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**APPENDIX G**  
**REGULATORY ANALYSIS METHODS AND DATA FOR NUCLEAR**  
**FACILITIES OTHER THAN POWER REACTORS**



# TABLE OF CONTENTS

1		
2		
3	<b>LIST OF FIGURES</b> .....	<b>G-v</b>
4	<b>LIST OF TABLES</b> .....	<b>G-v</b>
5	<b>ABBREVIATIONS AND ACRONYMS</b> .....	<b>G-vii</b>
6	<b>G.1 PURPOSE</b> .....	<b>G-1</b>
7	<b>G.2 FUEL CYCLE ACTIVITIES</b> .....	<b>G-2</b>
8	G.2.1 Mining and Milling .....	G-4
9	G.2.2 Conversion.....	G-6
10	G.2.3 Enrichment.....	G-7
11	G.2.4 Fuel Fabrication .....	G-9
12	G.2.5 Spent Nuclear Fuel Storage .....	G-10
13	G.2.6 Low-Level Waste Disposal .....	G-12
14	G.2.7 Geological Repository Risks.....	G-14
15	G.2.7.1 Transportation of Spent Nuclear Fuel to a Repository.....	G-14
16	G.2.7.2 Repository Construction, Operation, and Closure .....	G-19
17	G.2.7.3 Repository Risks after Permanent Closure.....	G-33
18	G.2.7.4 Summary of Risks of a Geological Repository.....	G-34
19	G.2.8 Decommissioning .....	G-35
20	<b>G.3 NON-FUEL CYCLE ACTIVITIES</b> .....	<b>G-37</b>
21	<b>G.4 COMMON ACTIVITIES</b> .....	<b>G-40</b>
22	G.4.1 Transportation.....	G-40
23	G.4.2 Security.....	G-42
24	G.4.3 Material Control and Accountability .....	G-45
25	G.4.4 Emergency Planning and Preparedness .....	G-46
26	<b>G.5 REFERENCES</b> .....	<b>G-48</b>
27		



## LIST OF FIGURES

Figure G-1	The Nuclear Fuel Cycle .....	G-2
Figure G-2	Schematic of a Single Gas Centrifuge Cylinder .....	G-8
Figure G-3	Typical Light-Water Reactor Fuel Fabrication Facility .....	G-10

## LIST OF TABLES

Table G-1	Data Used to Estimate Radiation Doses for Loading .....	G-15
Table G-2	Estimated Radiological Impacts from Loading Operations .....	G-16
Table G-3	Estimated Worker and Public Impacts from Shipping Commercial SNF to the Repository over a 50-Year Period .....	G-17
Table G-4	Atmospheric Release of Radon through Ventilation of the Underground Facility during Repository Development .....	G-21
Table G-5	Internal Dose Conversion Factors for the Maximally Exposed Individuals and the Offsite Population Present on the Land Surface Based on a Release of 1 Ci of Radon .....	G-22
Table G-6	Internal and External Dose Conversion Factors for the Maximally Exposed Worker in the Subsurface from Natural Sources of Radiation throughout Repository Development .....	G-23
Table G-7	Maximum Annual Individual Dose for Workers and the Public from Naturally Occurring Radionuclides during the Development of a Repository .....	G-24
Table G-8	Population Size for Workers (Worker-Years) during Repository Development .....	G-25
Table G-9	Collective Population Dose for Workers and the Public in Person-Rem from Natural Sources of Radiation during the Development of a Repository .....	G-25
Table G-10	Annual Individual Internal Dose for Atmospheric Releases of SNF during Operations .....	G-27
Table G-11	External Dose for Involved Workers for Specific Activities .....	G-28
Table G-12	Largest Annual Individual Dose for Workers and the Maximally Exposed Offsite Individual from SNF during the Operational Period .....	G-29
Table G-13	Collective Internal Dose for Workers and the Public from SNF during Repository Development .....	G-31
Table G-14	Conditional Doses for Accident Scenarios Involving SNF Releases during Repository Handling and Emplacement Activities .....	G-32
Table G-15	Risk Associated with Accident Scenarios Involving SNF Releases during Repository Handling and Emplacement Activities .....	G-33
Table G-16	Collective Dose for Workers and the Public from the Transportation Campaign and Repository Development .....	G-35



## ABBREVIATIONS AND ACRONYMS

1		
2		
3	ACNW	Advisory Committee on Nuclear Waste
4	BLS	Bureau of Labor Statistics
5	BSC	Bechtel SAIC Company
6	CFR	<i>Code of Federal Regulations</i>
7	Ci	curie(s)
8	DOE	U.S. Department of Energy
9	DOL	U.S. Department of Labor
10	DPC	dual-purpose canister
11	EIS	environmental impact statement
12	EPA	U.S. Environmental Protection Agency
13	FNMC	Fundamental Nuclear Material Control
14	FR	<i>Federal Register</i>
15	GTCC	greater-than-Class C
16	HEPA	high-efficiency particulate air
17	HF	hydrogen fluoride
18	HLW	high-level waste
19	ISA	integrated safety analysis
20	ISFSI	independent spent fuel storage installation
21	ISL/ISR	in situ leach/in situ recovery
22	LLW	low-level waste
23	mrem	millirem
24	MTHM	metric ton(s) of heavy metal
25	NA	not available or not applicable
26	NEPA	National Environmental Policy Act
27	NMED	Nuclear Materials Events Database
28	NRC	U.S. Nuclear Regulatory Commission
29	OMB	U.S. Office of Management and Budget
30	OpE	operating experience
31	PRA	probabilistic risk assessment
32	PuO <sub>2</sub>	plutonium dioxide
33	REIRS	Radiation Exposure Information Reporting System
34	RF	receipt facility
35	SFP	spent fuel pool
36	SNF	spent nuclear fuel
37	TAD	transportation, aging, and disposal
38	U	uranium
39	UF <sub>6</sub>	uranium hexafluoride
40	U <sub>3</sub> O <sub>8</sub>	uranium (V, VI) oxide, yellowcake
41	UO <sub>2</sub>	uranium dioxide
42	UO <sub>2</sub> F <sub>2</sub>	uranyl fluoride
43	WHF	wet handling facility
44	yr	year





# REGULATORY ANALYSIS METHODS AND DATA FOR NUCLEAR FACILITIES OTHER THAN POWER REACTORS

## G.1 PURPOSE

This appendix documents established approaches and data considerations for use in performing non-power reactor regulatory analyses. The information presented in this appendix supplements the basic concepts for conducting a regulatory analysis described in Sections 2 through 5 of this NUREG. This appendix is for use by the analyst preparing a regulatory decision-making document for non-power reactor facilities and activities, including fuel fabrication facilities, independent spent fuel storage installations (ISFSIs), irradiators, uses of byproduct material, and high-level waste (HLW) repositories.

The analyst should strive to use quantitative measures when performing a regulatory analysis for regulatory changes affecting non-power reactor facilities and activities. However, many benefits of improved regulation for these facilities and activities do not lend themselves to quantification. As discussed in Appendix A, "Qualitative Factors Assessment Tools" to this NUREG, nonquantifiable costs and benefits can be significant elements of a regulatory analysis, and the analyst and decisionmaker should consider them as appropriate. The analyst should refer to "Risk-Informed Decisionmaking for Nuclear Material and Waste Applications," as a supplement to this NUREG for guidance on making risk-informed regulatory decisions for nonpower reactors.

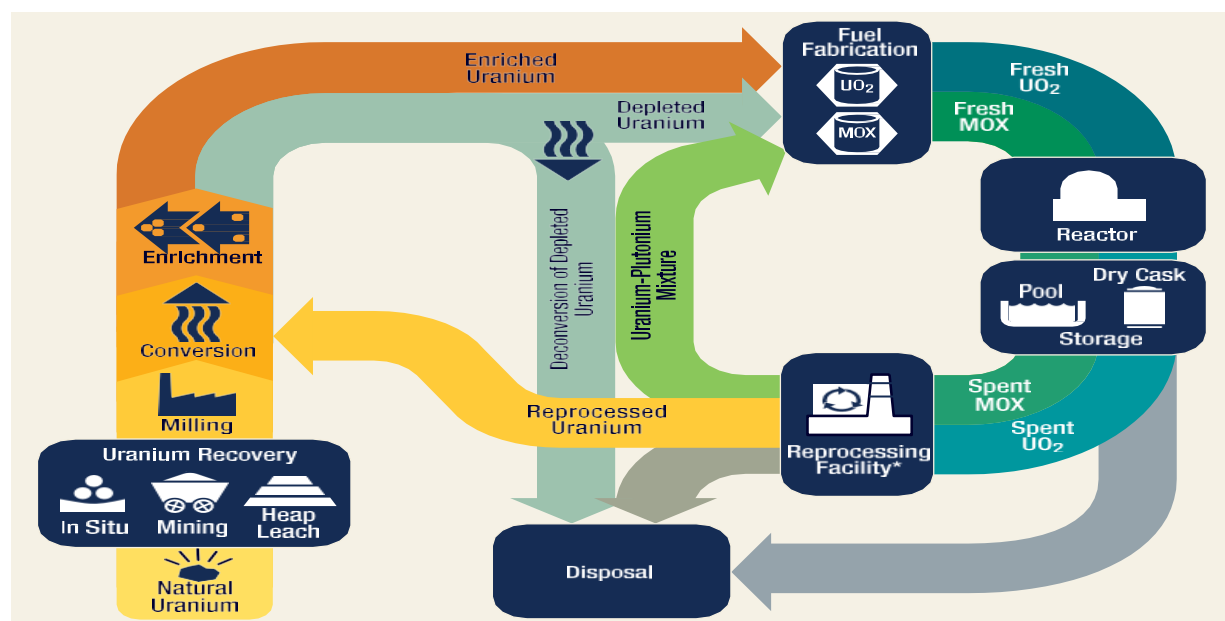
The analyst will need to consider NRC's backfitting regulations when evaluating changes to requirements for non-power reactor activities. These requirements are found in 10 CFR 70.76, "Backfitting," for specific licenses involving special nuclear material; 10 CFR 72.62, "Backfitting," for ISFSIs and monitored retrievable storage facilities; and 10 CFR 76.76, "Backfitting," for gaseous diffusion plants. Management Directive 8.4, "Management of Facility-Specific Backfitting and Information Collection," and NUREG-1409, "Backfitting Guidelines," provide guidance to NRC staff on the application of the substantial increase standard as it relates to the NRC's backfit regulations.

This document is organized into three sections: Section G.2, "Fuel Cycle Activities," describes the activities, hazards, and data sources for mining, milling, conversion, enrichment, and fuel fabrication for nuclear reactors, as well as activities associated with the storage and disposal of the spent nuclear fuel (SNF) and low-level radioactive waste. Section G.3, "Non-Fuel-Cycle Activities," addresses activities involving the use of radioactive (byproduct) material, such as for medical and industrial use (e.g., irradiators, radiography, well-logging, manufacturing, gauges) and for academic or research use. Section G.4, "Common Activities," addresses those activities that are common to both groups of non-power reactor activities, such as transportation, security, material control and accountability, and emergency planning and preparedness.

## G.2 FUEL CYCLE ACTIVITIES

Fuel cycle activities are those activities associated with the extraction of uranium (and other materials), production of fuel for use in nuclear reactors, and storage and disposal of SNF and associated radioactive wastes from nuclear reactor operations. The NRC regulations for these activities are 10 CFR Part 40, “Domestic Licensing of Source Material”; 10 CFR Part 60, “Disposal of High-Level Radioactive Wastes in Geologic Repositories”; 10 CFR Part 61, “Licensing Requirements for Land Disposal of Radioactive Waste”; 10 CFR Part 63, “Disposal of High-level Radioactive Wastes in a Geologic Repository at Yucca Mountain, Nevada”; and parts 70 through 76 of 10 CFR<sup>1</sup>. The NRC’s environmental protection regulations implement the National Environmental Policy Act (NEPA) and are in 10 CFR Part 51, “Environmental Protection Regulations for Domestic Licensing and Related Regulatory Functions.”

NUREG/BR-0280, Revision 1, “Regulating Nuclear Fuel,” is an overview of the nuclear fuel cycle and includes a high-level discussion of possible hazards in various processes. Figure G-1 illustrates general fuel cycle activities.



**Figure G-1 The Nuclear Fuel Cycle**

This section discusses the fuel activities shown in Figure G-1, the most significant hazards for each activity, and useful sources of data<sup>2</sup>:

- source material—uranium recovery (i.e., mining, in situ leaching, heap leaching)

<sup>1</sup> 10 CFR Part 70, “Domestic Licensing of Special Nuclear Material”; 10 CFR Part 71, “Packaging and Transportation of Radioactive Material”; 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”; 10 CFR Part 73, “Physical Protection of Plants and Materials”; 10 CFR Part 74, “Material Control and Accounting of Special Nuclear Material”; 10 CFR Part 75, “Safeguards on Nuclear Material—Implementation of Safeguards Agreements between the United States and the International Atomic Energy Agency”; and 10 CFR Part 76, “Certification of Gaseous Diffusion Plants.”

<sup>2</sup> Operational/facility decommissioning, while not identified in Figure G-1, is discussed in Section G.2.8 of this appendix.

- 1 • milling (including reclamation of mill tailings and decommissioning)
- 2 • conversion
- 3 • enrichment
- 4 • fuel fabrication (including fuel refabrication, such as mixed oxide fuel)
- 5 • SNF storage
  - 6 – spent fuel pool (SFP)
  - 7 – ISFSI or monitored retrievable storage
- 8 • fuel reprocessing
- 9 • disposal
  - 10 – low-level waste (LLW) disposal
  - 11 – HLW geologic repository

12  
 13 Uranium recovery by in situ leach and heap leach, discussed in Section G.2.1, fall under NRC  
 14 regulatory purview; however, traditional mining is not regulated by the NRC so it is not  
 15 discussed in this document. The United States currently has no licensed commercial  
 16 reprocessing facilities. Should a regulatory analysis need to consider a reprocessing facility,  
 17 staff should rely on NUREG/CR-7232, “Review of Spent Fuel Reprocessing and Associated  
 18 Accident Phenomena.” That document includes an overview of typical facility designs and  
 19 describes historical accidents and the phenomena relevant to accidents at this type of facility.  
 20 There also are no gaseous diffusion plants operating in the United States. Because the NRC  
 21 has no knowledge of any plan to use this technology in the future, this appendix does not  
 22 discuss these facilities or the associated regulations in 10 CFR Part 76.

23  
 24 A regulatory analysis and an environmental analysis to comply with NEPA are required for all  
 25 fuel cycle facilities. Additionally, the NRC has backfitting provisions for non-power reactor  
 26 licenses issued under 10 CFR parts 70, 72, and 76, for uranium enrichment, fuel fabrication,  
 27 ISFSIs, HLW, and gaseous diffusion plants.

28  
 29 There are many sources of data available to the analyst who is developing a regulatory analysis  
 30 for a regulatory action affecting specific fuel cycle activities. The list of general references  
 31 below provides a starting point for performing the regulatory analysis; specific data sources are  
 32 included in the discussion for each fuel cycle activity.

- 33
- 34 • NUREG/CR-2873, Volume 1, “Nuclear-Fuel-Cycle Risk Assessment: Descriptions of  
 35 Representative Non-Reactor Facilities,” provides a general overview of each of the fuel  
 36 cycle activities and risks associated with each activity.
- 37
- 38 • NUREG/CR-2933, “Nuclear Fuel Cycle Risk Assessment: Survey and Computer  
 39 Compilation of Risk-Related Literature,” provides a survey and compilation of the  
 40 risk-related literature for fuel cycle activities, including characterization of the specific  
 41 risk/safety information.
- 42
- 43 • NUREG/CR-3682, “Nuclear Fuel Cycle Risk Assessment: Review and Evaluation of  
 44 Existing Methods,” provides a preliminary relative ranking of fuel cycle facilities on the  
 45 basis of risk and an assessment of the adequacy of the existing (1982 timeframe) risk  
 46 assessment methods.

47  
 48 More recent references that are generally applicable to fuel cycle activities include the annual  
 49 NUREG-0713, “Occupational Radiation Exposures at Commercial Nuclear Power Plant

1 Reactors and Other Facilities,” the Nuclear Materials Events Database (NMED), and information  
2 available to the NRC staff on the Materials Operating Experience (OpE) Gateway.

