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Guide to NRC Reporting and Recordkeeping Requirements

Compiled from Requirements in Title 10 of
the U.S. Code of Federal Regulations as
Codified on December 31, 1993

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Abstract

This compilation includes in the first two sections the reporting and recordkeeping requirements applicable to U.S. Nuclear Regulatory Commission (NRC) licensees and applicants and to members of the public. It includes those requirements codified in Title 10 of the Code of Federal Regulations, Chapter I, on December 31, 1993. It also includes, in a separate section, any of those requirements that were superseded or discontinued between January 1992 and December 1993. Finally, the appendix lists mailing and delivery addresses for NRC Headquarters and Regional Offices mentioned in the compilation.

The Office of Information Resources Management staff compiled this listing of reporting and recordkeeping requirements to briefly describe each in a single document primarily to help licensees readily identify the requirements. The compilation is not a substitute for the regulations, and is not intended to impose any new requirements or technical positions. It is part of NRC's continuing efforts to comply with the Paperwork Reduction Act of 1980 and the Office of Management and Budget regulations that mandate effective and efficient Federal information resources management programs.

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Abbreviations

ADM	Office of Administration (NRC)
ALARA	as low as reasonably achievable
ASME	American Society of Mechanical Engineers
CFR	<i>Code of Federal Regulations</i>
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
ECCS	emergency core cooling system
EDO	Office of the Executive Director for Operations (NRC)
ENS	Emergency Notification System
ERDS	Emergency Response Data System
FBI	U.S. Federal Bureau of Investigation
f.o.b.	free on board
FSAR	final safety analysis report
HEU	high(ly) enriched uranium
HHS	Department of Health and Human Services
IAEA	International Atomic Energy Agency
ICA	Item Control Area
ISFSI	Independent Spent Fuel Storage Installation
LER	licensee event report
MC&A	material control and accounting
MRS	Monitored Retrievable Storage Installation
NEPA	National Environmental Policy Act
NMSS	Office of Nuclear Material Safety and Safeguards (NRC)
NRC	U.S. Nuclear Regulatory Commission
NRR	Office of Nuclear Reactor Regulation (NRC)
NSI	National Security Information
PTS	pressurized thermal shock
QA	quality assurance
RD	Restricted Data
RES	Office of Nuclear Regulatory Research (NRC)
REIRS	Radiation Exposure Information Reporting System
RT _{PTS}	reference temperature calculated for pressurized thermal shock screening criterion
SAR	safety analysis report
SF	Standard Form
SNM	special nuclear material
SSNM	strategic special nuclear material

USC
TLD

United States Code
thermoluminescence dosimeter

1 Introduction

This guide is a compilation of the U.S. Nuclear Regulatory Commission's (NRC) reporting and recordkeeping requirements contained in Title 10 of the Code of Federal Regulations, Chapter I, that are applicable to nuclear licensees, applicants for licenses, and other members of the public. The guide has been revised to include the reporting and recordkeeping requirements imposed since its initial publication in 1991 and updated through December 31, 1993. It was developed primarily to help licensees more readily identify the reporting and recordkeeping requirements contained in NRC regulations by publishing brief descriptions of them in a single document to use as a reference. Because the guide is meant to identify requirements imposed on entities external to NRC, requirements that apply mainly to the NRC staff are not included. The NRC has prepared this guide as part of its continuing efforts to comply with the provisions of the Paperwork Reduction Act of 1980 and Office of Management and Budget (OMB) regulations (5 CFR 1320) that mandate the implementation of effective and efficient information resources management programs.

The guide has two main sections, reporting requirements and recordkeeping requirements. The reporting requirements section lists the written and oral submittals that are required of persons subject to the regulations. This revision, like the first edition of the guide, excludes application-type submittals, however, as a result of comments from users of the guide, applications are planned to be included in future revisions. In addition, onetime only reports for which the deadlines have passed have been excluded. The recordkeeping requirements section lists the records that must be created and maintained by persons subject to the NRC regulations. Requirements to place labels on physical objects and to post notices in prescribed areas are excluded from this list. The third section lists the reporting and recordkeeping requirements that were superseded or discontinued between January 1, 1992 and December 31, 1993.

The guide lists only those information collections imposed on licensees by regulation. It does not list the commitments to submit information imposed by individual license conditions, facility technical specifications, industry codes and standards referenced in license documentation, and does not list information collections imposed by NRC issuances such as generic letters, bulletins, orders, and enforcement actions.

This guide summarizes the reporting and recordkeeping mandated by the NRC regulations. It is intended for reference and for clarifying submittal and recordkeeping requirements. It is not a substitute for the regulations and is not intended to impose any new requirements or technical positions. Questions about the interpretation of NRC regulations should be directed to the Office of the General Counsel. To keep the guide current, we will issue periodic revisions to incorporate changes to reporting and recordkeeping requirements that occur between printings.

Copies of this report may be requested in electronic form by writing to the Chief, Information and Records Management Branch (T-6-F33), Office of Information Resources Management, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. Electronic copies will be provided in WordPerfect 5.1 format on 3.5-inch DOS formatted computer diskettes.

The NRC encourages licensees and others to comment on the usefulness of this report and to submit recommendations for improving it. Send comments and suggestions to the Chief, Information and Records Management Branch (T-6-F33), Office of Information Resources Management, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

2 Reporting Requirements Contained in Title 10, Code of Federal Regulations, Chapter I

Requirements to report information to the NRC are listed by part number and title in this section. Each reporting requirement is briefly described. The number of the section in which each requirement appears is given in addition to the reporting frequency and who should receive the report.

10 CFR Part 11 – Criteria and Procedures for Determining Eligibility for Access to or Control Over Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
11.16	Notification of cancellation or withdrawal of request for access authorization	Chief, Personnel Security Branch, Division of Security, ADM (by telephone)	Immediately, after withdrawing or cancelling request for access authorization.
11.16	Written confirmation of notification of cancellation or withdrawal of access authorization request	Personnel Security Branch, Division of Security, ADM	Promptly, after telephone notification.

