P	S&L Gov.*	None
75.	A	Fracture toughness	Part 50, App. G, Sec. V.E	At least 3 years prior to date when the predicted fracture toughness levels will no longer satisfy requirements of Appendix G	W	NRR (1)	None
76.	A	Report of test results of specimens withdrawn from capsules (fracture toughness tests)	Part 50, App. H, Sec. IV.A	Variable	W	NRR (1)	None
77.	A	Report of effluents released in excess of design objectives	Part 50, App. I., Sec. IV.A	Within 30 days from end of quarter	W	RO (1)	DCD (1)
78.	A	Reactor containment building integrated leak rate test	Part 50, App. J, Sec. V.B	3 months	W	NRR (1)	None
79.	A,B	Notification of disability of operator	§ 55.41	15 days	W	NRR or NMSS (2)	None
80.	A,B	Medical examination	§ 55.60(b)	—	W	NRR or NMSS (2)	None
81.	G	Site characterization	§ 60.11(g)	Semiannually	W	NMSS (3)	None
82.	G	Changes, tests, and experiments conducted without prior approval	§ 60.44(b)	Annually	W	RO (1)	IE (1)

\*State and local governments.



# APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
83.	G	Notification of deficiencies	§ 60.71(c)	Promptly	W	IE (1)	None
84.	E	Reports as conditions of Part 70 license	§ 70.32(b)(5)	Specified in license condition		Specified in license condition	
85.	E	Changes in material control and accounting program made without prior approval	§ 70.32(c)	2 months or 6 months (depending on isotopes)	W	NMSS (2)	RO (1)
86.	E	Changes in plan for physical protection of SNM in transit made without prior approval	§ 70.32(d)	2 months	W	NMSS (2)	RO (1)
87.	E	Changes in security plan without prior approval	§ 70.32(e)	2 months	W	NMSS (2)	RO (1)
88.	E	Changes in safeguards contingency plans without prior approval	§ 70.32(g)	2 months	W	NMSS (2)	RO (1)
89.	E	Changes in emergency plan made without prior approval	§ 70.32(i)	6 months	W	NMSS (2)	RO (1)
90.	A,B,E	Accidental criticality or loss of SNM	§ 70.52(a)	Immediately	P,T	RO	None
91.	A,B,E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§ 70.52(b)	Immediately	P,T	RO	None
92.	A,B,E	Material status report, Form DOE/NRC-742 and 742C	§ 70.53(a)	Semiannually	W	DOE (1)	None
93.	A,B,E	Unaccounted for SNM exceeding applicable limits	§ 70.53(b)	30 days after start of ending physical inventory	W	RO (1)	IE (1)
94.	A,B,E	Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper	§ 70.54	Promptly	W	DOE (1)	Receiver (3)
95.	A,B,E	Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver	§ 70.54	10 days after receipt of material	W	DOE (1)	Shipper (1)
96.	E	Effluent Monitoring Report	§ 70.59	Semiannually	W	RO (2)	IE (1)

## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
97.	All	Accident reports required by DOT on transportation of licensed material	§ 71.5(b) (See 49 CFR 171.15, 171.16)	Immediate 15 days	P,T W	RO NMSS (5)	None RO (1)
98.	All	Request for registration as user of authorized packages	§ 71.12 (b)(1)(iii)	Prior to use of package	W	NMSS (3)	None
99.	All	Reductions in effectiveness of authorized package during use	§ 71.61	30 days	W	NMSS (2)	None
100.	A,B,C, E,F	Fabrication of package with excess decay heat load or pressure	§ 71.63(c)	45 days prior to fabrication	W	IE (1)	None
101.	F	Effluent Report	§ 72.33(d)(3)	Annually	W	NMSS (4)	None
102.	F	Changes in physical security plan without prior approval	§ 72.33(e) and § 72.84(b)	2 months	W	NMSS (4)	RO (1)
103.	F	Changes in emergency plan without prior approval	§ 72.33(f)	6 months	W	RO (1)	NMSS (4)
104.	F	Changes, tests, and experiments conducted without prior approval	§ 72.35 (b)(2)	Annually or as otherwise specified	W	RO (1)	NMSS (4)
105.	F	SAR update	§ 72.50(b)	Annually	W	NMSS (12)	None
106.	F	Accidental criticality or loss of SNM	§ 72.52	Immediately	P,T	RO	None
107.	F	Material Status Report Form DOE/NRC-742	§ 72.53	Semiannually	W	DOE (1)	None
108.	F	Nuclear Material Transfer Report Form DOE/NRC-741 filed by shipper	§ 72.54	Promptly	W	DOE (1)	Receiver (3)
109.	F	Nuclear Material Transfer Report Form DOE/NRC-741 filed by receiver	§ 72.54	10 days after received, unloaded, and verified	W	DOE (1)	Shipper (1)
110.	F	Financial report	§ 72.55(b)	Annually	W	NMSS (4)	None
111.	F	Preoperational test criteria and results	§ 72.56(e)	30 days prior to receipt of fuel	W	NMSS (4)	None

APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
112.	F	Changes in safeguards contingency plan without prior approval	§ 72.84(b)	2 months	W	NMSS (4)	RO (1)
113.	A,B,E,F	Failure to receive periodic calls during SNM shipment - road	§ 73.26 (i)(6)	Immediately	P	LEA*	RO
114.	A,B,E,F	Failure to receive periodic calls during SNM shipment - rail	§ 73.26 (k)(4)	Immediately	P	LEA*	RO
115.	A,B,E,F	Delivery of SNM	§ 73.27(a)(1)	Immediately	P,T	Consignee	None
116.	A,B,E,F	Receipt of shipment of SNM by licensee	§ 73.27(b)	Immediately	P,T	Deliverer	RO
117.	A,B,E,F	Failure of shipment of SNM to arrive at destination - notification by consignee	§ 73.27(b)	Immediately	P,T	RO	Deliverer
118.	A,B,E,F	Action taken to trace shipment of SNM - notification by licensee who made the physical protection arrangements	§ 73.27(b)	Immediately	P,T	RO	None
119.	A,B,E,F	Results of trace investigation of lost or unaccounted for shipment of SNM	§ 73.67 (e)(3)(vi) § 73.67 (g)(3)(iii) § 73.71(a)	Immediately	P,T	RO	None
120.	A,B,E,F	Results of trace investigation of lost or unaccounted for shipment of SNM	§ 73.71(a)	15 days	W	RO (1)	IE (1)
121.	A,B,E,F	Report of suspected theft or diversion of SNM or industrial sabotage against plant	§ 73.71(b)	Immediately	P,T	RO	None
122.	A,B,E,F	Report of suspected theft or diversion of SNM or industrial sabotage against plant	§ 73.71(b)	15 days	W	RO (1)	IE (1)
123.	A,B,E,F	Explicit threat	§ 73.71(c)	1 hour	P	RO	None
124.	A,B,E,F	Explicit threat	§ 73.71(c)	5 days	W	RO (1)	IE (1)

\*Appropriate law enforcement authority.

## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
125.	A,B,E,F	Major loss of physical security effectiveness	§ 73.71(c)	1 hour	P	RO	None
126.	A,B,E,F	Major loss of physical security effectiveness	§ 73.71(c)	5 days	W	RO (1)	IE (1)
127.	A,B,E,F	Potential threat	§ 73.71(c)	24 hours	P	RO	None
128.	A,B,E,F	Potential threat	§ 73.71(c)	5 days	W	RO (1)	IE (1)
129.	A,B,E,F	Major loss of physical security effectiveness which has been properly compensated	§ 73.71(c)	24 hours	P	RO	None
130.	A,B,E,F	Major loss of physical security effectiveness which has been properly compensated	§ 73.71(c)	5 days	W	RO (1)	IE (1)
131.	A,B,E,F	Moderate loss of physical security effectiveness	§ 73.71(c)	24 hours	P	RO	None
132.	A,B,E,F	Moderate loss of physical security effectiveness	§ 73.71(c)	5 days	W	RO (1)	IE (1)
133.	A,B,E,F	Advance notice of shipment	§ 73.72	7 days prior to shipment	W	RO (1)	DCD (1)
134.	A,B,E,F	Advance notice of shipment	§ 73.72	7 days prior to shipment	P	RO	None
135.	A,B,E,F	Initial inventory report Form DOE/NRC-741	§ 75.32	As specified by Commission	W	DOE (1)	None
136.	A,B,F	Inventory change report Form DOE/NRC-741	§ 75.34(a)	When change occurs	W	DOE (1)	None
137.	A,B,F	Material status report Form DOE/NRC-742 and 742C	§ 73.35	30 days after start of inventory	W	DOE (1)	None
138.	A,B,F	Special report	§ 75.36(b)	Immediately per license condition	P,T	RO	None
139.	A,B,F	Advance notification; exports and domestic transfers	§ 73.43(b) and (d), § 75.44(a)(1)	20 days in advance of preparation of material	W	NRR or NMSS (2)	RO (1)
140.	A,B,F	Advance notification; imports	§ 75.43(c) § 75.44(a)(2)	12 days in advance of unpackaging of material	W	NRR or NMSS (2)	RO (1)
141.	A,B,F	Delay in receipt or shipment	§ 75.44(c)	As soon as possible	P	RO	None



APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
142.	All	Practical application of invention	§ 81.32(a)(10)	Annually on anniversary	W	GC (2)	None
143.	All	NRC security facility approval	§ 95.15(a)	Promptly	W	SEC (1)	None
144.	All	Unattended security container found open	§ 95.25(h)	Immediately	P	Container Custodian	None
145.	All	Unattended security container found open - actions taken	§ 95.25(h)	—	W	RO (1)	SEC (1)
146.	All	Security violation	§ 95.57	Immediately	P	RO	None
147.	All	Generation of classified document	§ 95.57	When document classified or classification changed	W	SEC (1)	None
148.	All	Packaging requirements do not meet Part 71	§ 110.50(a)(7)	Promptly	P	IP	None
149.	A,B	Bodily injury or property damage from possession or use of radioactive material resulting in indemnity claim	§ 140.6(a)	Promptly	W	NRR or NMSS (3)	None
150.	A,B	Proof of financial protection	§ 140.15(a)	As required	W	NRR or NMSS (3)	None
151.	A,B	Change in proof of financial protection	§ 140.15(e)	Promptly	W	NRR or NMSS (2)	None
152.	A,B	Financial statement	§ 140.15 (b)(1)	Annually	W	NRR or NMSS (3)	None
153.	A,B	Policy renewal	§ 140.17(b)	30 days prior to termination of policy	W	NRR or NMSS (1)	None
154.	A,B	Guarantee of payment of deferred premiums	§ 140.21	Annually	W	NRR or NMSS (1)	None
155.	E	Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper	§ 150.16(a)	Promptly	W	DOE (1)	Receiver (3)
156.	E	Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver	§ 150.16(a)	10 days after receipt of material	W	DOE (1)	Shipper (1)

APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
157.	E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§ 150.16(b)	Immediately	P	RO	None
158.	E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§ 150.16(b)	15 days	W	RO (1)	IE (1)
159.	D	Nuclear Material Transaction Report Form DOE/NRC-741 filed by shipper	§ 150.17(a)	Promptly	W	DOE (1)	Receiver (3)
160.	D	Nuclear Material Transaction Report Form DOE/NRC-741 filed by receiver	§ 150.17(a)	10 days after receipt of material	W	DOE (1)	Shipper (1)
161.	D	Statement of source material inventory	§ 150.17(b)	Annually	W	DOE (1)	None
162.	D	Unlawful diversion or theft of source material	§ 150.17(c)	Promptly	P,T	RO	None
163.	D	Unlawful diversion or theft of source material	§ 150.17(c)	15 days	W	RO (1)	IE (1)
164.	C	Tritium transfer report Form DOE/NRC-741 filed by shipper	§ 150.19(a)	Promptly	W	DOE (1)	Receiver (1)
165.	C	Tritium transfer report Form DOE/NRC-741 filed by receiver	§ 150.19(a)	10 days after receipt of material	W	DOE (1)	Shipper (1)
166.	C	Tritium inventory report	§ 150.19(b)	Semiannually	W	DOE (1)	None
167.	C	Unlawful diversion or theft of tritium	§ 150.19(c)	Promptly	P,T	RO	None
168.	C	Unlawful diversion or theft of tritium	§ 150.19(c)	15 days	W	RO (1)	IE (1)
169.	C,D,E	Report of proposed activities in non-Agreement States - Form NRC-241	§ 150.20 (b)(1)	3 days prior to engaging in each such activity	W	RO (4)	DCD (1)
170.	A	Startup of Reactor	Tech Specs	Within (1) 90 days following completion of the startup test program, (2) 90 days following resumption or commencement of commercial power operation, or (3) 9	W	RO (2)	IE (36)