3  
4 NUREG/CR-6410, “Nuclear Fuel Cycle Facility Accident Analysis Handbook,” provides  
5 guidance on how to calculate the characteristics and consequences of releases of radioactive  
6 materials and hazardous chemicals from fuel cycle facilities. The appendices to  
7 NUREG/CR-6410 summarize chemical and nuclear information and describe various fuel cycle  
8 facilities, details on calculating the characteristics of source terms for releases of hazardous  
9 chemicals, and other topics (e.g., high-efficiency particulate air [HEPA] filter performance and  
10 uncertainties). NUREG/CR-6410 also provides several sample problems addressing some of  
11 the more significant hazards (e.g., uranium hexafluoride [UF<sub>6</sub>] cylinder rupture and criticality).

12  
13 Additionally, a significant amount of risk assessment work has been performed to support the  
14 review and licensing of an HLW geologic repository. Section G.2.7 presents an extensive  
15 discussion of the aspects associated with the HLW risk analyses, many of which are also  
16 applicable to other fuel cycle activities. The analyst should consider this information, as  
17 appropriate, for similar activities such as SNF loading, packaging, movement, and  
18 transportation.

19  
20 **G.2.1 Mining and Milling**

21  
22 The nuclear fuel cycle begins with uranium recovery (i.e., mining), which is the extraction of  
23 natural uranium ore from the earth and concentrating (i.e., milling) that ore. These recovery  
24 operations produce yellowcake. Uranium recovery operations also generate byproduct material  
25 waste.

26  
27 NRC has determined that a license is not required for possession, use, or transfer of unrefined  
28 and unprocessed ore containing source material (10 CFR 40.13(b)). However, a specific  
29 license is required for in situ recovery (ISR) (also referred to as in situ leach (ISL) mining)  
30 because uranium ore is processed underground before being pumped to the surface. A license  
31 is also required for a uranium mill, which is the next step in processing ore from a conventional  
32 mine. The NRC does not directly regulate the active uranium recovery operations in Agreement  
33 States.<sup>3</sup>

34  
35 The majority of uranium extraction operations in the United States use ISR. The final stages of  
36 the ISR process produce yellowcake using low temperature vacuum dryers. A source and  
37 byproduct materials license is required to recover uranium by ISR extraction techniques under  
38 the provisions of 10 CFR Part 20, “Standards for Protection against Radiation,” and 10 CFR  
39 Part 40, “Domestic Licensing of Source Material.” Uranium milling and disposal of the resulting  
40 waste byproduct material by NRC licensees are also regulated under 10 CFR Part 40. Most of  
41 the regulations that the NRC has established for this type of byproduct material are found in 10  
42 CFR Part 40, Appendix A, “Criteria Relating to the Operation of Uranium Mills and the  
43 Disposition of Tailings or Wastes Produced by the Extraction or Concentration of Source

---

<sup>3</sup> The NRC assists States expressing interest in establishing programs to assume NRC regulatory authority under the Atomic Energy Act of 1954, as amended (the Act). Section 274 of the Act provides a statutory basis under which the NRC relinquishes to the States portions of its regulatory authority to license and regulate byproduct materials (radioisotopes), source materials (uranium and thorium), and certain quantities of special nuclear material. The mechanism for the transfer of the NRC's authority to a State is an agreement signed by the Governor of the State and the Chairman of the Commission, in accordance with Section 274b of the Act.

1 Material from Ores Processed Primarily for Their Source Material Content.” In general, the  
2 criteria in 10 CFR Part 40, Appendix A, require uranium recovery facilities to control hazards  
3 and address waste and decommissioning concerns.  
4

5 Potential accidents during ISR processing do not yield releases much higher than those  
6 incurred during normal operation. These include various types of spills resulting from barrier  
7 breaches (i.e., failure of thickener tank, pipes, valves, or yellowcake dryer) leading to the  
8 release of pregnant lixiviant<sup>4</sup> or yellowcake.  
9

10 The primary industrial hazards associated with uranium milling are the occupational hazards  
11 found in any metal milling operation that uses chemical extraction, as well as the chemical  
12 toxicity of the uranium itself. Because the uranium produced at these facilities is not enriched  
13 there is no criticality hazard. Potential hazards at conventional milling facilities include a breach  
14 of the yellowcake dryer resulting in a loss of yellowcake powder (release of uranium) and the  
15 potential release of chemicals that are used in the milling process. The primary radiological  
16 hazard is attributable to the presence of radium in mill tailings, which is a direct radiation hazard  
17 and causes radon emissions from the impoundment area. A collapse of the impoundment also  
18 could result in the release of hazardous material to the environment.  
19

20 An applicant for a license, or for renewal or amendment of an existing license, is required to  
21 provide detailed information on the facilities, equipment, and procedures used, as well as an  
22 environmental report that discusses the effects of proposed operations on public health and  
23 safety and the environment. These licensee submittals provide a foundation for any related  
24 analysis.  
25

26 The following are some of the key data references that address uranium recovery:  
27

- 28 • NUREG-1569, “Standard Review Plan for In Situ Leach Uranium Extraction License  
29 Applications,” contains guidance for staff review of applications and provides a  
30 framework for license applications. The analyst preparing a regulatory analysis should  
31 consult the specific sections on the license application and the staff safety evaluation for  
32 basic information on hazards and effects.  
33
- 34 • NUREG-2126, “Standard Review Plan for Conventional Uranium Mill and Heap Leach  
35 Facilities – Draft Report for Comment,” provides guidance for staff review of applications  
36 for conventional uranium mills and heap leach facilities. In preparing a regulatory  
37 analysis, basic information on hazards and effects should be available in specific  
38 sections of the license application and the staff safety evaluation.  
39
- 40 • NUREG/CR-6733, “A Baseline Risk-Informed, Performance-Based Approach for In Situ  
41 Leach Uranium Extraction Licensees,” is a foundational risk characterization of general  
42 ISL facility operations. NUREG/CR-6733 describes the operations for extracting and  
43 processing uranium into yellowcake, explains the process for restoring groundwater  
44 quality subsequent to ore extraction, and identifies health and environmental hazards  
45 and risks.  
46

---

<sup>4</sup> In ISL operations, a suitable injection system introduces a lixiviant into a subterranean uranium ore deposit. The lixiviant may be an acidic or alkaline medium that solubilizes uranium as it traverses the ore. The pregnant lixiviant (i.e., lixiviant containing soluble uranium) is then withdrawn and treated to recover the uranium, using suitable techniques.

- 1 • NUREG-0706, "Final Generic Environmental Impact Statement on Uranium Milling,"  
2 addresses common environmental issues associated with the construction, operation,  
3 and decommissioning of milling facilities and ISR-type facilities, as well as ground water  
4 restoration at these facilities. NRC staff use this Generic Environmental Impact  
5 Statement as a starting point for a site-specific environmental review of a license  
6 application, renewal, or amendment when addressing environmental issues common to  
7 milling and the ISR process.  
8
- 9 • NUREG-1910, "Generic Environmental Impact Statement for In-Situ Leach Uranium  
10 Milling Facilities," analyzes potential environmental impacts associated with the  
11 construction, operation, and decommissioning of ISR activities. The analyst can use  
12 NUREG-1910 as a starting point for the site-specific environmental review of a license  
13 application, renewal, or amendment specific to ISR activities. In particular, Appendix E,  
14 "Hazardous Chemicals," provides an accident analysis for the more hazardous  
15 chemicals associated with ISR operations.  
16
- 17 • NUREG-1620, Revision 1, "Standard Review Plan for the Review of a Reclamation Plan  
18 for Mill Tailings Sites under Title II of the Uranium Mill Tailings Radiation Control Act,"  
19 discusses hazards assessment, exposure assessment, corrective action assessment,  
20 and compliance monitoring for alternative concentration limits, and addresses  
21 reclamation and stabilization cost estimates.  
22
- 23 • "Regulatory Impact Analysis of Final Environmental Standards for Uranium Mill Tailings  
24 at Active Sites," prepared by the Environmental Protection Agency (EPA) following the  
25 passage of the Uranium Mill Tailings Radiation Control Act of 1978, set standards that  
26 cover the processing and disposal of byproduct materials at mills that were licensed by  
27 the appropriate regulatory authorities at that time. This regulatory impact analysis  
28 examines the benefits and costs associated with the disposal of uranium mill tailings and  
29 gives some indication of what level of control of the hazards is most cost-effective. This  
30 EPA regulatory impact analysis could be useful in preparing future analyses in this area.  
31

## 32 **G.2.2 Conversion**

33  
34 After the uranium ore concentrate is produced at the milling facility, the yellowcake is packaged  
35 and shipped to a uranium conversion facility. At the conversion facility, the yellowcake is  
36 reacted with fluorine to create UF<sub>6</sub>, which is suitable for use in enrichment operations. The UF<sub>6</sub>  
37 exits the conversion process as a gas that is then cooled to a liquid and drained into storage  
38 and transport cylinders. As the UF<sub>6</sub> cools over the course of several days, it transitions from a  
39 liquid to a solid. The cylinder containing UF<sub>6</sub> in the solid form can then be shipped to an  
40 enrichment facility.  
41

42 As with mining and milling, the primary risks associated with conversion are chemical, rather  
43 than radiological. The process to convert uranium ore concentrate (uranium oxide) powder to  
44 UF<sub>6</sub> uses a number of flammable, volatile, and soluble chemicals, including fluorine, hydrofluoric  
45 acid, and hydrogen. These chemicals, in particular UF<sub>6</sub>, contribute to significant risks  
46 associated with inhalation if a release occurs. UF<sub>6</sub> is produced on a large scale for uranium  
47 enrichment. It is a white, somewhat volatile, solid at room temperature and pressure. UF<sub>6</sub> can  
48 form metal fluorides and react, often explosively, with organic material to form fluorinated  
49 compounds and hydrogen fluoride (HF). In the presence of water, including moisture in the air,  
50 UF<sub>6</sub> forms highly corrosive and toxic HF gas and particulate uranyl fluoride (UO<sub>2</sub>F<sub>2</sub>), which are

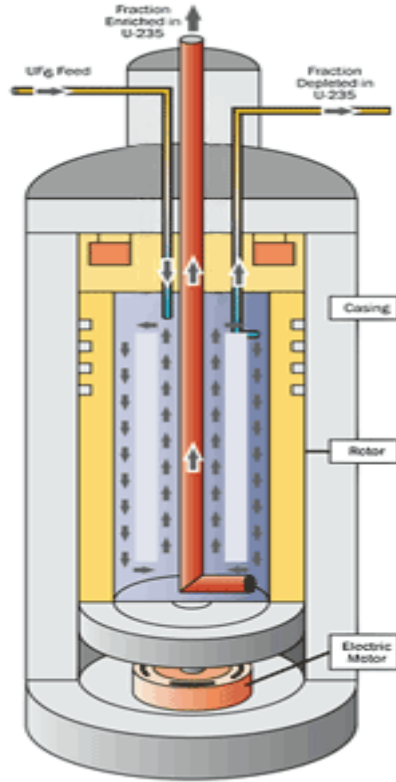
1 extremely toxic. The  $\text{UO}_2\text{F}_2$  and HF, which form quickly during a release to the atmosphere, are  
2 readily visible as a white cloud. One of the most significant hazards for a conversion facility  
3 occurs during those stages in which the  $\text{UF}_6$  is in liquid form and is processed. Conversion  
4 processes also use hydrogen gas, which is flammable and if released could create an explosive  
5 hazard. Nuclear criticality is not a hazard at these facilities because the nuclear material is  
6 unenriched (i.e., consists of natural uranium) throughout the process (NRC, 2010a).

7  
8 Currently, the United States has only one licensed commercial uranium conversion facility. The  
9 NRC issued the license for this facility under 10 CFR Part 40. An applicant for a license, or for  
10 renewal or amendment of an existing license, is required to provide information consistent with  
11 10 CFR 40.31, "Application for Specific Licenses." The applicant provides detailed information  
12 on the facilities, equipment, and procedures used, as well as an environmental report that  
13 discusses the effects of proposed operations on public health and safety and the environment.  
14 These licensee submittals provide a starting point for any related analysis. Regulatory  
15 Guide 3.55, "Standard Format and Content for the Health and Safety Sections of License  
16 Renewal Applications for Uranium Hexafluoride Production," provides high-level guidance for  
17 the preparation of the health and safety section of a renewal application. In particular, Part II of  
18 the regulatory guide addresses the safety demonstration, including Chapter 14 on accident  
19 analysis.

20  
21 In addition to the above sources of information, NUREG-1601, "Chemical Process Safety at  
22 Fuel Cycle Facilities," provides broad guidance on chemical process safety issues relevant to  
23 fuel cycle facilities, including some examples for addressing chemical process safety, and sets  
24 forth the basic information needed to properly evaluate chemical process safety.

### 25 **G.2.3 Enrichment**

26  
27  
28 As of 2018, only gaseous centrifuge technology is used in the United States for commercial  
29 nuclear fuel enrichment. In this process, the  $\text{UF}_6$  gas is placed in a gas centrifuge cylinder and  
30 rotated at a high speed. This rotation creates a strong centrifugal force so that the heavier gas  
31 molecules ( $\text{UF}_6$  containing uranium [U]-238 atoms) move towards the outside of the cylinder.  
32 The lighter gas molecules (containing U-235 atoms) collect closer to the center. The stream  
33 that is slightly enriched in U-235 is withdrawn and fed into the centrifuge in the next higher  
34 stage. The slightly depleted stream (with a lower concentration of U-235) is recycled back into  
35 the next lower stage. A gas centrifuge facility contains long lines of many rotating cylinders.  
36 These cylinders are connected in both series and parallel formations. Centrifuge machines are  
37 interconnected to form trains and cascades. At the final withdrawal point, the  $\text{UF}_6$  is enriched to  
38 the desired amount. Figure G-2 illustrates the operation of a single cylinder within a gas  
39 centrifuge process.



**Figure G-2 Schematic of a Single Gas Centrifuge Cylinder**

Source: NRC Backgrounder – Uranium Enrichment

The NRC regulates these facilities under 10 CFR Part 70, including Subpart H, “Additional Requirements for Certain Licensees Authorized to Possess a Critical Mass of Special Nuclear Material.” The licensee or applicant is required to provide detailed information on the facilities, equipment, and procedures used, as well as an environmental report that discusses the effects of proposed operations on the health and safety of the workers and the public. These licensing submittals provide a foundation for any related analysis, which includes the requirement in Subpart H for the licensee to perform an integrated safety analysis (ISA), identify items relied on for safety, and establish management measures.

Because the enrichment facilities handle and process large amounts of  $UF_6$ , the same chemical hazards exist at these facilities as at the conversion facility. In addition, the production of enriched uranium could potentially result in an inadvertent nuclear criticality under certain conditions, which would lead to high levels of radiation that can be a significant risk to workers or people in the vicinity of the facility. Hence, the primary chemical hazards for enrichment facilities are releases of  $UF_6$ , and its subsequent products ( $HF$  and  $UO_2F_2$ ), from storage containers (both enriched and unenriched). The primary radiological concern is inadvertent criticality during the enrichment process. In the case of an accident, the workers have a greater chance of being impacted than the public. These facilities generally pose a low risk to the public.

The following are some of the key data references that address enrichment facilities:

- NUREG-1520, Revision 2, “Standard Review Plan for Fuel Cycle Facilities License Applications,” contains guidance for staff review of applications provides a framework for



1 license applications. The analyst preparing a regulatory analysis should consult the  
2 specific sections on the license application and the staff safety evaluation for basic  
3 information on hazards and effects. In particular, Chapter 3 addresses the performance  
4 of an ISA for a facility.