10 CFR Part 19 – Notices, Instructions and Reports to Workers: Inspection and Investigation

Section	Reporting Requirement	Distribution	Frequency
19.5	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 19 should be transmitted to the appropriate Regional Administrator unless otherwise specified in the regulations</i>		
19.13(b)	Worker's radiation exposure data maintained in records pursuant to 20.2106	Worker	Annually.
19.13(c)	Report of former worker's exposure to radiation or radioactive material [made at request of former worker]	Former worker requesting exposure data	30 days after request or 30 days after exposure has been determined by licensee, whichever is later.
19.13(d)	Report of individual's exposure data provided to NRC pursuant to 20.2202, 20.2203, 20.2204, or 20.2206	Individual subject of report	Not later than transmittal of information to NRC.
19.13(e)	Written report of worker's exposure during current calendar quarter or current year [made at request of worker terminating employment involving exposure to radiation or radioactive material]	Worker terminating employment or worker's designee	At termination of employment.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Reporting Requirement	Distribution	Frequency
20.1007	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 20 should be transmitted to the Executive Director of Operations unless otherwise specified in the regulations</i>		
20.1206(f)	Written report of planned special exposure to radiation <i>Refer to 20.2204</i>	Regional Administrator	Within 30 days following any planned exposure.
20.1206(g)	Written notice of dose resulting from planned special exposure	Individual receiving exposure	Within 30 days of date of planned <u>special</u> exposure.
20.1502	Individual radiation monitoring report <i>Refer to 20.2206(b)</i>		
20.1603(a) (9)(iii)	Schedule for periodic testing of entry control and warning systems	Executive Director for Operations per 20.1007	Condition of license.
20.1703(d)	Advance written notice of first use of respiratory protection equipment	Regional Administrator	At least 30 days prior to first use of equipment.
20.1906(d)(1)	Notification of removable radioactive contamination exceeding limits of 71.87(i)	Final delivery carrier and Regional Administrator (by telephone <u>and</u> telegraph, mailgram, or facsimile)	Immediately, after discovering excessive contamination. Monitoring performed as soon as practicable after receipt of package (no later than 3 hours after package received or 3 hours from beginning of next working day if package received after normal working hours).

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Reporting Requirement	Distribution	Frequency
20.1906(d)(2)	Notification of external radiation levels exceeding limits of 71.47	Final delivery carrier and Regional Administrator (by telephone <u>and</u> telegraph, mailgram, or facsimile)	Immediately, after discovering excessive radiation. Monitoring performed as soon as practicable after receipt of package (no later than 3 hours after package received or 3 hours from beginning of next working day if package received after normal working hours).
20.2004(b)(1) Effective 01/06/93	<i>This section specifies that licensees must report any changes or additions to the information supplied under 50.34 or 50.34a associated with the incineration of waste oil pursuant to 50.71(e)</i>		
20.2201(a) (1)(i)	Initial notification of lost, stolen, or missing licensed material in aggregate quantity equal to or greater than 1,000 times the quantity specified in Appendix C to 20.1001-20.2401 [where exposure could result to persons in unrestricted areas]	NRC Operations Center (via Emergency Notification System in accordance with 50.72 if ENS installed, or by telephone at 301-816-5100)	Immediately after discovering that material is lost, stolen, or missing.
20.2201(a) (1)(ii)	Initial notification of lost, stolen, or missing licensed material in aggregate quantity equal to or greater than 10 times the quantity specified in Appendix C to 20.1001-20.2401 [if material remains missing after 30 days]	NRC Operations Center (via Emergency Notification System in accordance with 50.72 if ENS installed, or by telephone at 301-816-5100)	Within 30 days of discovering that material is lost, stolen, or missing.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Reporting Requirement	Distribution	Frequency
20.2201(b)	Written report of lost, stolen, or missing licensed material [initially reported pursuant to 20.2201(a)]	Holders of operating licenses for nuclear power plants submit to: Document Control Desk, Regional Office and Resident Inspector per 50.73 and 50.4. Other licensees submit to Regional Administrator.	Within 30 days of making initial notification pursuant to 20.2201(a).
20.2201(c)	<i>This section specifies that a duplicate report under 20.2201(b) is not required for licensees submitting reports pursuant to 30.55(c), 40.64(c), 50.72, 50.73, 70.52, 73.27(b), 73.67(e)(3)(vi), 73.67(g)(3)(iii), 73.71, or 150.19(c)</i>		
20.2201(d)	Report of additional substantive information concerning lost, stolen, or missing information [reported pursuant to 20.2201(b)]	Holders of operating licenses for nuclear power plants submit to: Document Control Desk, Regional Office and Resident Inspector per 50.73 and 50.4. Other licensees submit to Regional Administrator.	Within 30 days of learning additional information.

*Regulations 20.1001 through 20.2401 were effective June 20, 1991.
Compliance was mandatory after January 1, 1994.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Reporting Requirement	Distribution	Frequency
20.2202(a)	Immediate notification of overexposure or excessive release of radioactive material [for incidents meeting conditions specified in 20.2202(a)(1) or (2)]	1) NRC Operations Center pursuant to 50.72, if Emergency Notification System installed, <u>or</u> 2) NRC Operations Center (by telephone at 301-816-5100) and Regional Administrator (by telegram, mailgram, or facsimile)	Immediately after discovering incident.
20.2202(b)	24-Hour notification of overexposure or excessive release of radioactive material [for incidents meeting conditions specified in 20.2202(b)(1) or (2)]	1) NRC Operations Center pursuant to 50.72, if Emergency Notification System installed, <u>or</u> 2) NRC Operations Center (by telephone at 301-816-5100) and Regional Administrator (by telegram, mailgram, or facsimile)	Within 24 hours of discovering incident.
20.2203(a)	Written report of overexposure or excessive levels and concentrations of radioactive material [for incidents meeting conditions specified in 20.2203(a)(1), (2), (3), or (4)] <i>This report is in addition to the report required in 20.2202(a) and (b)</i>	Holders of operating licenses for nuclear power plants submit to: Document Control Desk, Regional Office and Resident Inspector per 50.73 and 50.4. Other licensees submit to: Document Control Desk and Regional Office.	Within 30 days of discovering incident.

*Regulations 20.1001 through 20.2401 were effective June 20, 1991. Compliance was mandatory after January 1, 1994.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Reporting Requirement	Distribution	Frequency
20.2204	Written report of planned special exposure	Regional Administrator	Within 30 days of conducting planned exposure.
20.2206(b)	Annual report of results of individual monitoring [submitted on NRC Form 5, "Current Occupational External Radiation Exposure" or electronic media]	REIRS Project Manager, RES	April 30, for preceding calendar year.
20 App.F III.D.3	Initial notification of missing shipment of radioactive waste [made by land disposal operator]	Shipper (waste generator, collector, or processor) and nearest Regional Administrator	Within 60 days of receiving advance shipment manifest when shipment or part of shipment has not arrived.
20 App.F III.E.2	Written report of trace investigation of missing shipment of radioactive waste [made by shipper (waste generator, collector, or processor) if acknowledgement of receipt not received within 20 days after transfer]	Nearest Regional Office	Within 2 weeks of completing investigation.

10 CFR Part 21 – Reporting of Defects and Noncompliance

Section	Reporting Requirement	Distribution	Frequency
21.5	<i>This section specifies that all written communications and reports submitted pursuant to 10 CFR 21 must be addressed to the Document Control Desk and, in the case of licensees, a copy must be sent to the appropriate Regional Administrator unless otherwise specified in the regulations</i>		
21.21(a)(2)	Written interim evaluation report of identified deviation or failure to comply potentially associated with substantial safety hazard [made when evaluation of deviation or failure to comply cannot be completed within 60 days of discovery]	Document Control Desk and Regional Administrator per 21.5	Within 60 days of discovering deviation or failure to comply.
21.21(b)	Notification of inability to perform evaluation to determine whether a defect exists [made by supplier of basic components or services associated with basic components]	Purchaser of components or services, or affected licensees	Within 5 working days of determining inability to perform evaluation.
21.21(c)(3)(i)	Initial notification of failure to comply or existence of defect	NRC Operations Center (preferably by facsimile at 301-816-5151 or by telephone at 301-816-5100). Verification that facsimiles have been received should be made by calling the Operations Center.	Within 2 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.
21.21(c)(3)(ii)	Written notification of failure to comply or existence of defect	Document Control Desk and Regional Administrator per revised 21.5	Within 30 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.
21.21(d)	Additional information concerning a defect or failure to comply	Document Control Desk and Regional Administrator per revised 21.5	At request of Commission.