## APPENDIX A (Continued)

No.	Types of Licensee	Report	Required By	Timing	Method	Primary Recipient	Secondary Recipient
				months following initial criticality, whichever is earliest. If all three events are not completed, supplementary reports every 3 months.			
171.	A,B	Monthly Operating Report	Tech Specs	Monthly	W	IE (12)	None
172.	A,B	Reportable occurrence	Tech Specs	24 hours	P,T	RO	None
173.	A,B	Reportable occurrence	Tech Specs	14 days	W	RO (1)	DCD (1)
174.	A,B	Reportable occurrence	Tech Specs	30 days	W	RO (1)	DCD (1)
175.	A,B	Source Leakage Report	Tech Specs	Annually	W	RO (1)	IE (1)
176.	C	Source Leakage Report	Tech Specs	Annually	W	RO (1)	IE (1)
177.	A	Annual Environmental Operating Report (Part A and Part B)	Tech Specs	Annually	W	RO (1)	DCD (18)
178.	A	Nonroutine Environmental Operating Report	Tech Specs	24 hours	P,T	RO	NRR
179.	A	Nonroutine Environmental Operating Report	Tech Specs	10 days	W	RO (1)	DCD (1)
180.	A	Nonroutine Environmental Operating Report	Tech Specs	30 days	W	RO (1)	DCD (1)
181.	A	Radiation Exposure by Functions	Tech Specs	Annually	W	RO (1)	None

# ABBREVIATIONS AND CODES

## Types of Licensee\*

- A Nuclear Power Reactor Licensees
- B Other Production and Utilization Facility Licensees
- C Byproduct Material Licensees
- D Source Material Licensees
- E Special Nuclear Material Licensees
- F Independent Spent Fuel Storage Installation Licensees
- G Geologic Repository
- All All Licensees

## Reporting Method

- P Telephone
- T Telegraph, mailgram, or facsimile
- W Written report

## Number of Copies

The number of copies of each report is specified by numerals in parentheses under the headings "Primary Recipient" and "Secondary Recipient."

\* It should be noted that Nuclear Power Reactor Licensees and other Production and Utilization Facility Licensees may combine in a single license the activities of other licensee categories that would otherwise be licensed separately.

## Recipients

- DCD Document Control Desk, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- DOE U.S. Department of Energy, P. O. Box E, Oak Ridge, Tennessee 37830
- EDO Executive Director for Operations, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- GC General Counsel, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- IE Director, Office of Inspection and Enforcement, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, ATTN: Document Control Desk
- IP Assistant Director, Export-Import and International Safeguards, Office of International Programs, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- MPA Director, Office of Management and Program Analysis, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- NMSS Director, Office of Nuclear Material Safety and Safeguards, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555
- NRR Director, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, ATTN: Document Control Desk
- OP CTR USNRC Operations Center
- RO Appropriate NRC Regional Office (See Appendix D to Part 20 or Appendix A to Part 73)
- SEC Director, Division of Security, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D. C. 20555

OFFICIAL BUSINESS  
PENALTY FOR PRIVATE USE, \$300

POSTAGE AND FEES PAID  
U.S. NUCLEAR REGULATORY  
COMMISSION



N04143-00005 2  
USNRC  
R. SMITH FOR PDR  
016