- 5
- 6 • NUREG-1513, "Integrated Safety Analysis Guidance Document," provides general  
7 guidance to licensees and applicants in performing an ISA. The ISA is expected to form  
8 the basis of a safety program at these facilities licensed under 10 CFR Part 70,  
9 Subpart H. The ISA would involve the following:  
10
  - 11 – performance of process hazards analysis
  - 12 – identification of accident initiating events
  - 13 – development of accident sequences and their consequences
  - 14 – the associated identification of items relied on for safety to prevent or mitigate  
15 these accident sequences

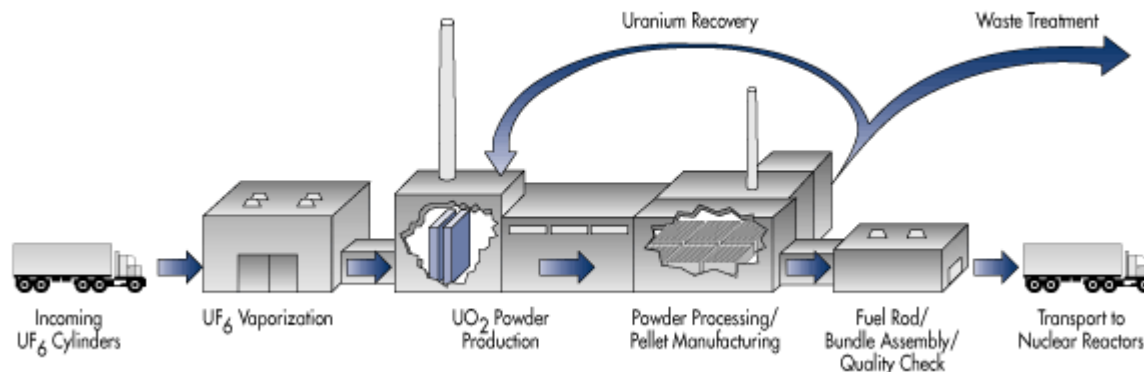
16 As such, the licensee's ISA provides the bases upon which a regulatory analysis can be  
17 performed. However, the ISA itself is not part of the license and is not submitted to the  
18 NRC. The licensee submits an ISA summary annually to the NRC to reflect changes  
19 implemented at the facility in the prior year that resulted in changes to the ISA. In order  
20 to appropriately use the ISA information in a regulatory analysis, especially a  
21 facility-specific regulatory analysis or backfit analysis, the analyst may need to visit the  
22 site to review the specific process ISAs in order to fully understand the potential  
23 implications of the staff's proposed actions.

- 24
- 25 • NUREG/CR-6410 provides specific guidance on performing a hazard evaluation and  
26 developing scenarios, and it contains a number of sample problems, including a liquid  
27 spill, an HF release, a UF<sub>6</sub> liquid cylinder rupture, and a criticality incident.  
28 NUREG/CR-6410 provides significant insight into performing new, or extending existing  
29 analyses in analyzing a regulatory action.

#### 30

### 31 **G.2.4 Fuel Fabrication**

32 Fuel fabrication facilities convert enriched uranium into fuel for nuclear reactors. Fuel  
33 fabrication for current commercial nuclear power reactors begins with the receipt of  
34 low-enriched uranium as UF<sub>6</sub> from an enrichment facility. The solid UF<sub>6</sub> is heated to gaseous  
35 form, and then the UF<sub>6</sub> gas is chemically processed to form uranium dioxide (UO<sub>2</sub>) powder.  
36 This powder is then pressed into pellets, sintered (heated) into ceramic form, loaded into  
37 Zircaloy tubes, and constructed into fuel assemblies. Fuel is also fabricated for the U.S. Naval  
38 Reactors program and for non-power reactors, which typically are small reactors that do not  
39 generate electrical power but are used for research, testing, and training. Non-power reactors  
40 can include research reactors and reactors used to produce irradiated target materials  
41 (e.g., isotopes for medical use). The fuel design varies with the non-power reactor  
42 manufacturer, and there is a wide range of fuel assembly designs. Another potential fuel for  
43 commercial nuclear power reactors is mixed oxide fuel, which would comprise both UO<sub>2</sub> and  
44 plutonium dioxide (PuO<sub>2</sub>). Figure G-3 depicts a typical light-water reactor fuel fabrication facility  
45 process.  
46  
47



**Figure G-3 Typical Light Water Reactor Fuel Fabrication Facility**

Similar to its approach for enrichment facilities, the NRC regulates fuel fabrication facilities under 10 CFR Part 70, including Subpart H. The licensee or applicant is required to provide detailed information on the facilities, equipment, and procedures used, as well as an environmental report that discusses the effects of proposed operations on the health and safety of the workers and the public. These submittals provide a foundation for any related analysis, which includes the requirement, in Subpart H, for the licensee to perform an ISA, identify items relied on for safety, and establish management measures.

Fuel fabrication facilities have essentially the same types of hazards as enrichment facilities (i.e., chemical, radiological, and criticality hazards). The primary hazard concerns involve the release of  $UF_6$ , and its subsequent products ( $HF$  and  $UO_2F_2$ ) in storage or during processing (i.e., vaporization) and inadvertent criticality during the  $UO_2$  fuel fabrication processes. In the case of an accident, the workers have a greater chance of being impacted than the public. These facilities generally pose a low risk to the public.

The key references for enrichment facilities in Section G.2.3 of this appendix data also address fuel fabrication facilities.

### **G.2.5 Spent Nuclear Fuel Storage**

SNF refers to uranium-bearing fuel elements that have been used in nuclear reactors and have been removed from the reactor vessel. After the SNF is removed from the reactor, the spent fuel assemblies still generate significant amounts of radiation and heat. There are two acceptable storage methods for SNF: spent fuel pools (SFPs) and, after a suitable cooling time, dry cask storage at an ISFSI. Most SNF is stored in SFPs at individual reactor sites. The SFP maintains at least 20 feet of water above the stored fuel to provide adequate cooling of the SNF and adequate radiation shielding for plant personnel. The assemblies are moved into the SFPs from the reactor along the bottom of water canals, so that the SNF is always shielded to protect workers. The SNF accident scenarios include inadvertent criticality from misloading SNF in high-density racks or a loss of SFP water inventory that results in SNF heatup.

The SNF that has sufficiently cooled can be stored in a variety of dry cask storage systems. There are several dry cask storage system designs, some of which can be used for both storage and transportation. The ISFSI is used when the nuclear power plant licensee approaches the capacity limits of its SFP or following the decommissioning of a reactor site.

1 An NRC-certified dry cask is one for which the NRC staff has performed a technical review of its  
2 safety aspects and has found the cask to be adequate to store SNF at a site that the licensee  
3 has evaluated and shown meets all of the NRC's requirements in 10 CFR Part 72. The dry cask  
4 storage license may be site specific or general. Under a site-specific license, an applicant  
5 submits a license application to the NRC and the NRC performs a technical review of all the  
6 safety and environmental protection aspects of the proposed ISFSI. The NRC has received and  
7 is reviewing applications for consolidated interim storage facilities for specific licenses under  
8 10 CFR Part 72 and the ISFSIs, as proposed, are not co-located with a nuclear power reactor.  
9

10 A general license authorizes a nuclear power plant licensee, without further NRC review, to  
11 store SNF in NRC-certified dry casks at a site that is licensed to operate a power reactor under  
12 10 CFR Part 50, "Domestic Licensing of Production and Utilization Facilities," or  
13 10 CFR Part 52, "Licenses, Certifications, and Approvals for Nuclear Power Plants." Licensees  
14 are required to perform evaluations of their site to demonstrate that the site is adequate for  
15 storing SNF in dry casks. These evaluations must show that the cask Certificate of Compliance  
16 conditions and technical specifications can be met, including an analysis of earthquake events  
17 and tornado missiles. The licensee also must review its security program, emergency plan, and  
18 other programs, and make any necessary changes to incorporate the ISFSI at its reactor site.  
19 The dry cask storage license contains the technical requirements and operating conditions  
20 (e.g., fuel specifications, cask leak testing, surveillance, and other requirements) for the ISFSI  
21 and specifies what the licensee is authorized to store at the site.  
22

23 The regulation related to backfitting for ISFSIs, 10 CFR 72.62, uniquely requires the NRC to  
24 evaluate changes to both occupational and public radiological exposure, whereas all other  
25 backfit regulations require the NRC to evaluate changes to public exposure only. Thus, it is  
26 possible that a cost-beneficial backfit could be justified that demonstrates substantial worker  
27 benefits from averted exposure but results in small or no public benefit for these facilities.  
28

29 The primary hazard associated with dry cask storage is the breach of the cask and subsequent  
30 radiological release to the environment during handling and movement from the SFP to the  
31 ISFSI area. The breach and subsequent release would be primarily an occupational hazard.  
32 Once the spent fuel is placed in the dry cask, the radiological hazard is significantly reduced as  
33 the low pressure inside the cask would not provide a significant driving force for a radiological  
34 release.  
35

36 A number of studies, including the following, have considered the hazards and risks associated  
37 with SFPs:  
38

- 39 • NUREG-1353, "Regulatory Analysis for the Resolution of Generic Issue 82,  
40 Beyond-Design-Basis Accidents in Spent Fuel Pools"  
41
- 42 • NUREG-1738, "Technical Study of Spent Fuel Pool Accident Risk at Decommissioning  
43 Nuclear Power Plants"  
44
- 45 • NUREG-2161, "Consequence Study of a Beyond-Design-Basis Earthquake Affecting the  
46 Spent Fuel Pool for a U.S. Mark I Boiling Water Reactor"  
47

48 To apply for a site-specific license to store SNF, an applicant submits an application to the NRC  
49 for review and approval. The application contains information as described in Regulatory Guide  
50 3.50, Revision 2, "Standard Format and Content for a Specific License Application for an  
51 Independent Spent Fuel Storage Installation or Monitored Retrievable Storage Facility," and the

1 NRC reviews the application in accordance with NUREG-1567, "Standard Review Plan for  
2 Spent Fuel Dry Storage Facilities." The application must address the safety and operational  
3 characteristics of the facility, including the site seismic and environmental conditions, the  
4 planned storage system, accident analyses, and the radiological impact of normal operations.  
5 The following data references provide information for performing the analysis for a regulatory  
6 action related to dry cask storage, applications, and staff reviews:  
7

- 8 • NUREG-1536, Revision 1, "Standard Review Plan for Spent Fuel Dry Storage Systems  
9 at a General License Facility," provides guidance for staff reviews of applications for a  
10 Certificate of Compliance submitted for a general license facility. These applications are  
11 prepared based on Regulatory Guide 3.61, "Standard Format and Content for a Topical  
12 Safety Analysis Report for a Spent Fuel Dry Storage Cask."  
13
- 14 • NUREG-1567 provides guidance for staff reviews of applications submitted for  
15 commercial ISFSIs, either co-located with a reactor site or away from a reactor site.  
16 These applications are prepared based on Regulatory Guide 3.48, "Standard Format  
17 and Content for the Safety Analysis Report for an Independent Spent Fuel Storage  
18 Installation or Monitored Retrievable Storage Installation (Dry Storage)."  
19
- 20 • NUREG-1927, Revision 1, "Standard Review Plan for Renewal of Specific Licenses and  
21 Certificates of Compliance for Dry Storage of Spent Nuclear Fuel," provides guidance for  
22 the safety review of renewal applications for specific licenses of ISFSIs and Certificates  
23 of Compliance of dry cask storage systems, including the review of time limited aging  
24 analyses and aging management programs.  
25

## 26 **G.2.6 Low-Level Waste Disposal**

27  
28 LLW includes radioactively contaminated protective clothing, tools, filters, rags, medical tubes,  
29 and many other items. LLW disposal occurs at commercially operated LLW disposal facilities  
30 that must be licensed by either the NRC or an Agreement State. The facilities must be  
31 designed, constructed, and operated to meet safety standards. The licensee must extensively  
32 characterize the site on which the facility is located and analyze how the facility will perform for  
33 thousands of years into the future. The United States currently has four LLW disposal facilities  
34 that accept various types of LLW; all are located in and regulated by Agreement States. The  
35 Low-Level Radioactive Waste Policy Amendments Act of 1985 encouraged the States to enter  
36 into compacts that would allow them to dispose of LLW at a common disposal facility. The NRC  
37 provides additional information on the LLW disposal facilities in NUREG-1350, "NRC  
38 Information Digest."  
39

40 The following principal regulations govern LLW:

- 41  
42 • The general provision in 10 CFR 20.2002, "Method for Obtaining Approval of Proposed  
43 Disposal Procedures," allows for other disposal methods, different from those already  
44 defined in the regulations (see 10 CFR 20.2001), if doses are maintained as low as is  
45 reasonably achievable and within the dose limits of 10 CFR Part 20.  
46
- 47 • In 10 CFR Part 61, the NRC establishes the licensing procedures, criteria, and terms  
48 and conditions for land disposal of radioactive waste.  
49

1 The NRC provides an additional resource for further understanding the history of LLW  
2 operations and the associated regulations in NUREG/BR-0121, “Regulating the Disposal of  
3 Low-Level Radioactive Waste: A Guide to the Nuclear Regulatory Commission’s  
4 10 CFR Part 61.” NUREG-1853, “History and Framework of Commercial Low-Level  
5 Radioactive Waste Management in the United States: ACNW [Advisory Committee on Nuclear  
6 Waste] White Paper,” also provides background information on the disposal of commercial LLW.  
7

8 The primary hazard from LLW disposal is the radiological release to the environment from the  
9 disposal site (e.g., resulting from the failure of the disposal liner or barrier).

10  
11 In addition to the information in the license application and associated staff safety evaluation,  
12 the following data references are useful in performing a regulatory analysis associated with LLW  
13 disposal:  
14

- 15 • NUREG-1573, “A Performance Assessment Methodology for Low-Level Radioactive  
16 Waste Disposal Facilities: Recommendations of NRC’s Performance Assessment  
17 Working Group,” provides information and recommendations on performance  
18 assessment methodology as it relates to the objective of radiological protection of the  
19 general public in accordance with 10 CFR 61.41, “Protection of the General Population  
20 from Releases of Radioactivity.”  
21
- 22 • NUREG-1200, Revision 3, “Standard Review Plan for the Review of a License  
23 Application for a Low-Level Radioactive Waste Disposal Facility,” contains the staff  
24 guidance on reviewing applications to construct and operate LLW disposal facilities.  
25
- 26 • NUREG-1300, “Environmental Standard Review Plan for the Review of a License  
27 Application for a Low-Level Radioactive Waste Disposal Facility: Environmental Report,”  
28 provides NRC staff with guidance on performing the environmental review of an  
29 application to construct and operate a LLW disposal facility.  
30
- 31 • NUREG-1199, Revision 2, “Standard Format and Content of a License Application for a  
32 Low-Level Radioactive Waste Disposal Facility,” is the companion guidance for  
33 prospective applicants for a license to dispose of LLW pursuant to 10 CFR Part 61.  
34
- 35 • NUREG-1241, “Licensing of Alternative Methods of Disposal of Low-Level Radioactive  
36 Waste,” provides NRC staff with guidance on specific methods of disposal under  
37 consideration as alternatives to shallow land burial.  
38

39 In February 2016, the U.S. Department of Energy (DOE) issued a final Environmental Impact  
40 Statement (DOE, 2016) to consider the potential environmental impacts associated with  
41 constructing and operating a new facility or facilities, or using an existing facility, for the disposal  
42 of greater-than-Class C (GTCC)<sup>5</sup> and GTCC-like waste anticipated to be generated through  
43 2083. In addition, on October 23, 2018, the DOE issued an environmental assessment for the  
44 disposal of GTCC and GTCC-like waste at the Waste Control Specialists land disposal facility in  
45 Andrews County, Texas (DOE, 2018).

---

<sup>5</sup> The NRC divides LLW into three classes: Class A, Class B, and Class C. The gradation of these classes is based on the radiological hazard as determined by the quantity and type of radionuclides permitted in each class, as further delineated by concentrations of certain radionuclides. Therefore, Class A waste is the least hazardous and Class C waste is the most hazardous. In addition, some waste streams have radionuclide concentrations exceeding the limits for Class C waste and as such are referred to as “greater-than-Class C” (GTCC) waste.

## 1 **G.2.7 Geological Repository Risks**

2  
3 This section provides the analyst with (1) the risks associated with the development of a  
4 repository, (2) a quantitative perspective on the overall risks for repository development, and  
5 (3) the risks associated with specific activities during repository development (e.g., handling,  
6 transportation, and disposal). The development of a repository involves the handling,  
7 transportation, storage, and disposal of SNF primarily in sealed canisters. Thus, the risks for  
8 the development of a repository tend to be significantly less than for activities associated with  
9 other nuclear facilities (e.g., nuclear power reactors) that rely on active safety systems as  
10 compared to the passive safety nature of a sealed canister. However, the handling of SNF  
11 relies on active safety systems, and the transportation of SNF results in the potential for  
12 exposure to larger segments of the population than would occur near a specific site. Although  
13 the development time for a repository is long (on the order of 100 years or more), the risks  
14 associated with specific activities of repository development (e.g., emplacement of waste in a  
15 repository) are expected to occur over a much shorter time period.