10 CFR Part 25 – Access Authorization for Licensee Personnel

Section	Reporting Requirement	Distribution	Frequency
25.9	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 25 should be transmitted to the Director, Division of Security, ADM unless otherwise specified in the regulations</i>		
25.21(b)	Notification of developments that bear on continued eligibility for access authorization	Director, Division of Security, ADM	Promptly, after development occurs.
25.23	"Classified Information Nondisclosure Agreement," SF-312	Director, Division of Security, ADM	Promptly, after notification of grant of access.
25.25	Notification of withdrawal or cancellation of request for access authorization	Director, Division of Security, ADM (by telephone)	Immediately, after cancelling or withdrawing request.
25.25	Written confirmation of notification of withdrawal or cancellation of request for access authorization	Director, Division of Security, ADM	Promptly, after telephone notification.
25.33(b)	Notification of termination of access authorization	Director, Division of Security, ADM	Immediately, after access authorization is no longer required, or when individual will be separated from employment or activity which required access authorization for 90 days or more, or when individual is no longer eligible for access authorization.
25.33(c)	"Security Termination Statement," NRC Form 136	Director, Division of Security, ADM	Promptly, after termination briefing.

10 CFR Part 26 – Fitness for Duty Programs

Section	Reporting Requirement	Distribution	Frequency
26.24(d) (2)(iv)	Statement that records linking individual to a temporary suspension have been eliminated from the tested individual's personnel record and other records, and Written notice that temporary removal or suspension or other administrative action that was taken will not be disclosed, and need not be disclosed by the individual, in response to requests for information concerning removals, suspensions, administration actions or history of substance abuse	Individual who initially tested presumptively positive after preliminary onsite screening test and was later reported as negative after HHS-certified laboratory confirmatory test	After negative report from HHS-certified laboratory.
26.24(e)	Notification of drug test results after review by Medical Review Officer	Licensee management	Within 10 days of initial presumptive positive screening.
26.25	Determination that individual's condition is hazardous to self or others [made by employee assistance program staff]	Licensee management	After making determination.
26.27(d)	Notification of NRC employee's unfitness for duty	Regional Administrator (by telephone) or, if outside of normal working hours, the NRC Operations Center (telephone no. 301-816-5100)	Immediately after discovering unfit condition.
26.71(d)	Fitness-for-duty program performance data analysis report [data to be compiled on standard form]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Semiannually, 60 days after end of each 6 month reporting period, ending June 30 and Dec. 31.
26.73(a)	Fitness-for-duty significant event report	NRC Operations Center (telephone no. 301-816-5100)	Within 24 hours of discovering event.

10 CFR Part 26 – Fitness for Duty Programs

Section	Reporting Requirement	Distribution	Frequency
26 App.A Subpart A 1.1(2)	Notice of imposition of more stringent cutoff levels or testing for additional substances other than those specified in 10 CFR 26 App. A	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 60 days of changing cutoff levels or testing.
26 App.A Subpart B 2.4(j)	Report of individual's refusal to cooperate with urine collection or breath analysis process [made by Medical Review Officer]	Appropriate licensee management	After noting failure to cooperate.
26 App.A Subpart B 2.7(b)(1)	Evidence of tampering with test specimens or discrepancies in chain-of-custody documentation attached to shipment [from HHS-certified laboratory]	Licensee	Within 24 hours of discovering evidence.
26 App.A Subpart B 2.7(b)(1)	Evidence of tampering with test specimens [from licensee-operated testing facility]	Senior licensee management	Within 8 hours of discovering evidence.
26 App.A Subpart B 2.7(d)	Evidence of adulteration or dilution of test specimens or detected trace amounts of drugs or metabolites	Medical Review Officer	After discovering evidence.
26 App.A Subpart B 2.7(g)(1)	Report of drug test results [from HHS-certified laboratory]	Medical Review Officer (via secure means of communication to ensure confidentiality of information. Results may be transmitted by electronic methods (e.g., teleprinter, facsimile, or computer) but <u>not</u> verbally by telephone.	Within 5 working days of receiving specimen.

10 CFR Part 26 – Fitness for Duty Programs

Section	Reporting Requirement	Distribution	Frequency
26 App.A Subpart B 2.7(g)(3)	Quantitation of drug test results [from HHS-certified laboratory]	Medical Review Officer (via secure means of communication to ensure confidentiality of information. Results may be transmitted by electronic methods (e.g., teleprinter, facsimile, or computer) but <u>not</u> verbally by telephone.	Routinely, as specified by Medical Review Officer.
26 App.A Subpart B 2.7(g)(3)	Alcohol quantitation for blood specimen [from HHS-certified laboratory] with Medical Review Officer's evaluation	Licensee management	<u>After</u> quantitation of specimen.
26 App.A Subpart B 2.7(g)(6)	Monthly statistical summary of urinalysis and blood testing results [from HHS-certified laboratory or licensee-operated testing facility]	Licensee's official responsible for coordinating fitness-for-duty program (by registered or certified mail from HHS-certified laboratories)	Monthly, not more than 14 days after end of month being reported.
26 App.A Subpart B 2.8(e)(4)	Licensee's report of unsatisfactory performance test results from HHS-certified laboratory <i>The report is a copy of the investigative findings and corrective action taken by the laboratory, signed and dated by the individuals responsible for the day-to-day management and operation of the laboratory</i>	Document Control Desk, Regional Office, and Resident Inspector per 50.4. In turn, NRC notifies HHS of findings.	Within 30 days of performance testing incident.
26 App.A Subpart B 2.8(e)(5)	Notification of false positive error on blind performance test specimen when error is determined to be administrative [from HHS-certified laboratory]	Document Control Desk, Regional Office, and Resident Inspector per 50.4.	Promptly, after discovering error.

10 CFR Part 26 – Fitness for Duty Programs

Section	Reporting Requirement	Distribution	Frequency
26 App.A Subpart B 2.8(e)(6)	Quality control data from batch of specimens containing false positive error when error determined to be technical or methodological [from HHS-certified laboratory]	Licensee	After determining error.