16  
17 Estimating the risks related to the development of a repository includes consideration of three  
18 major activities:

- 19 (1) transporting the SNF from individual sites to a repository
  - 20 (2) constructing a repository, operating the surface facilities, and emplacing the wastes  
21 (repository pre-closure period)
  - 22 (3) performance of a repository after it has been permanently closed (repository  
23 post-closure period)
- 24  
25  
26  
27

28 The analyses for repository risks in this section are based on an evaluation of various designs  
29 and site conditions (e.g., population densities, transportation routes) that are considered to be  
30 applicable to a range of potential sites in the United States. This approach provides a “generic”  
31 analysis that would be useful for application at a variety of potential sites and a comparison with  
32 other published studies on the risks from the transportation and disposal of radioactive wastes.  
33 Assumptions about the basis for the risk estimates are provided to add the appropriate context  
34 for understanding the risks in this section. Further evaluations may be necessary for site  
35 conditions and designs that vary significantly from those used for estimating the risks presented  
36 in this section.

### 37 38 **G.2.7.1 Transportation of Spent Nuclear Fuel to a Repository**

39  
40 SNF is stored at numerous facilities around the country. A transportation campaign would be  
41 conducted to ship SNF from these sites to a repository; this campaign is expected to include  
42 both rail and truck transport, and result in radiation exposures from the loading of transportation  
43 casks and exposures along the transportation routes from both routine (i.e., incident-free)  
44 transportation and potential accidents.

#### 45 46 **Radiological Impacts from Loading Spent Nuclear Fuel**

47  
48 Impacts to workers during loading activities occur during the loading of SNF into canisters,  
49 during the loading of canisters into rail casks, and, at some sites, during the loading of SNF into  
50 truck casks. DOE/EIS-0250F-S1, “Final Supplemental Environmental Impact Statement for a  
51 Geological Repository for the Disposal of Spent Nuclear Fuel and High-Level Radioactive

1 Waste at Yucca Mountain, Nye County, Nevada” (DOE, 2008), states that a transportation,  
 2 aging, and disposal (TAD) canister is similar to a dry storage canister in appearance, capacity,  
 3 and the operational procedures that would be in use for loading. Therefore, based on historical  
 4 information for the loading of SNF into TAD canisters at commercial generator sites, the DOE  
 5 estimates that the average radiation occupational dose for loading commercial SNF fuel into  
 6 canisters is 0.400 person-rem per canister (DOE, 2008, page G-2). The DOE also estimates  
 7 that the average radiation doses for workers during (1) loading of uncanistered SNF into truck  
 8 casks and loading the casks onto trailers is 0.432 person-rem per cask, and (2) transferring  
 9 canisters from storage, loading canisters into rail casks, and loading the casks onto railcars is  
 10 0.663 person-rem per cask (DOE, 2008, Table G-2). The DOE used a specific number of cask  
 11 shipments (i.e., 6,499 TAD canisters in rail casks, 307 dual-purpose canisters [DPCs] in rail  
 12 casks, and uncanistered SNF in 2,650 truck casks) to accommodate 63,000 metric tons of  
 13 heavy metal (MTHM) of SNF from commercial reactors. Table G-1 summarizes the data used  
 14 to estimate radiation doses to workers for loading.  
 15

16 **Table G-1 Data Used to Estimate Radiation Doses for Loading**

Type	Operation	Radiation Dose	Number of Canisters or Casks for Operation
Rail Cask	Load commercial SNF into canister	0.400 person-rem per canister	6,499 canisters <sup>a</sup>
Transfer Rail Cask	Transfer canister from storage, load into rail cask, load rail cask onto rail car	0.663 person-rem per cask	6,806 casks <sup>b,c</sup>
Truck Cask	Load uncanistered SNF into truck cask, load truck cask onto truck trailer	0.432 person-rem per cask	2,650 casks <sup>b</sup>

17 <sup>a</sup> Includes only TAD canisters.  
 18 <sup>b</sup> Includes commercial SNF only.  
 19 <sup>c</sup> The estimate is based on 6,499 casks of commercial SNF containing TAD canisters and 307 casks of commercial  
 20 SNF containing DPC.  
 21 Source: DOE, 2008, Table G-2  
 22

23 Table G-2 provides the collective worker dose for the loading campaign, which is obtained by  
 24 multiplying the number of canisters and casks by the appropriate cask or canister collective  
 25 dose rate for the workers. The DOE also estimates that a maximally exposed worker  
 26 conducting loading activities at generator sites would receive an exposure rate of 500 millirem  
 27 (mrem) per year based on the DOE’s administrative control limit of 500 mrem per  
 28 year (DOE, 2017).  
 29

30 Radiation doses to members of the public near generator sites could occur because of the  
 31 venting of radioactive gases during the handling of SNF in SFPs and the potential release of  
 32 surface contamination from dry transfer casks. The DOE estimates that the population dose to  
 33 members of the public within 16 kilometers (10 miles) of the generator sites would be  
 34 2.9 person-rem over the duration of loading operations. The probability of a latent cancer  
 35 fatality based on the estimated dose would be 0.0017, or about 1 chance in 600 that one  
 36 member of the exposed population would develop a latent cancer fatality. The DOE also  
 37 estimated that a maximally exposed individual located 800 meters (0.5 mile) from the generator  
 38 site would receive an exposure of  $7.7 \times 10^{-6}$  rem (DOE, 2008, page 6-12). Table G-2 presents  
 39 the estimated exposures for workers and the public for the loading activities over a 50-year  
 40 period and a shipment of 63,000 MTHM of SNF.  
 41

1 **Table G-2 Estimated Radiological Impacts from Loading Operations**

Exposure Group	Collective Dose (person-rem)	Latent Cancer Fatalities	Maximally Exposed Individual (mrem/yr)
Involved Workers <sup>a</sup>	8,300	5.0	500
Public	2.9	0.0017	0.0077

2 <sup>a</sup> Radiation exposures from loading operations would not occur among noninvolved workers because these workers  
 3 would not be exposed to radiation from the operations.

4  
 5 **Impacts from Transportation of Spent Nuclear Fuel to the Repository**

6  
 7 Routine (i.e., accident-free) transportation is estimated to result in a low dose to the public. In  
 8 particular, in Figure 6-3 of NUREG-2125, “Spent Fuel Transportation Risk Assessment Final  
 9 Report,” the NRC estimates the dose to the maximally exposed individual during transportation  
 10 to be less than 0.001 mrem per shipment by either rail or truck. In NUREG-2125, the NRC  
 11 estimated the risks of SNF transportation for a variety of shipping routes (both rail and truck),  
 12 primarily from locations in the eastern United States to locations in the western United States,  
 13 that could result in potential doses to workers and the public. The NRC estimated the average  
 14 collective public dose from routine truck transport to be 0.14 rem per shipment (NRC, 2014a,  
 15 Figure 6-1). The collective public dose includes doses to the population along the route (6  
 16 percent of collective dose), doses to occupants of vehicles sharing the route (38 percent of  
 17 collective dose), and doses to the public at stops (56 percent of the collective dose) (NRC,  
 18 2014a, page 133). The NRC estimated the average collective dose for workers for routine truck  
 19 shipments to be 0.10 rem per shipment, which includes doses to the vehicle crew and other  
 20 workers (e.g., escorts, inspectors, truck stop workers) (NRC, 2014a, Figure 6-1).

21  
 22 NUREG-2125 also provides radiation dose estimates for two types of rail packages—a cask  
 23 using lead gamma shielding and a cask using steel gamma shielding. The results reported in  
 24 Table G-3 of this appendix are for the lead package because of the larger doses  
 25 (i.e., approximately 30 percent larger). The NRC estimated the maximally exposed individual  
 26 during routine rail transport to receive less than 0.001 mrem per shipment, similar to the  
 27 estimate for a truck shipment (NRC, 2014a, Figure 6-3); however, the average collective doses  
 28 were less for rail shipments than for truck shipments. The estimated average collective public  
 29 dose during rail shipment using a lead cask is estimated to be 0.026 rem per shipment, and the  
 30 average collective worker dose is estimated to be 0.041 rem per shipment, for a total collective  
 31 dose of 0.67 rem per shipment (NRC, 2014a, Figure 6-2).

32  
 33 Table G-3 presents the collective dose for a transportation campaign, with the number of  
 34 shipments consistent with the loading campaign discussed below (i.e., 6,806 rail shipments and  
 35 2,650 truck shipments).



1 **Table G-1 Estimated Worker and Public Impacts from Shipping Commercial SNF to**  
 2 **the Repository over a 50-Year Period**

Exposure Group	Total Average Collective Dose (person-rem)	Annual Average Collective Dose (person-rem/yr)
Workers (Rail)	279	5.6
Workers (Truck)	265	5.3
Total Workers	544	10.9
Public (Rail)	177	3.5
Public (Truck)	371	7.4
Total Public	548	10.9

3  
 4 Table S-4 in 10 CFR Part 51 provides a range of doses for exposed individuals per reactor year.  
 5 The values in Table S-4 would result in larger doses if they were used to generate the collective  
 6 doses presented in Table G-3 of this appendix. The values in Table G-3 are based on recent  
 7 analyses and represent realistic doses compared to the more conservative values used in  
 8 Table S-4.  
 9

10 **Loading and Handling Canisters and Transportation Accidents**

11  
 12 The SNF presents a significant hazard from direct radiation for individuals that are in close  
 13 proximity to SNF and from internal exposure if radioactive material is released into the  
 14 environment. Thus, the loading and transportation of SNF is performed under requirements that  
 15 are intended to minimize the occurrence of accidents and the consequences resulting from an  
 16 accident (e.g., single-failure-proof cranes for limiting the probability of drop events, HEPA filters  
 17 for buildings where handling of SNF assemblies occur, storage and transportation casks  
 18 designed to withstand a variety of potential accidents). Compliance with the NRC's  
 19 requirements in 10 CFR Part 71 and 10 CFR Part 72 ensures that the risks associated with  
 20 loading and transportation accidents are low.  
 21

22 The NRC has considered a comprehensive set of initiating events for estimating the risks of  
 23 handling, transfer, and storage of dry cask storage systems in NUREG-1864, "A Pilot  
 24 Probabilistic Risk Assessment of a Dry Cask Storage System at a Nuclear Power Plant."  
 25 NUREG-1864 estimates the probability and consequences of a loading accident based on  
 26 considerations such as stresses on the fuel cladding and canister as a function of drop height,  
 27 breach of the canister sealed lid, and reliability of secondary containment to isolate accidental  
 28 releases during handling (e.g., containment within a handling facility). The largest identified risk  
 29 occurs for a 19-foot drop during loading and handling of a canister that results in failure of the  
 30 cladding and a 0.28 probability that the canister is breached (NRC, 2007b, Table 19, item 20).  
 31 In the event of a breach, the average individual dose for those living within 16 kilometers  
 32 (10 miles) of the facility where SNF is being loaded is 600 mrem<sup>6</sup> with a peak individual dose of  
 33 185 rem for individuals within 1.2 and 1.6 kilometers (0.75 and 1 mile) of the facility (NRC,  
 34 2007b, Table 18 and Table E.3). However, the probability of such a release occurring is low.

<sup>6</sup> NUREG-1864 reports consequences in terms of latent cancer fatality. A factor of  $5 \times 10^{-4}$  latent cancer fatality per rem of exposure is used to derive dose exposures from the latent cancer fatalities.

1 NUREG-1864 provides estimated low likelihoods for a 19-foot drop that breaches the canister  
 2 (i.e.,  $5.6 \times 10^{-5}$  per lift  $\times$  0.28). Combined with a low probability for the subsequent failure of the  
 3 secondary containment building to isolate the released waste after it escapes the canister  
 4 (i.e.,  $1.5 \times 10^{-4}$  per demand), the overall probability of release is  $2.4 \times 10^{-9}$  per lift.<sup>7</sup> The total risk  
 5 from loading all of the SNF is the risk for a single lift multiplied by the total number of canisters  
 6 that would be loaded over the transportation campaign (i.e., approximately 10,000 canisters).  
 7 Thus, the total risk from a 19-foot drop during the transportation campaign for those individuals  
 8 residing within 16 kilometers (10 miles) of the facility where SNF is loaded is calculated as  
 9 follows:

		$2.4 \times 10^{-9}$	(probability of release per lift)
	x	600 mrem	(average individual dose given release occurs)
	x	10,000	(number of lifts in transportation campaign)
	=	0.014 mrem	(total risk from transportation campaign)

16 These probability weighted doses are small, partly because the canister drop is assumed to  
 17 occur inside a building that would provide secondary containment to minimize potential releases  
 18 in accordance with 10 CFR Part 50. If a canister drop occurs outside of a 10 CFR Part 50  
 19 building (i.e., at the ISFSI pad) the probability of a release occurring would increase to  $1.6 \times 10^{-5}$   
 20 or higher because a secondary containment building is not available and a single-failure-proof  
 21 crane may not be used (NRC, 2007b, Table 19, note 13). The Electric Power Research  
 22 Institute's Report 1002877, "Probabilistic Risk Assessment (PRA) of Bolted Storage Casks:  
 23 Updated Quantification and Analysis Report," also contains information about loading,  
 24 transportation, and storage of dry casks.

26 NUREG-2125 also provides the evaluated risks of transportation accidents. Transportation  
 27 packages for radioactive materials such as SNF are designed to maintain their integrity in  
 28 severe accidents. Almost all spent fuel casks are shipped without incident. However, even this  
 29 routine, incident-free transportation causes radiation exposures because all loaded spent fuel  
 30 casks emit some radiation (Table G-3 presents exposures for routine [accident free]  
 31 transportation) whether or not radioactive material is released from the cask. This is because  
 32 transportation cask shielding attenuates but does not eliminate the radiation that spent fuel  
 33 emits. In NUREG-2125, the NRC concluded that the collective dose risk from accidents  
 34 involving a release of radioactive material and a loss of lead shielding are negligible compared  
 35 to the risk from a no-release, no-loss-of-shielding accident because of the low likelihood of  
 36 accidents that affect the performance of the transportation cask (NRC, 2014a, page xxxvii).  
 37 Given the robust design of the waste package, NUREG-2125 concludes that (1) only about 1 in  
 38 1,000 trips would result in an accident, (2) if an accident occurs, only about 1 in 2,000 accidents  
 39 is more severe than the regulatory accident conditions, and (3) if an accident is more severe  
 40 than the regulatory accident conditions, only about 3 in 1,000,000 will result in either a loss of  
 41 gamma shielding or a release of radioactive material (NRC, 2014a, page xxxiv). For example,  
 42 "[I]f there were an accident during a spent fuel shipment, there is only about a one-in-a-billion  
 43 chance that the accident would result in a release of radioactive material" (NRC, 2014a, Figure  
 44 PS-8 and page 139).

46 NUREG-2125, the NRC evaluated a variety of potential rail and truck accident scenarios over  
 47 16 truck routes and 16 rail routes and estimated that the average collective dose risk

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<sup>7</sup> If a release of radioactive material were to occur inside the secondary containment following a transfer cask drop, three distinct functions are designed to occur to (1) detect radioactive material, (2) isolate the secondary containment, and (3) operate the standby gas treatment system.

1 (i.e., probability weighted dose) is less than 0.003 person-rem (NRC, 2014a, Tables 6-4 and  
2 6-5). The average collective dose for accidents with no release and no shielding loss for the  
3 rail-lead cask is 0.0022 person-rem and for the truck cask is 0.0024 person-rem. The most  
4 significant parameters contributing to the risk are the accident frequency and the length of time  
5 the intact transportation package sits at the accident location. The significant parameter for the  
6 radiological effect of the accident is not the amount or rate of radiation released but the time of  
7 exposure to the immobilized cask at the accident site. The total average collective dose risk for  
8 a transportation campaign (i.e., 6,806 rail shipments and 2,650 truck shipments) is  
9 21.3 person-rem, which is approximately 25 times less than the collective public dose estimated  
10 for routine (incident-free) transportation shown in Table G-3 of this appendix.