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
30.6	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 30 through 35 and 39 should be transmitted to the Director, NMSS unless otherwise specified in the regulations. The Regional Administrators have been delegated licensing authority for the activities specified in 30.6(b)(1). All communications, reports, and applications concerning these activities should be submitted to the appropriate Regional Office unless otherwise specified in the regulations.</i>		
30.9(b)	Notification of information having significant implication for health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
30.32(b)	Statements to enable the Commission to determine whether a license should be modified, suspended, or revoked	Regional Administrator or Director, NMSS per 30.6	At request of Commission.
30.32(i) (3)(viii)	Notification of release of radioactive materials [as committed to in licensee's emergency plan]	Offsite response organizations and NRC Operations Center	Offsite response organizations, promptly after declaring emergency. NRC Operations Center, immediately after notification of appropriate offsite response organizations and no later than 1 hour after declaring an emergency.
30.34(f)	Change to approved emergency plan made without prior Commission approval [that does <u>not</u> decrease effectiveness of plan]	Regional Administrator and offsite response organizations	6 months after making change.
30.34(h)	Written notification of filing petition for bankruptcy under 11 USC	Regional Administrator	Immediately after filing petition.
30.36(b)	Written notification of discontinuance of licensed activities and request for license termination	Regional Administrator or Director, NMSS per 30.6	Promptly, after deciding to terminate activities.

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
30.36(c)(1)(iv)	"Certificate of Disposition of Materials," NRC Form 314	Regional Administrator or Director, NMSS per 30.6	On or before expiration of license when application for renewal not submitted.
30.36(c)(1)(v)	Report of results of radiation survey [of premises licensed for the possession or use of byproduct materials]	Regional Administrator or Director, NMSS per 30.6	On or before expiration of license when application for renewal not submitted.
30.36(c)(2)(i)	Decommissioning plan [when no previously approved plan exists]	Regional Administrator or Director, NMSS per 30.6	On or before expiration of license when application for renewal not submitted.
30.36(c)(3) <i>Revised rqmts. effective 10/25/93</i>	Report of results of radiation survey and certification of disposition of accumulated wastes from decommissioning including a list containing the location and description of all equipment to remain onsite after license termination that was contaminated when final decommissioning was initiated	Regional Administrator or Director, NMSS per 30.6	Final step of NRC-approved decommissioning plan.
30.50(a)	Notification of event that prevents immediate protective actions necessary to avoid exposures to radiation or radioactive materials or releases of licensed material that could exceed regulatory limits	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Immediately but no later than 4 hours after discovering event.
30.50(b)	Notification of unplanned contamination, safety equipment failures, personal injuries, or fire and explosions [for events meeting conditions specified in 30.50(b)(1),(2),(3), and (4)]	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Within 24 hours of discovering event.
30.50(c)(2)	Written followup report of event meeting conditions specified in 30.50(a) or (b)	Document Control Desk and Regional Office	Within 30 days of initial notification.
30.55(c)	Initial notification of attempted theft or unlawful diversion of tritium [in quantities exceeding 10 curies at one time or 100 in one calendar year]	Regional Administrator (by telephone <u>and</u> telegraph, mailgram, or facsimile)	Promptly, after discovering incident.

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
30.55(c)	Written report of attempted theft or unlawful diversion of tritium	Regional Administrator and Director, NMSS	Within 15 days of initial notification.
30.55(c)	Written report of substantive additional information concerning the attempted theft or unlawful diversion of tritium	NMSS	Promptly after discovering additional information.
30 App.A II.B	Notification of parent company's failure to meet financial test [measuring ratio of assets to liabilities]	Regional Administrator or Director, NMSS per 30.6	Within 90 days of discovering failure to meet test.
30 App.A II.C.2	Notice of intent to establish alternative financial assurance of funds for decommissioning	Regional Administrator or Director, NMSS per 30.6	Within 90 days of end of fiscal year that company no longer meets financial test requirements.
30 App.A II.C.2	Notice of alternative financial assurance of funds for decommissioning	Regional Administrator or Director, NMSS per 30.6	Within 120 days of end of fiscal year that company no longer meets financial test requirements.
30 App.B II.B.2 Effective 01/28/94	Notice of any matters coming to the attention of a company's independent certified public accountant that cause the auditor to believe that the data specified in the financial test should be adjusted and that the company no longer passes the test requirements	Regional Administrator or Director, NMSS per 30.6	Within 90 days of auditor's determination that a company no longer meets financial test requirements.
30 App.B II.C Effective 01/28/94	Notice of intent to establish [within 120 days] alternative financial assurance of funds for decommissioning	Regional Administrator or Director, NMSS per 30.6	Immediately, when licensee no longer meets the requirements of 30 App.B.II.A.

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
30 App.B III.A Effective 01/28/94	Notice of cancellation of company's self-guarantee of funds for decommissioning	Regional Administrator or Director, NMSS per 30.6, by certified mail	At least 120 days prior to the date that cancellation is to take effect. The 120 day period starts the day NRC receives the notice of cancellation as evidenced by the return receipt.
30 App.B III.D Effective 01/28/94	Annual financial report filed with the Security and Exchange Commission pursuant to the requirements of Section 13 of the Securities and Exchange Act of 1934	Regional Administrator or Director, NMSS per 30.6, and the licensee's independent auditor	Promptly, after filing an annual financial report with SEC.
30 App.B III.E Effective 01/28/94	Written notice that a licensee's most recent bond issuance ceases to be rated in any category of "A" or above by both Standard and Poors and Moodys bond rating services	Regional Administrator or Director, NMSS per 30.6	Within 20 days of publication of the change by the bond rating service.
30 App.B III.F Effective 01/28/94	Written guarantee [a written commitment by a corporate officer] stating that a licensee will fund and carry out the required decommissioning activities or, upon issuance of an order by the Commission, a licensee will set up and fund a trust in the amount of the current cost estimates for decommissioning	Regional Administrator or Director, NMSS per 30.6	Condition of the financial assurance guarantee furnished by a licensee to NRC.

10 CFR Part 31 – General Domestic Licenses for Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
31.2	<i>This section specifies that general licenses provided under this part are subject to the provisions (including the reporting requirements) of sections 30.14(d), 30.34(a) to (e), 30.41, 30.50 to 30.63 and parts 19, 20, and 21, unless otherwise indicated in the language of the license.</i>		
31.5(c)(5)	Report of failure of, or damage to; or indication of possible failure of, or damage to the shielding, on-off mechanism, or indicator; or detection of 0.005 microcuries or more of removable radioactive material	Regional Administrator	Within 30 days of occurrence of failure or possible failure.
31.5(c)(8)	Report of transfer of measuring device to holders of a <u>specific</u> license	Director, NMSS	Within 30 days of transferring device.
31.5(c)(9)(i)	Report of transfer of measuring device to holders of a <u>general</u> license	Director, NMSS	Within 30 days of transferring device.
31.11(b)(1)	"Registration Certificate - In Vitro Testing with Byproduct Material under General License," NRC Form 483	Director, NMSS	Prior to receiving, acquiring, possessing, using, or transferring byproduct material under general license.
31.11(e)	Written report of changes to information in "Registration Certificate - In Vitro Testing with Byproduct Material under General License," NRC Form 483	Director, NMSS	Within 30 days of the effective date of change to information.