### 11 **G.2.7.2 Repository Construction, Operation, and Closure**

12 The development of a repository is generally characterized by three periods that are associated  
13 with separate regulatory decisions: (1) construction (decision to grant or deny a construction  
14 authorization), (2) operations (decision to allow the receipt of radioactive waste at the repository  
15 and the start of emplacement operations), and (3) closure (decision to permanently close the  
16 facility). These three periods are typically referred to as the pre-closure period. After  
17 permanent closure, the post-closure period begins, and the repository relies on passive safety  
18 barriers. Although the DOE is required to provide continual oversight of the repository after  
19 permanent closure, this DOE oversight is not relied on for compliance with the post-closure  
20 dose limits.  
21  
22

23 Although the decisions occur at a distinct time, the periods of construction, operations, and  
24 closure will overlap in time to varying degrees. For example, the licensee can apply for a  
25 license to begin operations (i.e., receive waste) once the repository is ready to begin initial  
26 operations. However, all emplacement drifts,<sup>8</sup> hereafter referred to simply as “drifts,” and some  
27 surface facilities would not necessarily be completed, and thus additional surface facilities and  
28 repository drifts would continue to be developed during the initial operations.  
29  
30

31 The development of a repository has the potential to expose individuals to radiation from both  
32 human-made radionuclides in the waste and natural radionuclides associated with the  
33 underground facility (common in hard rock mines with natural radioactive materials). Exposures  
34 from the release of radionuclides into the air can affect all workers at the site and members of  
35 the public residing offsite, whereas an external dose is limited to those individuals engaged in  
36 activities near radioactive materials (e.g., handling operations for waste packages). In  
37 considering the risks from the development of a geological repository, it is useful to estimate the  
38 risks for each of the phases of development because of the potentially long time  
39 (e.g., 100 years) over which these activities will occur and the different types of activities  
40 associated with a specific phase. It is also useful to represent the risks for different exposure  
41 groups because the potential for significant variations in risks among exposure groups.  
42

43 The DOE developed an environmental impact statement (EIS) (DOE, 2008) for a geological  
44 repository at Yucca Mountain. Regardless of the site, the development of a repository will require  
45 a number of similar activities (e.g., handling and emplacement of waste packages, potential  
46 repackaging of waste, excavation of drifts). Therefore, the EIS is used to assist in quantifying the  
47 potential risks from the development of a repository. The risks are generally applicable to any

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<sup>8</sup> In mining terminology, a drift is a horizontal underground passage. As used in this appendix, an emplacement drift represents the horizontal excavations for the emplacement of radioactive waste packages.

1 repository site that has similar activities. In order to estimate the potential risks, the DOE made  
2 numerous assumptions. These assumptions include the length of time for development to occur  
3 and the amount of waste that is expected to be emplaced at the repository. The EIS specifies an  
4 operating period of 105 years, beginning with construction and ending with the permanent closure  
5 of the repository, and a statutory limit of 70,000 MTHM, of which 63,000 MTHM is commercial  
6 SNF.

7  
8 The EIS provides dose estimates for involved workers (i.e., workers performing physical work  
9 such as constructing, operating, monitoring, and closing the repository), noninvolved workers  
10 (i.e., managerial, technical, supervisory, and administrative personnel onsite), a maximally  
11 exposed offsite individual residing near the facility, and a potential population of  
12 117,000 individuals residing within 84 kilometers (52 miles) of the facility. The EIS also  
13 estimates the radiation exposure from both SNF and the radioactivity from natural sources.

### 14 **Exposure to Natural Sources of Radiation during the Preclosure Period**

15  
16  
17 The site of an underground facility may contain certain naturally occurring radionuclides in the  
18 walls of the host rock that result in an external dose to individuals that spend a significant  
19 amount of time in the underground facility. The underground host rock may also release radon  
20 gas that will cause internal exposure to individuals in the underground facility. In addition, the  
21 ventilation of the radon gas to the surface environment results in exposure to individuals on the  
22 surface (both to onsite workers and those offsite). Radiation exposures from these natural  
23 sources of radiation will occur as the repository drifts begin to be excavated and before the  
24 presence of any radioactive waste at the site. These radiation exposures will continue as long  
25 as the underground facility is ventilated or workers are present in the underground facility.  
26 Naturally occurring radon would account for more than 99.8 percent of the radiological impacts  
27 to the offsite public (DOE, 2008, page A-4).

28  
29 The release of radon from the underground facility will begin at the start of construction and  
30 continue to increase until all the drifts are completed, after which the release should remain  
31 constant until the drifts are permanently closed and the ventilation has ended. The DOE has  
32 estimated that annual radon releases would steadily increase linearly over the 27-year period  
33 needed to complete all repository drifts. They would then remain at a constant annual release  
34 through ventilation of the underground facility of 4,700 curies (Ci) until the beginning of the  
35 closure activities. At the start of a repository project only construction activities would take  
36 place, and thus the only exposure would be from natural radionuclides such as radon.  
37 Table G-4 estimates potential radon releases over the different time periods of repository  
38 development.

1 **Table G-2 Atmospheric Release of Radon through Ventilation of the Underground**  
 2 **Facility during Repository Development**

Activities/Phase	Time Period (years)	Annual Radon Release (Ci/yr)		
		Initial	Ending	Annual Average
Construction Only	0 – 5	0	870	425
Construction and Emplacement	6 – 27	870	4,700 <sup>a</sup>	2,775
	28 – 55	4,700	4,700	4,700
Monitoring	56 – 95	4,700	4,700	4,700
Closure	96 – 105	4,700	0	2,350

3 <sup>a</sup> The radon release peaks at 4,700 Ci per year in year 27 and remains at that rate until the initiating of closure  
 4 activities in year 96.

5 Source: DOE, 2008, Figure D-1

6  
 7 Radon that is released through ventilation has the potential to result in exposures to  
 8 underground and surface workers as well as members of the public residing offsite. The DOE  
 9 identified workers as either involved workers or noninvolved workers, and estimated the  
 10 potential radiation exposures for the surface and subsurface locations within the geological  
 11 repository operations area. Radon is assumed to disperse sufficiently over the geological  
 12 repository operations area such that the maximum exposure for surface workers (both involved  
 13 and noninvolved) would be similar. Public exposures are dependent on the location of the  
 14 members of the public. A repository will have an area where public access is restricted, and this  
 15 would vary from site to site. The DOE determined that the location for the maximally exposed  
 16 offsite member of the public, based on air dispersion of atmospheric releases from the Yucca  
 17 Mountain repository, is just outside the restricted area (approximately 18 kilometers [11 miles]  
 18 from the subsurface facilities) in the south-southeast direction from the repository. In  
 19 determining exposure for the maximally exposed individual, the DOE assumed a hypothetical  
 20 individual resided continuously for 70 years at this location and determined a population dose  
 21 based on an estimated population distribution for the year 2067 that resulted in a population of  
 22 approximately 117,000 individuals residing within 84 kilometers (52 miles) of the facility  
 23 (DOE, 2008, page D-12). Although the maximally exposed individual is assumed to reside  
 24 continuously outside the controlled area in the prevailing downwind direction from the repository  
 25 at a location where the estimated dose is a maximum, the estimated population dose provides a  
 26 collective dose for all individuals assumed to reside within 84 miles of the facility where the dose  
 27 for a given individual within the population of 117,000 individuals will vary based on with the  
 28 individuals distance from the repository as well as the location relative to the direction of the  
 29 wind. Table G-5 provides unit dose conversion factors for evaluating radon exposures for  
 30 workers and the public present on the land surface.

31

1 **Table G-5 Internal Dose Conversion Factors for the Maximally Exposed Individuals**  
 2 **and the Offsite Population Present on the Land Surface Based on a Release**  
 3 **of 1 Ci of Radon**

Maximally Exposed Individual Dose Conversion Factors				Offsite Population Collective Dose Conversion Factor (person-rem per Ci)
Involved Surface Worker (mrem per Ci)	Noninvolved Subsurface Worker (mrem per Ci)	Noninvolved Surface Worker (mrem per Ci)	Offsite Individual (mrem per Ci)	
0.0010	0.0011	0.00097	0.0016	0.033

4 Source: DOE, 2008, Table D-5

5  
 6 Subsurface workers have the potential to receive larger external exposures because the  
 7 proximity to radionuclides in drift walls. In addition, exposure to a higher concentration of radon  
 8 in the underground facility results in higher internal exposure from radon in the air. The DOE  
 9 assumed that the subsurface involved worker is exposed to an average radon concentration of  
 10 5.8 picocuries per liter of air, resulting in an internal dose of 70 mrem per year (DOE, 2008,  
 11 page D-19). The subsurface involved worker would also receive an external dose of 50 mrem  
 12 per year from radionuclides in the drift walls as a result of spending 2,000 hours underground  
 13 during the work year (DOE, 2008, page 4-63). The subsurface noninvolved worker would not  
 14 receive a significant external dose because of the limited amount of time spent in close  
 15 proximity to the drift walls. The radon dose is estimated differently to account for the  
 16 noninvolved worker who is subject to radon levels in the south portal rather than other areas of  
 17 the subsurface containing higher concentrations of radon. As presented in Table G-6, the DOE  
 18 estimated a larger unit exposure rate for the noninvolved subsurface worker during the  
 19 construction-only period (i.e., initial 5 years of development) versus all the other times when the  
 20 radon dose is comparable to the radon dose estimated for the surface workers (DOE, 2008,  
 21 Table D-5). The higher rate during the construction-only period is because all ventilation  
 22 exhaust exits through the south portal of the underground facility, whereas ventilation after the  
 23 construction-only period is exhausted through six ventilation shafts that replace the use of the  
 24 south portal for the air exhaust (DOE, 2008, pages D-12 and 13).  
 25

1 **Table G-6 Internal and External Dose Conversion Factors for the Maximally Exposed**  
 2 **Worker in the Subsurface from Natural Sources of Radiation throughout**  
 3 **Repository Development**

<b>Subsurface Worker</b>	<b>Construction-Only Period (years 0–5)</b>	<b>All Other Periods (years 6–105)</b>
Involved Worker (External Dose) <sup>a</sup>	50 mrem/year	50 mrem/year
Involved Worker (Internal Dose) <sup>b</sup>	70 mrem/year	70 mrem/year
Noninvolved Worker (Internal Dose) <sup>c</sup>	0.066 mrem/Ci radon	0.0011 mrem/Ci radon

4 <sup>a</sup> Source: DOE, 2008, page D-19  
 5 <sup>b</sup> Source: DOE, 2008, page 4-63  
 6 <sup>c</sup> Source: DOE, 2008, Table D-5

7  
 8 Table G-7 provides the maximum individual (i.e., workers and public) dose from natural sources  
 9 of radiation over the three major periods of repository development: (1) construction and  
 10 emplacement (the initial 55 years), (2) monitoring (40 years following the end of emplacement),  
 11 and (3) closure (the last 10 years of the 105-year development period). The maximum annual  
 12 dose to workers and the public present on the surface is estimated by multiplying the maximum  
 13 radon release in Table G-4 for a given time period by the appropriate dose conversion factor in  
 14 Table G-5. For example, the offsite individual has a maximum dose of 7.5 mrem per year  
 15 during the monitoring period based on an annual release of 4,700 Ci of radon and a conversion  
 16 factor of 0.0016 mrem per curie of radon released. The maximum annual exposure for the  
 17 subsurface involved worker is based on the summation of the internal exposure (70 mrem per  
 18 year) and the external exposure (50 mrem per year) in Table G-5. Maximum annual individual  
 19 exposure for the noninvolved subsurface worker is estimated using the same approach for the  
 20 surface workers, except Table G-6 provides the dose conversion factors. The offsite maximally  
 21 exposed individual has a larger dose than the noninvolved surface worker. The DOE  
 22 considered the maximally exposed offsite individual to be a hypothetical member of the public  
 23 residing continuously at the site boundary. Alternatively, the onsite worker is present for  
 24 2,000 hours per year (i.e., the offsite resident at the site boundary is exposed to radon release  
 25 for a longer time during the year than the site worker).  
 26

1  
2  
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**Table G-7 Maximum Annual Individual Dose for Workers and the Public from Naturally Occurring Radionuclides during the Development of a Repository**

Exposure Group	Annual Individual Dose for Workers and the Public (mrem/yr)			
	Construction Only (Years 0–5)	Construction and Emplacement (Years 6–55)	Monitoring (Years 56–95)	Closure (Years 96–105)
Involved Worker (Subsurface)	120	120	120	120
Involved Worker (Surface)	0.43	3.9	4.7	2.8
Noninvolved Worker (Subsurface)	29	8.5	10	5.2
Noninvolved Worker (Surface)	0.41	3.7	4.6	2.3
Offsite Individual	0.68	6.2	7.5	3.8

4 Note: Rounded to two significant figures.

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Collective population dose over the entire repository development period is also estimated for the worker groups (e.g., involved subsurface workers and noninvolved surface workers) and the public residing within 84 kilometers (52 miles) of the repository. The DOE estimated that approximately 86,000 worker-years would be required to develop the repository, of which approximately 66,000 worker-years are for construction and emplacement, 10,000 worker-years are for the monitoring period, and 10,000 worker-years are for the closure period. Table G-8 breaks down the workforce during the 105 years of development (DOE, 2008, Figure D-2). Table G-9 presents the collective population dose for the worker groups and the public from natural sources of radiation. The collective population dose for the worker groups is estimated by multiplying the annual individual dose for workers in Table G-7 by the appropriate number of worker years in Table G-8 for the worker groups. The collective population dose for the offsite public is estimated by multiplying the annual average radon release for each time period (Table G-4) by the internal dose conversion for the offsite population dose (Table G-5) and the appropriate number of years for each time period to determine the person-rem for each of the time periods.



1 **Table G-8 Population Size for Workers (Worker-Years) during Repository**  
 2 **Development**

Worker Group	Construction and Emplacement		Monitoring	Closure
	years 0–5	years 6–55	years 56–95	years 96–105
<b>Surface Workers</b>				
Construction	5,000	5,000	NA	NA
Involved	NA	30,000	5,000	5,000
Noninvolved	2,000	15,000	1,000	2,000
<b>Subsurface Workers</b>				
Construction	300	4,000	NA	NA
Involved	NA	4,000	3,000	3,000
Noninvolved	NA	200	400	800
Overall Totals	7,300	58,200	9,400	10,800
Overall Annual Average <sup>a</sup>	1,500	1,200	230	1,100

3 <sup>a</sup> Overall annual average values are rounded to two significant figures.  
 4 Source: DOE, 2008, Figure D-2

5  
 6 **Table G-3 Collective Population Dose for Workers and the Public in Person-Rem from**  
 7 **Natural Sources of Radiation during the Development of a Repository**

Exposure Group	Construction Only (Years 0–5)	Construction and Emplacement (Years 6–55)	Monitoring (Years 56–95)	Closure (Years 96–105)
Surface Construction Only <sup>a</sup>	2	19 (ends year 32)	NA	NA
Surface (Involved Worker)	NA	120	24	14
Surface (Noninvolved Worker)	1	56	5	5
Subsurface Construction Only <sup>a</sup>	36	480 (ends year 32)	NA	NA
Sub-surface (Involved Worker)	NA	480	360	360
Subsurface (Noninvolved Worker)	NA	2	4	4
Worker Totals	39	1,200	390	380
Offsite Population (117,000 within 84 kilometers)	2	6,400	6,200	780

8 <sup>a</sup> Considered an involved worker for the purpose of estimating dose.

9 <sup>b</sup> Fractional values rounded to nearest whole number and no more than two significant figures used.

10

1 **Exposure to Radioactive Waste during Routine Operations<sup>9</sup>**  
2

3 After radioactive waste is received at the repository, potential exposures can occur from  
4 the release of radionuclides into the atmosphere resulting in an internal dose and an external  
5 dose for individuals conducting activities in close proximity to waste packages. As discussed  
6 above for radon, radionuclides released into the atmosphere can impact all workers at the site  
7 as well as offsite individuals. External dose, however, would be limited to the involved workers.  
8 The DOE considered two major sources for atmospheric releases from SNF: (1) releases that  
9 may occur when waste is being handled at a wet handling facility (WHF) and (2) releases from  
10 surface contamination on the waste canisters sitting on the surface aging pad or the waste  
11 packages that are emplaced underground but before permanent closure of the facility. The  
12 DOE estimated potential exposures for a variety of onsite locations associated with the  
13 repository facilities to account for dispersion affecting the variation in concentrations of  
14 atmospheric release of radioactive materials that a potential onsite worker might experience  
15 over the repository site (BSC, 2008a).  
16

17 Individual Doses from Spent Nuclear Fuel  
18

19 The DOE estimated potential exposures to atmospheric releases of radioactive material for  
20 30 distinct surface locations of the repository. Exposure to atmospheric releases of SNF are  
21 estimated to be very low for workers, with the exception of involved workers at the WHF where  
22 uncanistered SNF would be handled. In particular, the DOE estimated that the largest internal  
23 annual dose to workers from the combined atmospheric releases (i.e., releases from the WHF,  
24 the aging pad, and the sub-surface) would be 15.3 mrem per year, whereas potential exposures  
25 at the other 29 locations would vary from 0.0248 to 0.288 mrem per year (BSC, 2008d, Table 5).  
26 The releases from the WHF are the largest contributor to worker exposures. The potential dose  
27 for the WHF workers from the WHF releases is 13.7 mrem per year (BSC, 2008a, Table 12).  
28

29 As for the exposures from natural radioactive sources released from the repository to the  
30 atmosphere, the DOE considered the maximally exposed offsite individual to be a hypothetical  
31 member of the public residing continuously at the site boundary approximately 19 kilometers  
32 (12 miles) from the surface facilities of the repository (DOE, 2008). The DOE estimated that the  
33 maximally exposed individual would receive a maximum dose of 0.018 mrem per year as a  
34 result of SNF releases to the atmosphere from individual doses of (1) 0.003 mrem per year from  
35 the WHF release (assuming an annual throughput of 300 MTHM that represents 10 percent of  
36 the overall throughput of 3,000 MTHM that is assumed to be handled at the WHF),  
37 (2) 0.012 mrem per year from aging pad releases during each year of operations, and  
38 (3) 0.003 mrem per year from subsurface facility releases that would occur each year until final  
39 closure of the facility (DOE, 2008, Table D-5). Table G-10 summarizes the information on  
40 internal dose from atmospheric releases.  
41

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<sup>9</sup> These estimates deal with commercial spent fuel and do not include risk from defense waste (typically referred to as HLW) that DOE would have also disposed at the Yucca Mountain geologic repository.