10 CFR Part 32 – Specific Domestic Licenses to Manufacture or Transfer Certain Items Containing Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
32.12(a)	Material transfer report [from holders of specific licenses authorizing the introduction of byproduct material into a product or material] or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of: (1) 5 years after filing preceding report (2) filing application for renewal of license (3) notice of decision to permanently discontinue licensed activity.
32.16(a)	Material transfer report [from holders of specific licenses issued pursuant to 32.14 or 32.17] or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of: (1) 5 years after filing preceding report (2) filing application for renewal of license (3) notice of decision to permanently discontinue licensed activity.
32.20(b)	Material transfer summary report [from holders of specific licenses to manufacture, process, produce, package, repackage, or transfer quantities of byproduct material for commercial distribution] or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of: (1) 5 years after filing preceding report (2) filing application for renewal of license (3) notice of decision to permanently discontinue licensed activity.

10 CFR Part 32 – Specific Domestic Licenses to Manufacture or Transfer Certain Items Containing Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
32.25(c)	Material transfer report [from holders of specific licenses to manufacture, process, or produce self luminous products containing tritium, krypton-85, or promethium-147, or to initially transfer such products] or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of: (1) 5 years after filing preceding report (2) filing application for renewal of license (3) notice of decision to permanently discontinue licensed activity.
32.29(c)	Material transfer report [from holders of specific licenses to manufacture, process, or produce gas or aerosol detectors containing byproduct material and designed to protect life or property from fires and airborne hazards or to initially transfer such products] or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of: (1) 5 years after filing preceding report (2) filing application for renewal of license (3) notice of decision to permanently discontinue licensed activity.
32.52(a)	Report of initial transfer of detecting, measuring, gauging, or controlling devices containing byproduct material to persons generally licensed under 31.5 or negative declaration when no transfers have occurred during reporting period	Director, NMSS and Regional Office	Within 30 days of end of each calendar quarter.
32.52(b)	Report of initial transfer of detecting, measuring, gauging, or controlling devices containing byproduct material to persons generally licensed under Agreement State regulations equivalent to 31.5] <i>A negative declaration when no transfers have occurred during the reporting period is <u>not</u> required unless it is requested by the responsible state agency</i>	Responsible Agreement State agency	Within 30 days of end of each calendar quarter in which transfer occurs, or, if no transfers have been made, upon request of state agency.
32.56	Annual report of total quantity of tritium or promethium transferred to persons generally licensed under 31.7	Director, NMSS and Regional Office	Annually, within 30 days of last day of reporting period, ending June 30.

10 CFR Part 34 – Licenses for Radiography and Radiation Safety Requirements for Radiographic Operations

Section	Reporting Requirement	Distribution	Frequency
34.25(d)	Report of sealed source leak test results [when test reveals presence of 0.005 microcurie or more of removable radiation]	Director, NMSS and Regional Office	Within 5 days of test.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
35.14	Written notice of: <ul style="list-style-type: none"> - Authorized user's, Radiation Safety Officer's, or Teletherapy Physicist's termination of licensed activities or change of name - Change in licensee's mailing address 	Regional Administrator or Director, NMSS per 30.6	Within 30 days of changing name, status, or address.
35.22(a)(5)	Minutes of Radiation Safety Committee Meetings	Members of Committee	Promptly after each meeting
35.32(e)	Modification to quality management program [made to increase efficiency, that does <u>not</u> decrease effectiveness of program]	Regional Office	Within 30 days of modifying program.
35.33(a)(1)	Initial notification of misadministration	NRC Operations Center (by telephone at 301-816-5100)	Operations Center, next calendar day after discovering event.
35.33(a)(2)	Written misadministration report	Regional Office	Within 15 days of discovering event.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
35.33(a)(3)	Notification of misadministration	Referring physician, and patient (or responsible relative/guardian) unless physician agrees to inform patient or determines based on medical judgement that telling the patient (or responsible relative/guardian) would be harmful.	Patient (or responsible relative/guardian) and referring physician, 24 hours after discovering event, unless physician agrees to inform patient or determines based on medical judgement that telling patient (or responsible relative/guardian) would be harmful. If referring physician cannot be reached within 24 hours, licensee will notify patient (or responsible relative/guardian) as soon as possible thereafter.
35.33(a)(4)	Written misadministration report [furnished to patient]	Patient, if patient received initial notification	Within 15 days of discovering event.
35.59(e)(2)	Source leakage test report [if test reveals presence of 0.005 microcurie of removable contamination]	Director, NMSS or Regional Administrator per 30.6 (with a copy to the Director NMSS)	Within 5 days of conducting test.
35.70(d)	Notification of radiation dose rate in excess of trigger levels	Radiation Safety Officer	Immediately after detecting excessive rate.
35.70(g)	Notification of removable contamination in excess of trigger levels	Radiation Safety Officer	Immediately after detecting excessive contamination.
35.310(a)	Notification of patient's death or medical emergency <i>Refer to 35.315(b)</i>		

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Reporting Requirement	Distribution	Frequency
35.310(a)	Radiation safety instructions for personnel caring for patients receiving radiopharmaceutical therapy and hospitalized pursuant to 35.75	Personnel caring for patients receiving radiopharmaceutical therapy	Before personnel begin caring for patients receiving radiopharmaceutical therapy.
35.315(a)(6)	Radiation safety guidance given to patient receiving radiopharmaceutical therapy before release from medical facility	Patient	Prior to releasing patient.
35.315(b)	Notification of patient's death or medical emergency [after administering radiopharmaceutical]	Radiation Safety Officer	Immediately after death or medical emergency occurs.
35.410(a)	Radiation safety instructions given to personnel caring for patients receiving implant therapy	Personnel caring for patients receiving implant therapy	Before personnel begin caring for patients receiving implant therapy.
35.415(a)(5)	Radiation safety guidance given to patient receiving implant therapy before release from medical facility	Patient	Prior to releasing patient.
35.415(b)	Notification of patient's death or medical emergency [after implanting brachytherapy source]	Radiation Safety Officer	Immediately after death or medical emergency occurs.
35.610(a) (2)(ii)	Notification of abnormal operation of teletherapy unit or console	Radiation Safety Officer and authorized users	Immediately after detecting abnormal operation.
35.634(c)	Written notification of results of periodic output spot checks performed on teletherapy units [made by teletherapy physicist]	Licensee	Promptly within 15 days after physicist completes review of results.
35.645	Report of records concerning teletherapy facility safety checks, radiation surveys, and measurements required in 35.636, 35.641, and 35.343, and output from the teletherapy source	Regional Office	Within 30 days of action prompting record to be made.

10 CFR Part 36 – Licenses and Radiation Safety Requirements for Irradiators

Section	Reporting Requirement	Distribution	Frequency
36.19(a) <i>Effective</i> 07/01/94	Additional information to enable the Commission to determine whether an application should be granted or denied	Regional Administrator or Director, NMSS per 30.6	At request of Commission.
36.19(b) <i>Effective</i> 07/01/94	Written statements to enable the Commission to determine whether a license should be modified, suspended, or revoked	Regional Administrator or Director, NMSS per 30.6	At request of Commission.
36.83(b) <i>Effective</i> 07/01/94	Initial notification of event meeting conditions specified in 36.83(a)(1) through (10) [if not reported under other parts of NRC regulations]	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100] in accordance with 30.50(c)(1)	Within 24 hours of discovering event.
36.83(b) <i>Effective</i> 07/01/94	Written followup report of event meeting conditions specified in 36.83(a)(1) through (10)	Document Control Desk and Regional Office in accordance with 30.50(c)(2)	Within 30 days of initial notification.