1 **Table G-4 Annual Individual Internal Dose for Atmospheric Releases of SNF during**  
 2 **Operations**

Exposure Group	Annual Dose (mrem/yr) <sup>a</sup>		
	Emplacement (Years 6–55)	Monitoring <sup>b</sup> (Years 56–95)	Closure <sup>b</sup> (Years 96–105)
WHF Workers	15	NA	NA
All Workers (Except WHF Workers)	0.025 to 0.29	0.011 to 0.040 <sup>c</sup>	0.011 to 0.040 <sup>c</sup>
Offsite Individual (Maximally Exposed)	0.018	0.003	0.003

3 <sup>a</sup> Values rounded to two significant figures.

4 <sup>b</sup> Subsurface releases only during these periods.

5 <sup>c</sup> Values based on BSC, 2008a, Table 14.

6  
 7 Certain involved workers performing activities sufficiently close to SNF (e.g., handling activities)  
 8 can receive a measurable external dose. The DOE assumed an overall annual throughput of  
 9 500 casks (3,000 MTHM) per year with design-basis source terms to estimate the external dose  
 10 to workers. However, the WHF only processes 10 percent of the overall throughput or  
 11 300 MTHM. These annual individual external doses for surface workers ranged from 200 to  
 12 1,300 mrem per year for operators and 200 to 800 mrem per year for health physics technicians  
 13 (BSC, 2008b, Table 1.0). The average external dose to these involved surface workers was  
 14 480 mrem per year for operators and 358 mrem per year for health physics technicians  
 15 (BSC, 2008b, Table 1). Individual external exposures for the subsurface involved workers  
 16 ranged from 100 to 209 mrem per year during emplacement operations, 120 to 204 mrem per  
 17 year during the monitoring period, and 8.74 to 39.4 mrem per year during closure operations  
 18 (BSC, 2008c, Tables 16-18). Waste packages are emplaced in the subsurface using a  
 19 transport and emplacement vehicle that is remotely controlled and monitored; thus, the  
 20 subsurface workers receive lower external doses than the surface workers. Table G-11  
 21 provides the maximum and collective doses for specific worker activities.  
 22

1 **Table G-11 External Dose for Involved Workers for Specific Activities**

Activity <sup>a,b</sup>	Maximum Individual Dose (rem per year)	Collective Dose (person-rem)
Receipt Facility	1.3	840
Initial Handling Facility	0.8	110
Wet Handling Facility	0.4	300
Canister Receipt and Closure Facilities	0.29	630
Aging Facility	0.30	200
Low-Level Waste Facility	0.7	310
Cask Receipt Security Station	0.4	230
<b>Total Surface Worker External Dose</b>	1.3	2,620
Subsurface (Operations)	0.21	510
Subsurface (Monitoring)	0.2	510
Subsurface (Closure)	0.039	80
<b>Total Subsurface Worker External Dose</b>	0.21	1,100

2 <sup>a</sup> Annual doses based on processing 500 casks per year or about 3,000 MTHM of commercial SNF throughput per  
3 year.

4 <sup>b</sup> Collective doses based on processing a total waste throughput of 70,000 MTHM.

5 Source: DOE, 2008, Tables D-9 and D-10

6  
7 Table G-12 provides the estimated individual doses for site workers and an offsite maximally  
8 exposed individual over the operational period of repository development (i.e., initial  
9 construction until permanent closure of the underground facility) based on the values contained  
10 in Tables G-10 and G-11. The highest exposure is estimated for the involved worker and  
11 specifically for the workers at the receipt facility (RF) based on an external exposure from the  
12 incoming waste containers. By comparison, the annual individual dose for all worker categories  
13 from the atmospheric release of SNF is less than 1 mrem per year, except for the involved  
14 workers at the WHF who are estimated to have an individual internal dose of 15 mrem per year.

15

1 **Table G-12 Largest Annual Individual Dose for Workers and the Maximally Exposed**  
 2 **Offsite Individual from SNF during the Operational Period**

Exposure Group	Exposure Source	Largest Annual Individual Exposures (mrem/yr)			
		Construction Only (Years 0–5)	Construction and Emplacement (Years 6–55)	Monitoring (Years 56–95)	Closure (Years 96–105)
Involved Worker (Sub-surface)	Internal Dose	NA <sup>a</sup>	<1	<1	<1
	External Dose	NA <sup>a</sup>	210	200	390
Involved Worker (Surface)	Internal Dose	NA <sup>a</sup>	15 (WHF)	<1	<1
	External Dose	NA <sup>a</sup>	1,300 (RF)	<1	<1
Noninvolved Worker (Sub-surface)	Internal Dose	NA <sup>a</sup>	<1	<1	<1
Noninvolved Worker (Surface)	Internal Dose	NA <sup>a</sup>	<1	<1	<1
Offsite Individual	Internal Dose	NA <sup>a</sup>	<1	<1	<1

3 <sup>a</sup> No applicable exposure because no SNF is at the site during this period.  
 4  
 5

1 Collective Dose from Spent Nuclear Fuel

2  
3 The estimation of collective dose for worker groups should account for the variation in  
4 exposures from atmospheric releases that occur as a result of the different locations of the  
5 workers on the surface of the geological repository operations area, different periods of time for  
6 these releases to occur (e.g., only subsurface releases occur during the monitoring and the  
7 closure periods), and differing external exposures for workers because of their different work  
8 activities. Internal dose from atmospheric releases is the largest for the WHF workers.  
9 Therefore, the estimation of worker collective dose is simplified by estimating the WHF worker  
10 dose as one component of the overall collective internal dose. The second component of the  
11 overall collective internal dose represents all of the other workers and conservatively uses the  
12 largest annual internal dose estimated for the other geological repository operations area  
13 locations (e.g., the largest value for internal doses for all other workers in Table G-10). The  
14 following equation shows how to calculate the collective worker dose for these two components  
15 for internal exposure of workers from atmospheric releases of SNF:

16  
17 
$$\text{CWD} = \text{AWD} \times \text{WY}$$

18  
19 where CWD: collective worker dose  
20 AWD: annual worker dose (from Table G-10)  
21 WY: number of worker-years

22 The number of worker-years is based on Table G-8 for all workers other than WHF workers.  
23 The number of WHF worker-years is estimated based on the assumption that 10 percent of the  
24 SNF received at the repository is processed by the WHF, and the activity requires 36 workers to  
25 process 300 MTHM in a year (BSC, 2008b, .0). Therefore, based on the statutory limit of  
26 63,000 MTHM of commercial fuel, the number of WHF worker-years is 756.

27  
28 The DOE estimated the collective doses from atmospheric releases from SNF operations at the  
29 repository for 117,000 individuals residing within 84 kilometers (52 miles) of the facility to be  
30 (1) 0.88 person-rem from WHF releases as a result of processing 6,300 MTHM,  
31 (2) 5.5 person-rem from the aging pad releases based on an annual collective dose of  
32 0.11 person-rem per year for each of the 50 years during the emplacement period, and  
33 (3) 3.3 person-rem from subsurface facility releases based on an annual collective dose of  
34 0.033 person-rem per year for each of the 100 years the subsurface facility will be ventilated  
35 (DOE, 2008, Table D-5).

36  
37 The DOE estimated the collective external doses for workers for the activities presented in  
38 Table G-11. Table G-13 provides the collective dose for workers and the offsite public for both  
39 atmospheric release and direct radiation associated with SNF during the operational period of a  
40 repository.

1 **Table G-13 Collective Internal Dose for Workers and the Public from SNF during**  
 2 **Repository Development**

Exposure Group	Exposure Source	Collective Dose for the Workers and the Public (person-rem)				
		Construction Only (Years 0–5)	Construction and Emplacement (Years 6–55)	Monitoring (Years 56–95)	Closure (Years 96–105)	Totals
Surface Construction	Internal Dose	NA	1	NA	NA	1
Surface (Involved Worker)	Internal Dose	NA	20 <sup>a</sup>	<1	<1	20
	External Dose	NA	2,620	NA	NA	2,620
Surface (Noninvolved Worker)	Internal Dose	NA	4	<1	<1	4
Subsurface Construction	Internal Dose	NA	1	NA	NA	1
Subsurface (Involved Worker)	Internal Dose	NA	1	<1	<1	1
	External Dose	NA	510	510	80	1,100
Subsurface (Noninvolved Worker)	Internal Dose	NA	<1	<1	<1	<1
<b>Total Worker Doses</b>	Internal Dose	NA	27	<1	<1	27
	External Dose	NA	3,183	510	80	3,773
Offsite Population (117,000 within 84 kilometers)	Internal Dose	0	8	1	<1	9

3 <sup>a</sup> The WHF workers contribute 60 percent of the total collective dose and represent less than 3 percent of the total  
 4 worker-years.  
 5

6 **Exposure to Radioactive Waste from Operational Accidents**  
 7

8 The DOE analyzed 10 postulated accident scenarios associated with SNF that could occur  
 9 during the operational period of the repository. The evaluations considered accidents caused  
 10 by seismic events as well as internal events such as the breach of a sealed TAD canister in the  
 11 WHF. The evaluations conservatively assumed the wind would blow in the direction of the  
 12 largest population sector (i.e., the south-southeast sector) with a population of 104,000 within  
 13 80 kilometers (50 miles) of the facility. The DOE described this assumption as the unfavorable  
 14 95<sup>th</sup> percentile meteorological conditions for the offsite public exposure assessment. Table G14  
 15 estimates the conditional consequences for these accident scenarios.

1 **Table G-14 Conditional Doses for Accident Scenarios Involving SNF Releases during**  
 2 **Repository Handling and Emplacement Activities**

<b>Accident Scenario</b>	<b>Annual Frequency</b>	<b>Individual Maximum Offsite Dose (mrem)</b>	<b>Offsite Collective Dose (person-rem)</b>	<b>Maximum Noninvolved Worker Dose (mrem)</b>
Seismic event causing LLW facility collapse and failure of HEPA filters and ductwork in other facilities	$2 \times 10^{-4}$	35	310	3,500
Breach of uncanistered SNF in sealed truck transport cask	$2 \times 10^{-3}$	1	$2.7 \times 10^{-5}$	83
Breach of uncanistered SNF in unsealed truck cask in WHF pool	$1 \times 10^{-5}$	0.94	26	52
Breach of sealed DPC in air	$2 \times 10^{-6}$	9.1	250	55
Breach of SNF in unsealed DPC in WHF pool	$4 \times 10^{-6}$	8.4	230	740
Breach of SNF in sealed TAD in WHF pool	$4 \times 10^{-5}$	5.3	140	430
Breach of SNF in unsealed TAD in WHF pool	$1 \times 10^{-5}$	4.9	130	290
Drop of uncanistered SNF in WHF pool	$6 \times 10^{-3}$	0.47	13	27
Breach of uncanistered SNF in WHF pool	$< 2 \times 10^{-6}$	0.23	6.4	14
Breach of sealed truck transport cask due to fire	$4 \times 10^{-4}$	4.4	42	1,300

3 Source: DOE, 2008, Table 4-25

4  
 5 Table G-14 accounts for the risk that the accident scenarios could occur during repository  
 6 development. The accident risk for the operational period is estimated by multiplying 50 years  
 7 (the period during which handling and emplacement of SNF occurs) by the annual frequency for  
 8 the specific scenario and the doses presented in Table G-14. Table G-15 presents the annual  
 9 frequency for each of the accident scenarios and the estimated risk over the 50 year period  
 10 when handling and waste emplacement activities are expected to occur.  
 11



1 **Table G-15 Risk Associated with Accident Scenarios Involving SNF Releases during**  
 2 **Repository Handling and Emplacement Activities**

Accident Scenario	Annual Frequency	Individual Maximum Offsite Risk (mrem/year)	Offsite Collective Risk (person-rem/year)	Maximum Noninvolved Worker Risk (mrem/year)
Seismic event causing LLW facility collapse and failure of HEPA filters and ductwork in other facilities	$2 \times 10^{-4}$	0.35	3.1	35
Breach of uncanistered SNF in sealed truck transport cask	$2 \times 10^{-3}$	0.1	$2.7 \times 10^{-6}$	8.3
Breach of uncanistered SNF in unsealed truck cask in WHF pool	$1 \times 10^{-5}$	$4.7 \times 10^{-4}$	0.01	0.03
Breach of sealed DPC in air	$2 \times 10^{-6}$	$9 \times 10^{-4}$	0.02	0.006
Breach of SNF in unsealed DPC in WHF pool	$4 \times 10^{-6}$	0.002	0.05	0.1
Breach of SNF in sealed TAD in WHF pool	$4 \times 10^{-5}$	0.001	0.03	0.09
Breach of SNF in unsealed TAD in WHF pool	$1 \times 10^{-5}$	0.002	0.06	0.1
Drop of uncanistered SNF in WHF pool	$6 \times 10^{-3}$	0.1	3.9	8.1
Breach of uncanistered SNF in WHF pool	$< 2 \times 10^{-6}$	$< 2 \times 10^{-5}$	$< 6 \times 10^{-4}$	$< 1 \times 10^{-3}$
Breach of sealed truck transport cask from fire	$4 \times 10^{-4}$	0.09	0.8	26

3 Source: DOE, 2008, Table 4-25

4  
 5 The risks for handling and emplacement activities presented in Table G-15 are low because of  
 6 the limited conditional doses for the accident scenarios (Table G-14) and the low annual  
 7 accident frequencies (e.g., all accident frequencies are  $6 \times 10^{-3}$  per year or less). Thus, the  
 8 maximum offsite individual risks are all less than 1 mrem per year, and the offsite collective risks  
 9 are under 1 person-rem per year except for two accident scenarios in which the collective risks  
 10 are 3.1 and 3.9 person-rem per year. The maximum noninvolved worker risk is larger than the  
 11 offsite individual dose estimate because the worker is present at the site and thus closer to any  
 12 accidental release. However, the largest risk for the noninvolved worker is 35 mrem per year,  
 13 and most of the accident scenarios result in a maximum noninvolved worker risk less than  
 14 1 mrem per year.

15  
 16 **G.2.7.3 Repository Risks after Permanent Closure**

17  
 18 When a repository is permanently closed, all openings into the underground facility are sealed  
 19 to eliminate any type of easy access to the waste. This begins the post-closure period of a  
 20 repository, and the NRC expects that the multiple barriers of the repository will continue to  
 21 perform their passive functions for maintaining safety (i.e., the repository site and design are  
 22 intended to preserve safety without maintenance). Although it is expected that a release in the

1 distant future will occur, it is also expected that the repository will continue to function safely  
2 (i.e., within the post-closure dose limits). Repository programs around the world have regulatory  
3 dose limits for annual individual exposures of 15 mrem for long time periods  
4 (e.g., 10,000 years). Collective doses are rarely estimated for post-closure safety because such  
5 an estimate is of limited value given the large uncertainties in projecting populations far into the  
6 future.

#### 7 8 **G.2.7.4 Summary of Risks of a Geological Repository** 9

10 Table G-16 presents the collective dose for all the activities that would occur at each stage of  
11 the pre-closure period. In particular, exposures during loading come from Table G-2, exposures  
12 during transport come from Table G-3, exposures from natural occurring radionuclides during  
13 repository development come from Table G-9, and exposures from the presence of SNF during  
14 repository development come from Table G-13.

15  
16 The transportation campaign results in the largest overall collective dose for workers and the  
17 public from exposure to SNF. For workers, the collective dose is primarily from the potential  
18 external dose during the loading of uncanistered fuel, whereas, public exposure is principally  
19 from the external dose along the transportation routes. The potential exposures are well within  
20 regulatory limits. Worker exposures to SNF during repository development are approximately  
21 double the worker exposure to natural radioactivity (e.g., radon release). Worker exposure to  
22 SNF during repository development is dominated by the external dose for those workers  
23 performing activities in close proximity to the SNF (see Table G-13). Public exposure to SNF  
24 during repository development is very limited (i.e., 0.09 person-rem/year); however, public  
25 exposure to radon released to the atmosphere during repository development is significantly  
26 larger (i.e., an annual collective dose of 127 person-rem, which is approximately 1,000 times  
27 greater than the dose from the SNF).  
28

1 **Table G-16 Collective Dose for Workers and the Public from the Transportation**  
 2 **Campaign and Repository Development**

Time Period and Activities	Exposure Source	Workers (person-rem)	Public (person-rem)
TRANSPORTATION CAMPAIGN			
Years 6–55 (Loading)	SNF	8,300	3
Years 6–55 (Transportation)	SNF	544	548
<b>Transportation Campaign Totals</b>	NA	8,844	551
Transportation Annual Average (based on 50 years)	NA	177	11
REPOSITORY DEVELOPMENT			
Years 0–5 (Construction only)	Natural	39	2
Years 6–55 (Construction and emplacement)	Natural	1,200	6,400
	SNF	3,183	8
Years 56–95 (Monitoring)	Natural	390	6,200
	SNF	510	1
Years 96–105 (Closure)	Natural	380	780
	SNF	80	<1
<b>Repository Totals</b>	Natural	2,009	13,382
	SNF	3,773	9
Repository Annual Average (based on 105 years)	Natural	19	127
	SNF	38	0.09

3  
 4 **G.2.8 Decommissioning**

5  
 6 The NRC’s nuclear regulatory activities include decommissioning nuclear facilities, which means  
 7 reducing residual radioactivity to a level that permits either of the following actions:

- 8  
 9 • Release the property for unrestricted use, and terminate the license.  
 10 • Release the property under restricted conditions, and terminate the license.

11  
 12 The NRC’s decommissioning regulations are found in 10 CFR Part 20, Subpart E, “Radiological  
 13 Criteria for License Termination,” which applies to facilities licensed under 10 CFR Part 30,  
 14 “Rules of General Applicability to Domestic Licensing of Byproduct Material,” 10 CFR Part 40,  
 15 10 CFR Part 50, 10 CFR Part 52, 10 CFR Part 60, 10 CFR Part 61, 10 CFR Part 63,  
 16 10 CFR Part 70, and 10 CFR Part 72, and also provides the main requirements for license  
 17 termination.  
 18

1 The NRC and Agreement States regulate the decommissioning of nuclear facilities, with the  
2 ultimate goal of license termination. The following facilities would be expected to undergo  
3 decommissioning:

- 4
- 5 • complex materials sites (byproduct sites)
- 6 • power reactors
- 7 • research and test reactors
- 8 • uranium recovery sites
- 9 • fuel cycle facilities

10

11 Approximately 100 materials licenses are terminated each year. Most of these license  
12 terminations are routine, and the affected sites require little, if any, remediation to meet the  
13 NRC's criteria for unrestricted use. A site released under restricted conditions has residual  
14 radiological contamination present above NRC levels for unrestricted release.

15

16 As with LLW disposal sites, the primary hazard at decommissioning sites would likely be a  
17 radiological release. This could occur from the failure of institutional or physical barriers.

18

19 The primary decommissioning guidance document used by licensees and the NRC is  
20 NUREG-1757, "Consolidated Decommissioning Guidance." NUREG-1757 is a three-volume  
21 series that consolidates the current policies and guidance of the NRC's decommissioning  
22 program. Volume 1 of NUREG-1757 provides guidance on the decommissioning process for  
23 materials licensees, with applicability in some areas to reactor licensees. Volume 2 contains  
24 guidance on characterization, surveys, and the determination of radiological criteria for all  
25 licensees subject to the license termination regulations of 10 CFR Part 20, Subpart E.  
26 Volume 3 addresses financial assurance, recordkeeping, and timeliness. The staff revises  
27 NUREG-1757 periodically to reflect updates to the NRC's decommissioning policy, with the  
28 latest revision issued in February 2012.

29

30 The NRC also provides decommissioning guidance related to non-power reactors in  
31 NUREG-1537, Part 1, "Guidelines for Preparing and Reviewing Applications for the Licensing of  
32 Non-Power Reactors: Format and Content." In addition, Section 5 of NUREG-1620 provides  
33 decommissioning guidance for uranium recovery (i.e., in situ leaching) facilities subject to  
34 10 CFR Part 40, Appendix A.

35

36 Other studies and guidance that contain additional information on performing regulatory  
37 analyses for specific decommissioning activities include the following documents.

- 38
- 39 • NUREG-0586, "Final Generic Environmental Impact Statement on Decommissioning of  
40 Nuclear Facilities," issued in 1988; and Supplement 1, "Generic Environmental Impact  
41 Statement on Decommissioning of Nuclear Facilities: Regarding the Decommissioning  
42 of Nuclear Power Reactors," issued in 2002, address decommissioning generically.  
43 Supplement 1 incorporated technological advances in decommissioning operations,  
44 experience gained by licensees, and changes made to NRC regulations since the initial  
45 publication of NUREG-0586 in 1988.
- 46
- 47 • NUREG-1738 addresses the principal safety concern for the decommissioning of the  
48 current fleet of operating reactors, which is the storage of SNF in the SFP or at an ISFSI.

### G.3 NON-FUEL CYCLE ACTIVITIES

Non-fuel cycle activities involve the use of byproduct material. The primary NRC regulations for these activities are those promulgated under 10 CFR Part 30 through 10 CFR Part 39<sup>10</sup>.

Non-fuel cycle activities do not have backfitting regulations. Non-fuel cycle activities are diverse in scope and use, with more than 18,500 specific materials licenses and approximately 100,000 general licenses in the following general areas:

- medical use (e.g., radiation therapy and nuclear medicine)
- irradiators
- radiography
- well logging
- manufacturing
- fixed and portable gauges
- measuring systems
- academics (e.g., for education and research)

NUREG-1350 provides background information on non-power reactor activities, including the number of active licensees and general locations. The technical report series, NUREG-1556, "Consolidated Guidance about Materials Licenses," contains comprehensive reference information about the various aspects of materials licensing and materials program implementation for the non-fuel cycle activities. The Materials OpE Gateway is available on the internal NRC Web site at <http://drupal.nrc.gov/nmss/ope> and consolidates various information sources for ease in accessing and analyzing operating experience in the regulated materials program.

The NRC regulates a wide variety of activities with diverse characteristics under 10 CFR Part 30 through 10 CFR Part 39. The materials may be solids, liquids, or gases and may be sealed or unsealed sources. Quantities in use may range from microcuries to megacuries, and access to the byproduct materials may be unlimited (e.g., for consumer products) to tightly controlled (e.g., for large irradiators). All these factors affect risk and associated impact and implementation costs.

This section summarizes the data reference materials related to byproduct materials that may be useful in preparing a regulatory analysis.

NUREG-1556 is an extensive, 21-volume document that provides program-specific guidance to assist in preparing and reviewing applications for licenses for the use of byproduct material. The program-specific guidance is intended for use by applicants, licensees, NRC staff, and Agreement States.

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<sup>10</sup> These regulations are 10 CFR Part 31, "General Domestic Licenses for Byproduct Material", 10 CFR Part 32, "Specific Domestic Licenses to Manufacture or Transfer Certain Items Containing Byproduct Material", 10 CFR Part 33, "Specific Domestic Licenses of Broad Scope for Byproduct Material", 10 CFR Part 34, "Licenses for Industrial Radiography and Radiation Safety Requirements for Industrial Radiographic Operations", 10 CFR Part 35, "Medical Use of Byproduct Material", 10 CFR Part 36, "Licenses and Radiation Safety Requirements for Irradiators", 10 CFR Part 37, "Physical Protection of Category 1 and Category 2 Quantities of Radioactive Material," and 10 CFR Part 39, "Licenses and Radiation Safety Requirements for Well Logging." There is no 10 CFR Part 38.

1 NUREG/CR-6642, "Risk Analysis and Evaluation of Regulatory Options for Nuclear Byproduct  
2 Material Systems," includes activities regulated under 10 CFR Part 30 through  
3 10 CFR Part 39<sup>11</sup>. The three-volume report uses insights obtained from risk analyses to identify  
4 regulatory options for the oversight of the various nuclear byproduct material licenses. The  
5 methodology includes the following:  
6

- 7 • organizing all nuclear byproduct material licenses into 40 systems (i.e., groups of  
8 activities)
- 9
- 10 • describing each system in terms of tasks, hazards, barriers (i.e., physical and  
11 administrative barriers that limit doses to workers and the public), and receptors  
12
- 13 • performing a radiation risk assessment for each system, including normal and  
14 accident doses to workers and a maximally exposed member of the public  
15
- 16 • considering the social and economic benefits, associated costs, and the risks, for  
17 each system  
18

19 NUREG/CR-6642 includes the initial information that is useful to perform a regulatory analysis  
20 for byproduct material. The primary risk associated with the studied activities is overexposure to  
21 workers and the public from the failure of one or more protective barrier(s) or lost or misplaced  
22 sources. The analyst should consider the assumptions used in the analysis to assess whether  
23 they impact the regulatory analysis. In particular, the analysis for medical systems does not  
24 consider patient doses because the individual receives a benefit from the use of the system;  
25 therefore, the NRC considers such doses a special category separate from those to workers  
26 and the public. In addition, NUREG/CR-6642 only addresses the maximally exposed member  
27 of the public and does not calculate population doses.  
28

29 The analyst can find occupational exposure data in NUREG-0713, which summarizes the  
30 annual occupational exposure data that are maintained in the NRC Radiation Exposure  
31 Information and Reporting System (REIRS). The current version is Volume 39, the 50<sup>th</sup> annual  
32 report, which was issued in March 2019. The annual reports compile information from five of  
33 the seven NRC licensee categories subject to 10 CFR 20.2206, "Reports of Individual  
34 Monitoring":  
35

- 36 (1) commercial nuclear power reactors and test reactor facilities
- 37 (2) industrial radiography
- 38 (3) fuel processing, including uranium enrichment facilities; fabricating; or reprocessing of  
39 special nuclear material above specified amounts
- 40 (4) processing or manufacturing for distributing byproduct material above specified amounts
- 41 (5) ISFSIs  
42

---

<sup>11</sup> In 10 CFR Part 37, the NRC addresses the level of security for nuclear byproduct material system activities, which is not covered in the report. There is no 10 CFR Part 38.

1 Two licensee categories, facilities for land disposal of LLW and geologic repositories for HLW,  
2 do not report as there are no NRC-licensed LLW disposal facilities and there are no geologic  
3 repositories.  
4

5 NMED is another source of information on non-fuel cycle activity events, accessible through the  
6 NRC internal Web site Material OpE Gateway. The NMED Annual Report presents information  
7 on trending and analysis of events reported to the NRC that involve radioactive materials.

8 NMED contains information from materials, fuel cycle, and non-power reactor licensees on  
9 events such as personnel radiation overexposures, medical misadministration, losses of  
10 radioactive material, and potential criticality events. The current version is the Nuclear Material  
11 Event Database Annual Report for Fiscal Year 2017.  
12

13 NUREG-1717, “Systematic Radiological Assessment of Exemptions for Source and Byproduct  
14 Materials,” systematically assesses potential individual and collective (population) radiation  
15 doses associated with the current exemptions from licensing for the majority of 10 CFR Part 30,  
16 10 CFR Part 40, and 10 CFR Part 70 licenses. The report estimates doses for the normal life  
17 cycle of a particular product or material, covering distribution and transport, intended or  
18 expected routine use, and disposal. In addition, it estimates assessments potential doses from  
19 accidents and misuse. Finally, it assesses potential radiological impacts associated with  
20 selected products containing byproduct material that currently may be used under a general or  
21 specific license and may be candidates for exemption from licensing requirements.  
22

23 The regulatory analysis for the 2018 10 CFR Part 35 final rule, “Medical Use of Byproduct  
24 Material—Medical Event Definitions, Training, and Experience, and Clarifying Amendments” is a  
25 recent example of an analysis for this group of non-power reactor and non-fuel cycle activities.  
26

## G.4 COMMON ACTIVITIES

Activities common to both groups of non-power reactor activities include the following:

- transportation (10 CFR Part 71)
- security (10 CFR Part 73)
- material control and accountability (10 CFR Part 74)
- emergency planning and preparedness (10 CFR 40.31, "Application for Specific Licenses," 10 CFR 70.22, "Contents of Applications," and 10 CFR 76.91, "Emergency Planning")

The following sections provide additional data references that should be used in concert with the specific non-power reactor activities being evaluated.

### G.4.1 Transportation

About 3 million packages of radioactive materials are shipped each year in the United States, either by highway, rail, air, or water. Regulating the safety of these shipments is the joint responsibility of the NRC and the U.S. Department of Transportation, as established by a memorandum of understanding (44 FR 38690) between the two agencies.

To apply for a Certificate of Compliance for a package design, a vendor submits an application to the NRC for review and approval in accordance with 10 CFR Part 71. The application would address the safety and operational characteristics of the package, including design analysis for structural, thermal, radiation shielding, nuclear criticality, and material containment. In addition, the application would contain operational guidance, such as any testing and maintenance requirements, operating procedures, and conditions for package use. For the NRC to certify a transportation package design, actual tests or computer analyses must demonstrate that, after the tests for normal conditions of transport and hypothetical accident conditions, the package will meet the appropriate containment, dose rates, and criticality safety criteria in 10 CFR Part 71. The tests for hypothetical accident conditions are performed in sequence to determine their cumulative effects on the package. If the package design meets NRC requirements, the NRC issues a Radioactive Material Package Certificate of Compliance to the vendor.

NRC licensees are authorized to ship radioactive material in an approved package under the general license provisions of 10 CFR Part 71; Agreement State licensees ship radioactive materials under Department of Transportation regulations. Before any shipment can occur, the shipper must review the package Certificate of Compliance to determine whether any testing or maintenance is required. The shipper may be required to check or change package seals and other components or perform leak testing. In addition, the shipper must take radiation measurements at specific locations on and around the package to make sure that the levels are below the required limits. The shipper must also meet the U.S. Department of Transportation requirements for shipment of the nuclear material, including with regard to route selection, vehicle condition and placarding, driver training, package marking, labeling, and other shipping documentation.