10 CFR Part 39 – Licenses and Radiation Safety Requirements for Well Logging

Section	Reporting Requirement	Distribution	Frequency
39.17	Written statement to enable Commission to determine whether a license should be modified, suspended, or revoked	Regional Office, unless otherwise specified in request	At request of Commission.
39.35(d)(2)	Report of sealed source leak test results [when test reveals presence of 0.005 microcurie or more of removable radiation]	Regional Office	Within 5 days of receiving test results.
39.77(a)	Initial notification of actual or potential rupture of sealed source capsule	Regional Office (by telephone)	Immediately after discovering actual or potential rupture.
39.77(a)	Written confirmation of notification of actual or potential rupture of sealed source capsule	Regional Office	Within 30 days of initial notification.
39.77(b)	Notification of: theft or loss of radioactive material, radiation overexposure, excessive levels and concentrations of radiation <i>Refer to 20.402, 20.403, 20.405, and 30.50 or for licensees implementing 20.1001-20.2401, refer to 20.2201, 20.2202, 20.2203, and 30.50</i>		
39.77(c)(1)	Notification of irretrievable sealed source and request for approval to begin abandonment procedures	Regional Office (by telephone)	When it becomes apparent that recovery efforts will not be successful.
39.77(c)(3)	Request for extension to complete abandonment procedures for irretrievable sealed source	Regional Office	Upon discovering that licensee is unable to complete abandonment procedure within 30 days of sealed source being classified as irretrievable.
39.77(d)	Written report of abandonment of irretrievable sealed source	Regional Office, and State or Federal agencies issuing permits or approving the drilling operation	Within 30 days of sealed source being classified as irretrievable.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.5	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 40 should be transmitted to the Director, NMSS unless otherwise specified in the regulations. The Regional Administrators have been delegated licensing authority for the activities specified in 40.5(b)(1). All communications, reports, and applications concerning these activities should be submitted to the appropriate Regional Office unless otherwise specified in the regulations.</i>		
40.9(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
40.23(b)(1)	Written notice of plans to carry a transient shipment of natural uranium with scheduled stops at US port	Division of Industrial and Medical Nuclear Safety, NMSS <i>Formerly, the Division of Safeguards and Transportation, the regulations will amended to reflect the organizational change.</i>	Notice must be received by NMSS at least 10 days before commencing shipment.
40.23(b)(2) (b)	Notification of receipt of transient shipment of natural uranium at destination facility [when shipment is between countries not party to the Conventions on the Physical Protection of Nuclear Material]	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i>	After receiving shipment at destination facility.
40.23(c)	Notification of plans to make unscheduled stops at US ports with transient shipment of natural uranium	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i>	Immediately after deciding to make unscheduled stop.
40.23(d)	Amendment to notice of plans to carry a transient shipment of natural uranium with scheduled stops at US port	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i> (by telephone)	After deciding to amend plans.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.25(c)(1)	NRC Form 244, "Registration Certificate - Use of Depleted Uranium under General License"	Director, NMSS and Regional Administrator	Within 30 days of first receiving or acquiring depleted uranium.
40.25(c)(2)	Report of change to information furnished on NRC Form 244, "Registration Certificate - Use of Depleted Uranium under General License"	Director, NMSS and Regional Administrator	Within 30 days of change in information.
40.25(d)(3)	Copies of section 40.25 and NRC Form 244 [furnished by a transferor of depleted uranium in accordance with the general license established by 40.25(a)]	Transferee receiving depleted uranium.	Upon transfer of depleted uranium.
40.25(d)(3)	Copies of section 40.25 and NRC Form 244 accompanied by a note explaining that the use of the product or device is regulated by an Agreement State under requirements substantially the same as those in section 40.25 [furnished by a transferor of depleted uranium in accordance with an Agreement State's regulation equivalent to 40.25]	Transferee receiving depleted uranium.	Upon transfer of depleted uranium.
40.25(d)(4)	Written report of transfer of depleted uranium pursuant to 40.51	Director, NMSS and Regional Administrator	Within 30 days of transfer of uranium.
40.26(c)(2)	Notification of failure or of unusual conditions that if not corrected could lead to failure, in a tailings or waste retention system that results, or could result in release of tailings or waste into unrestricted areas	Regional Office or Director, NMSS	Immediately after discovering failure or potential failure.
40.27(c)(3)	Notification of changes to long-term surveillance plan (LTSP)	Director, NMSS	After making change to plan.
40.27(c)(5)	Notification of significant construction, actions, or repairs related to disposal site	Director, NMSS	Prior to undertaking the construction, action, or repair.
40.31(b)	Written statement to enable Commission to determine whether to grant or deny an application or whether to modify or revoke a license	Director, NMSS or Regional Office, per 40.5	At request of Commission.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.31(j)(3) (viii)	Notification of accidental release of source material and any associated chemical hazards [as committed to in licensee's emergency plan]	Offsite response organizations and NRC Operations Center (telephone no. 301-816-5100)	Offsite response organizations, promptly after declaration of emergency. NRC Operations Center, immediately after notifying offsite response organizations and no later than one hour after declaring emergency.
40.35(d)(1)	Copies of section 40.25 and NRC Form 244 [furnished by a transferor of depleted uranium in a product or device in accordance with the general license established by 40.25(a)]	Transferee receiving depleted uranium.	Upon transfer of depleted uranium.
40.35(d)(2)	Copies of the general license contained in an Agreement State's regulation equivalent to section 40.25 and a copy of the Agreement State's certificate <u>or</u> copies of section 40.25 and NRC Form 244 accompanied by a note explaining that the use of the product or device is regulated by an Agreement State under requirements substantially the same as those in section 40.25 [furnished by a transferor of depleted uranium in accordance with an Agreement State's regulation equivalent to 40.25]	Transferee receiving depleted uranium.	Upon transfer of depleted uranium.
40.35(e)(1)	Report of transfer of industrial products or devices to persons generally licensed under 40.25 [or a negative declaration if no transfer occurred during reporting period]	Director, NMSS	Within 30 days of last day of reporting period ending each calendar quarter.
40.35(e)(2)	Report of transfer of industrial products or devices to persons generally licensed under Agreement State's regulations equivalent to 40.25 [or a negative declaration if no transfer occurred during reporting period]	Responsible Agreement State agency	Within 30 days of last day of reporting period ending each calendar quarter.
40.35(f)	Change to approved emergency plan made without prior Commission approval [that does <u>not</u> decrease effectiveness of plan]	Director, NMSS and affected offsite response organizations	Within 6 months of making change.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.41(f)(1)	Written notice of filing petition for bankruptcy under Title 11 USC	Regional Administrator	Immediately after filing petition.
40.42(b)	Written notice of decision to discontinue licensed activities and request for license termination	Director, NMSS or Regional Office, per 40.5	Promptly after deciding to terminate activities.
40.42(c)(1)(iv)	NRC Form 314, "Certificate of Disposition of Materials"	Director, NMSS or Regional Office, per 40.5	On or before expiration of license.
40.42(c)(1)(v)	Report of results of radiation survey [of premises where licensed activities were carried out]	Director, NMSS or Regional Office, per 40.5	On or before expiration of license.
40.42(c)(2)(i)	Decommissioning plan [submitted when decommissioning procedures have not been previously approved and could increase potential health and safety impacts to workers and to public]	Director, NMSS or Regional Office, per 40.5	On or before expiration of license.
40.42(c)(3) <i>Revised rqmts. effective 10/25/93</i>	Report of results of radiation survey and certification of disposition of accumulated wastes from decommissioning including a list containing the location and description of all equipment to remain onsite after license termination that was contaminated when final decommissioning was initiated	Director, NMSS or Regional Office, per 40.5	Final step of NRC-approved decommissioning plan.
40.60(a)	Notification of event that prevents immediate protective actions necessary to avoid exposures to radiation or radioactive materials or releases of licensed material that could exceed regulatory limits	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Immediately, no later than 4 hours after discovering event.
40.60(b)	Notification of unplanned contamination, safety equipment failures, personal injuries, or fire and explosions [for events meeting conditions specified in 40.60(b)(1),(2),(3), and (4)]	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Within 24 hours of discovering event.