1 Certain specific requirements apply to shippers of SNF, including the following:  
2

- 3 • A licensee must use NRC-approved highway routes for the transport of SNF.  
4
- 5 • The licensee must make sure that SNF is protected against radiological sabotage.  
6 Shippers that transport or deliver SNF to a carrier for transport must meet specific  
7 requirements that include the following:  
8
  - 9 ○ notifying the NRC of the shipment
  - 10 ○ having procedures for addressing emergencies
  - 11 ○ having a communications center
  - 12 ○ having a written log of shipment events
  - 13 ○ making arrangements with local law enforcement agencies for shipments while  
14 en route
  - 15 ○ using armed escorts in heavily populated areas
  - 16
  - 17
  - 18
  - 19
  - 20
  - 21

22 Additional regulations governing nuclear materials transportation include the following:  
23

- 24 • 10 CFR Part 37, Subpart D, "Physical Protection in Transit"
- 25
- 26 • 10 CFR Part 73
- 27

28 The primary radiological hazards associated with transportation are the loss of containment of the  
29 hazardous material being transported, failure of the shielding to perform its function, or, for certain  
30 materials, inadvertent criticality.  
31

32 The following data reference materials may be useful in preparing regulatory analyses for  
33 regulatory actions affecting non-power reactor activities:  
34

- 35 • NUREG-1609, "Standard Review Plan for Transportation Packages for Radioactive  
36 Material"
- 37
- 38 • NUREG-1617, "Standard Review Plan for Transportation Packages for Spent Nuclear  
39 Fuel"
- 40
- 41 • NUREG/CR-6407, "Classification of Transportation Packaging and Dry Spent Fuel  
42 Storage System Components According to Importance to Safety"
- 43
- 44 • NUREG-2125, "Spent Fuel Transportation Risk Assessment"
- 45
- 46 • NUREG/BR-0292, Revision 2, "Safety of Spent Fuel Transportation"
- 47
- 48 • NUREG-0561, Revision 2, "Physical Protection of Shipments of Irradiated Reactor Fuel"
- 49

- 1 • NUREG-2155, Revision 1, "Implementation Guidance for 10 CFR Part 37, Physical  
2 Protection of Category 1 and Category 2 Quantities of Radioactive Material" (Subpart D)  
3
- 4 • NUREG-0170, "Final Environmental Statement on the Transportation of Radioactive  
5 Material by Air and Other Modes"  
6
- 7 • NUREG/CR-4829, Volumes 1 and 2, "Shipping Container Response to Severe Highway  
8 and Railroad Accident Conditions"  
9
- 10 • NUREG/CR-6672, Volume 1, "Reexamination of Spent Fuel Shipment Risk Estimates"  
11
- 12 • Regulatory Guide 7.9, Revision 2, "Standard Format and Content of Part 71 Applications  
13 for Approval of Packages for Radioactive Materials"  
14

#### 15 **G.4.2     Security**

16  
17 The NRC and Agreement States regulate the use of radioactive material in order to protect  
18 people and the environment. Material licensees have the primary responsibility to maintain the  
19 security and accountability of the radioactive material in their possession. The events of  
20 September 11, 2001, put new emphasis on security to prevent the malicious use of radioactive  
21 material. The NRC works with its Federal and State partners and the international community,  
22 to provide appropriate safety and security requirements for radioactive materials without  
23 discouraging their beneficial use.  
24

25 In 10 CFR Part 73, the NRC prescribes requirements for the establishment and maintenance of  
26 plants that use special nuclear material and of a physical protection system that has capabilities  
27 for the protection of special nuclear material at fixed sites and in transit. Design-basis threats  
28 referenced in this regulation are used to design safeguards systems to protect against acts of  
29 radiological sabotage and to prevent the theft or diversion of special nuclear material. The  
30 provisions of 10 CFR Part 73 apply to the following:  
31

- 32 • power reactor licensees
- 33 • research and test reactors
- 34 • decommissioning reactors
- 35 • fuel cycle licensees  
36

37 Radioactive byproduct material provides critical capabilities in the oil and gas, electrical power,  
38 construction, and food industries. It is used to treat millions of patients each year in diagnostic  
39 and therapeutic medical procedures and is used in technology research and development. 10  
40 CFR Part 37 contains security requirements for the following types of facilities:  
41

- 42 • industrial licensees
- 43 • academic and research licensees
- 44 • medical licensees  
45

#### 46 **Material Security**

47  
48 On March 19, 2013, the NRC published the a final rule, "Physical Protection of Byproduct  
49 Material." This regulation established security requirements in 10 CFR Part 37 for the use and  
50 transport of Category 1 and Category 2 quantities of radioactive materials, as well as for

1 shipments of small amounts of irradiated reactor fuel. Category 1 and Category 2 quantities of  
2 radioactive materials are thresholds established by the International Atomic Energy Agency in  
3 its Code of Conduct on the Safety and Security of Radioactive Sources. The objective of this  
4 rule is to provide reasonable assurance of preventing the theft or diversion of Category 1 and  
5 Category 2 quantities of radioactive materials. The final rule incorporates lessons learned by  
6 the NRC and the Agreement States in implementing the post-September 11, 2001, security  
7 measures, as well as stakeholder input on the proposed rule. The supporting regulatory  
8 analysis determined that the rule was cost justified because the regulatory initiatives potentially  
9 will reduce unnecessary radiation exposure to patients. Additionally, the rule updated, clarified,  
10 and strengthened the existing regulatory requirements and thereby promotes public health and  
11 safety. The analysis estimated that cost savings would be realized by the removal of attestation  
12 requirements for certain board-certified individuals, by the modification of medical event  
13 reporting criteria to ensure only significant events need to be reported, and by other  
14 modifications to the regulations.

15  
16 The Part 37 rule was effective on May 20, 2013, and NRC licensees were to comply by  
17 March 19, 2014. The Agreement States issued compatible 10 CFR Part 37 requirements by  
18 March 19, 2016. Upon the effective date of the NRC and Agreement State requirements, the  
19 NRC rescinded the NRC security orders issued under the NRC's common defense and security  
20 authority (with one exception described below). Following the effective dates of their respective  
21 requirements, the NRC and the Agreement States also rescinded NRC- or Agreement  
22 State-issued orders, removed license conditions, or took any other necessary action with  
23 respect to the increased controls and fingerprinting security requirements issued to licensees  
24 under the NRC's and the Agreement States' public health and safety authority.

25  
26 However, the NRC did not rescind EA-09-293, "Issuance of Orders Imposing Trustworthiness  
27 and Reliability Requirements for Unescorted Access to Certain Radioactive Material" upon the  
28 effective date of 10 CFR Part 37. The NRC issued this order to licensees at their request to  
29 voluntarily commit to requirements to assess the trustworthiness and reliability of employees to  
30 enable them to provide services to licensees with unescorted access. The NRC subsequently  
31 rescinded this order on March 27, 2017.

### 32 33 **Cybersecurity**

34  
35 High-profile cyber attacks, such as the December 2015 attack on Ukraine's power grid,  
36 underscore the importance of continuing to evaluate the need for a cyber security regulatory  
37 framework for all classes of NRC licensees. The NRC has gained in-depth experience with  
38 cybersecurity as a result of the development, implementation, and inspections performed under  
39 10 CFR 73.54, "Protection of Digital Computer and Communication Systems and Networks."  
40 The NRC's oversight of cyber security implementation at operating reactors has positioned the  
41 agency to develop, as needed, cybersecurity regulations or other measures for various types of  
42 NRC licensees.

### 43 44 Fuel Cycle Facilities

45  
46 Fuel cycle facility licensees comprise a broad spectrum of facility types and processes. The  
47 special nuclear material and hazardous chemicals at fuel cycle facilities present safety and  
48 security concerns that could lead to potential consequences of concern, such as diversion, theft,  
49 sabotage, and radiological or chemical release as a result of a cyber attack. Currently, fuel  
50 cycle facility licensees are under interim compensatory measures orders to address certain  
51 security threats, including a cyber attack. The two Category I fuel cycle facility licensees under

1 NRC regulatory jurisdiction are also required to protect against the design-basis threat as  
2 described in 10 CFR 73.1, "Purpose and Scope," which includes a cyber attack as an element  
3 of the design-basis threat.

4  
5 On March 24, 2015, the Commission issued staff requirements memorandum  
6 SRM-SECY-14-0147, "Staff Requirements—SECY-14-0147—Cyber Security for Fuel Cycle  
7 Facilities," which directed the staff to initiate an expedited cybersecurity rulemaking for fuel cycle  
8 facility licensees. The staff engaged with external stakeholders and developed the regulatory  
9 basis document (NRC, 2016). On October 4, 2017, the staff provided the Commission the  
10 proposed rule to establish cyber security requirements for certain nuclear fuel cycle facility  
11 applicants and licensees (NRC, 2017c).

### 12 13 Non-Power Reactors

14  
15 Non-power reactor designs vary significantly both in terms of maximum licensed power levels  
16 and in the quantity, enrichment, and form of nuclear materials maintained at the facility. In  
17 2012, the NRC formed a working group that included representation from the National  
18 Organization of Test Research and Training Reactors. The working group had the goals to  
19 (1) gather information on the cybersecurity protection currently in place at non-power reactor  
20 facilities through licensee self-assessments, (2) conduct surveys to validate information in the  
21 licensee self-assessments, and (3) analyze the self-assessments and survey information within  
22 the framework of the risk posed to public health and safety.

23  
24 Following receipt of the licensee self-assessments in 2013 and 2014, the working group  
25 conducted site visits at four representative non-power reactor facilities to determine what  
26 measures are in place to protect critical digital assets from cyber attacks, and whether the NRC  
27 needs to take any action to require licensees to strengthen their programs. Based on the  
28 observations and assessments from the site visit, the working group concluded that non-power  
29 reactor licensees have implemented an adequate level of cyber security at their facilities. The  
30 working group developed and in January 2016 published a guidance document, "Cyber  
31 Security: Effective Practices for the Establishment and Maintenance of Adequate Cyber  
32 Security at Non-Power (Research and Test) Reactor Facilities," which provides information for  
33 non-power reactor licensees on how to use instrument and control technologies and modern  
34 computer/networking technologies in a manner that provides adequate cybersecurity protection  
35 and mitigates the risks from cyber-based threats.

### 36 37 Independent Spent Fuel Storage Installations

38  
39 Spent fuel that has already been cooled in the SPF is typically placed in a storage cask  
40 surrounded by inert gas and stored at an ISFSI. Licensees subject to 10 CFR 72.212,  
41 "Conditions of General License Issued under §72.210" (i.e., licenses limited to storage of spent  
42 fuel in casks), must also comply with specific portions of 10 CFR 73.55, "Requirements for  
43 Physical Protection of Licensed Activities in Nuclear Power Reactors against Radiological  
44 Sabotage," and the additional security measures orders. However, they are not subject to  
45 10 CFR 73.54, which specifically applies only to operating reactors and combined operating  
46 license holders.

47  
48 In 2012, the staff formed a working group and studied cybersecurity protections at three ISFSIs  
49 to determine whether the potential cyberthreats to ISFSI systems warrant additional cyber  
50 protections. At the time, the staff determined that the licensee's cybersecurity efforts

1 adequately protect the ISFSIs from a cyber attack. The NRC performs further evaluations of  
2 ISFSI system cybersecurity as part of the re-evaluation of ISFSI physical security protections.

### 3 4 Byproduct Materials Licensees

5  
6 The staff performed an evaluation and concluded that byproduct materials licensees that  
7 possess Category 1 or Category 2 quantities of radioactive material do not rely solely on digital  
8 assets to ensure safety or physical protection. Rather, these licensees generally use a  
9 combination of measures, such as doors, locks, barriers, human resources, and operational  
10 processes, to ensure security, which reflects a defense-in-depth approach to physical protection  
11 and safety. As a result, the staff concluded that a compromise of any of the digital assets would  
12 not result in a direct dispersal of Category 1 or Category 2 quantities of radioactive material, or  
13 the exposure of individuals to radiation, without a concurrent and targeted breach of the physical  
14 protection measures in force for these licensees.

15  
16 Therefore, the staff determined that the current cybersecurity threat and potential consequences  
17 do not warrant regulatory action. The NRC published a *Federal Register* notice to discontinue  
18 the rulemaking activity that would have developed cyber security requirements for byproduct  
19 materials licensees possessing Category 1 or Category 2 quantities of radioactive materials  
20 (NRC, 2018a).

### 21 22 **G.4.3 Material Control and Accountability**

23  
24 The NRC provides the principal requirements for special nuclear material licensing in  
25 10 CFR Part 70 and 10 CFR Part 74. In 10 CFR 70.22(b), the NRC specifies that a license  
26 application must contain a full description of the applicant's program for the control and  
27 accounting of such special nuclear material to show how compliance with the graded material  
28 control and accounting requirements of 10 CFR Part 74, Subparts B–E, will be accomplished.  
29 In 1987, the NRC revised the material control and accountability requirements for NRC  
30 licensees authorized to possess and use a formula quantity (i.e., 5 formula kilograms or more)  
31 of strategic special nuclear material (NRC, 1987a). Those revisions, issued as 10 CFR Part 74,  
32 Subpart E, "Formula Quantities of Strategic Special Nuclear Material," require timely monitoring  
33 of in-process inventory and discrete items to detect anomalies potentially indicative of material  
34 losses. Timely detection and enhanced loss localization capabilities are beneficial to resolve  
35 alarms and recover material in the event of an actual loss.

36  
37 The following are useful data references for performing the regulatory analyses in this area:

- 38  
39
- 40 • NUREG-1280, Revision 2, "Acceptable Standard Format and Content for Material  
41 Control and Accounting Plan Required for Strategic Special Nuclear Material," was first  
42 published in 1987 to present criteria that could be used by applicants, licensees, and  
43 NRC license reviewers in the initial preparation and subsequent review of fundamental  
44 nuclear material control plans submitted in response to the Reform Amendment. The  
45 report addressed general performance objectives, system capabilities, process  
46 monitoring, item monitoring, alarm resolution, quality assurance, and accounting.
  - 47 • NUREG-2159, "Acceptable Standard Format and Content for the Material Control and  
48 Accounting Plan Required for Special Nuclear Material of Moderate Strategic  
49 Significance," describes the standard format and content suggested by the NRC for use  
50 in preparing material control and accountability plans for facilities authorized to hold  
51 special nuclear material of moderate strategic significance.

- 1
- 2 • NUREG-1065, Revision 3, "Acceptable Standard Format and Content for the Material
- 3 Control and Accounting Plan Required for Special Nuclear Material of Low Strategic
- 4 Significance," contains information that the licensee or applicant should provide in its
- 5 fundamental nuclear material control plan to implement the requirements of
- 6 10 CFR 74.31, "Nuclear Material Control and Accounting for Special Nuclear Material of
- 7 Low Strategic Significance."
- 8
- 9 • NUREG/CR-5734, "Recommendations to the NRC on Acceptable Standard Format and
- 10 Content for the Fundamental Nuclear Material Control (FNMC) Plan Required for
- 11 Low-Enriched Uranium Enrichment Facilities," recommends information that the licensee
- 12 or applicant should provide in the FNMC Plan to implement the requirements of
- 13 10 CFR 74.33, "Nuclear Material Control and Accounting for Uranium Enrichment
- 14 Facilities Authorized to Produce Special Nuclear Material of Low Strategic Significance."
- 15 This document also describes methods that should be acceptable for compliance with
- 16 the general performance objectives.
- 17
- 18 • Regulatory Guide 5.29, Revision 2, "Special Nuclear Material Control and Accounting
- 19 Systems for Nuclear Power Plants," describes acceptable methods and procedures for
- 20 the implementation and maintenance of a special nuclear material control and
- 21 accounting system for non-fuel cycle facilities, including nuclear power reactors,
- 22 research and test reactors, and ISFSIs.
- 23
- 24 • In 10 CFR Part 75, the NRC implements the requirements established by the safeguards
- 25 agreements between the United States and the International Atomic Energy Agency.
- 26 This regulation contains requirements to ensure that the United States meets its nuclear
- 27 non-proliferation obligations under the safeguards agreements. These obligations
- 28 include providing information to the International Atomic Energy Agency on the physical
- 29 location of applicant, licensee, or certificate holder activities; information on sources and
- 30 special nuclear materials; and access to the physical location of applicant, licensee, or
- 31 certificate holder activities.
- 32

#### 33 **G.4.4 Emergency Planning and Preparedness**

34 The objective of the emergency planning program is to ensure that fuel facility licensees,

35 non-power reactor licensees, and some materials licensees are capable of implementing

36 adequate measures to protect public health and safety in the event of a radiological emergency.

37 As a condition of their licenses, these licensees must develop and maintain emergency plans

38 that meet comprehensive NRC emergency planning requirements. These licensees are

39 responsible for preventing accidents. Should an accident occur, local public safety authorities,

40 such as fire and police departments, will act to protect the public.

41

42

43 After a large, toxic release of UF<sub>6</sub> at the Sequoyah Fuels Corporation conversion facility in 1986,

44 the NRC decided emergency plans for fuel facilities should also account for hazardous chemical

45 releases. At uranium conversion, enrichment and fuel fabrication facilities, the most significant

46 accidents would be a UF<sub>6</sub> release, fire, or criticality (e.g., an unintended, self-sustaining nuclear

47 chain reaction). There is likely to be little or no warning time before these accidents start.

48 However, most can be controlled within roughly half an hour.

49

1 Regulatory Guide 3.67, Revision 1, "Standard Format and Content for Emergency Plans for  
2 Fuel Cycle and Materials Facilities," contains detailed guidance on emergency planning. In  
3 general, the scope and depth of fuel cycle facility plans are more variable than and not as  
4 extensive as those of power reactors, reflecting the diverse nature of these facilities and the  
5 hazards and risks associated with their operation. For example, fuel cycle facility emergency  
6 plans have the following:

- 7
- 8 • no designated emergency planning zones
- 9 • no extraordinary provisions to alert and notify the general public
- 10 • only two levels of emergency classifications
  - 11 – Alert—requiring no offsite response
  - 12 – Site Area Emergency—could require offsite response
- 13

14 The Federal Emergency Management Agency has no oversight over State and local  
15 governments with regard to fuel cycle facilities. This reduced scope and depth are justified  
16 because the EPA protective action guidelines will not be exceeded beyond the site boundary.

17

18 Regulatory Guide 3.67 may be useful in preparing regulatory analyses for regulatory actions  
19 affecting emergency preparedness for certain fuel cycle, non-power reactor, and other  
20 radioactive material licensees.

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