40.60(c)(2)	Written followup report of initial notification made pursuant to 40.60(a) or (b)	Document Control Desk and Regional Office	Within 30 days of initial notification.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.64(a)	DOE/NRC 741, "Nuclear Material Transaction Report" [for transfer, receipt, or adjustment of inventory by 1 kilogram or more of uranium or thorium of foreign origin, or import or export of 1 kilogram of uranium or thorium of any origin]	Refer to NUREG/BR-0006 for distribution requirements applicable to: a shipper and receiver (domestic), importer and exporter, one-party adjustments to inventory, and handling Secret data	Refer to NUREG/BR-0006.
40.64(b)	Statement of foreign origin source material inventory [required from licensees authorized to possess at any one time and location more than 1,000 kilograms of uranium or thorium, or any combination of uranium or thorium]	Refer to NUREG/BR-0007, Revision 2	Annually, within 30 days after Sep. 30.
40.64(c)	Initial notification of attempted theft or unlawful diversion of more than 15 lbs. of uranium or thorium at 1 time or more than 150 lbs. in 1 calendar year	Regional Office (by telephone and telegraph, mailgram, or facsimile	Promptly after discovering theft or attempted theft.
40.64(c)	Written report of attempted theft or unlawful diversion of more than 15 lbs. of uranium or thorium at 1 time or more than 150 lbs. in 1 calendar year	Regional Office and Director, NMSS	Within 15 days of initial notification.
40.64(c)	Written report of substantive additional information concerning attempted theft or unlawful diversion of more than 15 lbs. of uranium or thorium at 1 time or more than 150 lbs. in 1 calendar year	Director, NMSS	Promptly after discovering additional information.
40.65(a)(1)	Semiannual effluent monitoring report	Regional Office and Director, NMSS	Semiannually, within 60 days of Jan. 1 and July 1.
40.66(a)	Advance written notice of export shipment of natural uranium [other than in the form of ore or ore residue] in amounts exceeding 500 kilograms	Division of Fuel Cycle Safety and Safeguards, NMSS <i>Formerly, the Division of Safeguards and Transportation, the regulations will amended to reflect the organizational change.</i>	NMSS must receive notice at least 10 days prior to commencing shipment at shipping facility.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40.66(b)(5)	Notification of receipt of export shipment of natural uranium	Division of Fuel Cycle Safety and Safeguards, NMSS see <i>previous</i>	After receipt of shipment at receiving facility.
40.66(c)	Amendment to advance notice of export shipment of natural uranium	Division of Fuel Cycle Safety and Safeguards, NMSS (by telephone) see <i>previous</i>	Promptly after changing plans.
40.67(a)	Advance written notice of import of natural uranium from countries not parties to the Conventions on the Physical Protection of Nuclear Material	Division of Fuel Cycle Safety and Safeguards, NMSS see <i>previous</i>	NMSS must receive notice at least 10 days prior to commencing shipment at shipping facility.
40.67(c)	Notification of receipt of import shipment of natural uranium	Division of Fuel Cycle Safety and Safeguards, NMSS (by telephone) see <i>previous</i>	After receipt of shipment at receiving facility.
40.67(d)	Amendment to advance notice of import shipment of natural uranium	Division of Fuel Cycle Safety and Safeguards, NMSS (by telephone) see <i>previous</i>	Promptly after changing plans.
40 App.A I. Criterion 5D	Proposed corrective action program [required if groundwater protection standards are exceeded at licensed site]	Director, NMSS or Regional Office, per 40.5	Before using or implementing corrective action program. Program must be approved and put into place as soon as practicable and no later than 18 months after Commission finds that standards were exceeded.
40 App.A I. Criterion 8	Written report of cessation and restart of milling operations after servicing of emission control equipment	Regional Office	Within 10 days of resuming milling operations.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Reporting Requirement	Distribution	Frequency
40 App.A I. Criterion 8A	Notification of failure or of unusual conditions in a tailings or waste retention system [that result in, or if left uncorrected could result in, the release of tailings or waste into unrestricted areas]	Regional Office or Director, NMSS	Immediately after discovering failure or potential failure
40 App.A II. Criterion 9	Notification of intention not to renew financial surety arrangement	Beneficiary (NRC or State regulatory agency) and principal (licensee)	Within reasonable time . period (e.g. 90 days) prior to date of renewal.
40 App.A II. Criterion 9	Replacement financial surety arrangement to assure that funds are available for decommissioning	NRC or State regulatory agency	At least 60 days prior to expiration of surety not to be renewed.
40 App.A IV. Criterion 12	Report of annual site inspection [conducted by government agency retaining custody of site] where tailings or wastes are stored	Director, NMSS or Regional Office, per 40.5	Within 60 days of inspecting site where unusual damage or disruption is discovered. Otherwise, results reported annually within 90 days of last site inspection in that calendar year.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.4	<i>This section specifies that the signed original of all correspondence, reports, applications, and other written communications submitted pursuant to 10 CFR 50 or individual license conditions must be addressed to the Document Control Desk and copies sent to the appropriate Regional Office and Resident Inspector. Specific copy requirements for different types of submittals are identified in 50.4(b).</i>		
50.9(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
50.35(b)	Periodic report of progress and results of research and development programs designed to resolve safety questions	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Periodically, as specified in Construction Permit.
50.36(c) (1)(i)(A)	Notification of exceeded safety limits for nuclear reactor [power reactors licensed under 50.21(b) or 50.22 conform to 50.72 and 50.73]	<p>Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 of this part (telephone no. 301-816-5100).</p> <p>All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.</p>	Immediately after discovering exceeded limits.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.36(c) (1)(i)(B)	Notification of exceeded safety limits for fuel reprocessing facility	<p>Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 of this part (telephone no. 301-816-5100).</p> <p>All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.</p>	Immediately after discovering exceeded limits.
50.36(c) (1)(ii)(A)	Notification that automatic safety system does not function as required [nuclear power reactors licensed under 50.21(b) or 50.22 conform to 50.72 and 50.73]	<p>Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 of this part (telephone no. 301-816-5100).</p> <p>All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.</p>	Immediately after system malfunctions.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.36(c) (1)(ii)(B)	Notification that automatic alarm or protective devices related to limiting control settings did not function as required in fuel reprocessing facility	Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 of this part (telephone no. 301-816-5100). All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.	Immediately after device malfunctions.
50.36(c)(2)	Notification of failure to meet limiting conditions for operation of a nuclear reactor or fuel reprocessing facility [nuclear power reactors licensed under 50.21(b) or 50.22 conform to 50.72 and 50.73]	Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 of this part. All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.	Immediately after discovering failure.
50.36(c)(7)	Special report for event described in 50.36(c)(1) and (c)(2)	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At request of Commission.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.36a(a)(2) <i>Revised rqmts. effective 10/01/92</i>	Effluent release report [that specifies the quantity of each of the principal radionuclides released to unrestricted areas in liquid and in gaseous effluents during the previous 12 months of operation, including any other information as may be required by NRC to estimate maximum potential annual radiation doses to the public resulting from effluent releases]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Annually, with the time between reports not exceeding 12 months.
50.46(a) (3)(ii)	Report of change to or error discovered in an acceptable ECCS evaluation model, or in the application of a model, that affects the temperature calculation [including a proposed schedule for providing reanalysis or taking other actions to comply with 50.46]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At least annually or, if change or error is significant, within 30 days of discovering error or change.
50.54(a)(3) <i>Revised rqmts. effective 09/27/93</i>	Change to NRC-approved quality assurance program description [that does <u>not</u> reduce commitments in the program description]	1) Changes to <u>Safety Analysis Report</u> QA Program Description to: Document Control Desk, Regional Office, and Resident Inspector 2) Changes to a licensee's NRC-approved <u>QA Topical Report</u> to: Document Control Desk, Regional Office, and Resident Inspector 3) Changes to <u>QA Topical Report from non-licensee</u> (architect/engineer, NSSS suppliers, fuel suppliers, constructors, etc.) to: Document Control Desk, per 50.4	Annually, or at least 6 months after each refueling outage, in accordance with 50.71(e).

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.54(a)(3)	Change to NRC-approved quality assurance program description [that reduces commitments in the program description]	<p>1) Changes to <u>Safety Analysis Report</u> QA Program Description to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>2) Changes to a licensee's NRC-approved <u>QA Topical Report</u> to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>3) Changes to <u>QA Topical Report from non-licensee</u> (architect/engineer, NSSS suppliers, fuel suppliers, constructors, etc.) to: Document Control Desk, per 50.4</p>	Prior to making change.
50.54(f)	Written statement to enable Commission to determine whether to modify, suspend, or revoke license	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At request of Commission.
50.54(p)(2)	Description of changes to: security plan, safeguards contingency plan, or guard training and qualification plan [for changes that do <u>not</u> decrease safeguards effectiveness of plan]	Document Control Desk (signed original and 3 copies) and Regional Office (2 copies) per 50.4	Within 2 months of making change.
50.54(q)	Report of proposed change to emergency plan [for changes that decrease effectiveness of plan]	Document Control Desk, Regional Office (2 copies), and Resident Inspector per 50.4	Prior to making change.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.54(q)	Report of change to emergency plan [for changes that do <u>not</u> decrease effectiveness of plan]	Document Control Desk, Regional Office (2 copies), and Resident Inspector per 50.4	Within 30 days of making change.
50.54(w)(3)	Annual report of insurance and financial security	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Annually, April 1.
50.54(w) (4)(ii)	Written notification of safe and stable condition at reactor and no significant risk to public health and safety	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	After attaining safe and stable condition.
50.54(w) (4)(ii)	Cleanup plan for decontaminating reactor to permit resumption of operations or commencement of decommissioning	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	Within 30 days of notification that reactor is in safe and stable condition.
50.54(z)	Immediate notification of event <i>Refer to 50.72</i>		
50.54(bb)	Written notification of program for management of irradiated fuel at the reactor [after expiration of license] until transferred to DOE	Document Control Desk, Regional Office, and Resident Inspector per 50.4	No later than 5 years prior to expiration of license.
50.54(bb)	Notification of significant change in proposed waste management program	Document Control Desk, Regional Office, and Resident Inspector per 50.4	After making change in program.
50.54(cc)(1)	Written notification of filing petition for bankruptcy pursuant to Title 11 USC	Regional Administrator	Immediately after filing petition.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.55(e)(1)(ii)	Written interim report of identified deviation or failure to comply potentially associated with substantial safety hazard [made when evaluation of deviation or failure to comply cannot be completed within 60 days of discovery]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 60 days of discovering deviation or failure to comply.
50.55(e)(2)	Initial notification of failure to comply with Atomic Energy Act of 1954, as amended, or any applicable rule, regulation, order, or license of the Commission relating to a substantial safety hazard	NRC Operations Center (preferably by facsimile at 301-816-5151 or by telephone at 301-816-5100). Verification that facsimiles have been received should be made by calling the Operations Center.	Within 2 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.
50.55(e)(3)	Initial notification of defect found in construction or in final design of facility	NRC Operations Center (preferably by facsimile at 301-816-5151 or by telephone at 301-816-5100). Verification that facsimiles have been received should be made by calling the Operations Center.	Within 2 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.
50.55(e)(4)	Initial notification of significant breakdown in quality assurance program	NRC Operations Center (preferably by facsimile at 301-816-5151 or by telephone at 301-816-5100). Verification that facsimiles have been received should be made by calling the Operations Center.	Within 2 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.55(e)(6)(ii)	Written notification of failure to comply or existence of defect [written followup to initial notification made pursuant to 50.55(e)(2), (3), (4), and (6)(i)]	Document Control Desk, Regional Administrator, and Resident Inspector	Within 30 days of director or responsible corporate officer receiving information concerning identification of defect or failure to comply.
50.55(e)(10)	<i>This section specifies that the reporting requirements of 50.55(e) are satisfied when the defect or failure to comply associated with a substantial safety hazard has been previously reported under 10 CFR 21, 50.55(e), 50.73, or 73.71. For holders of construction permits issued prior to 10/29/91, evaluation, reporting, and recordkeeping requirements of 50.55(e) may be met by complying with the comparable requirements of 10 CFR 21.</i>		
50.55(f)(3)	Change to NRC-approved quality assurance program description [that does <u>not</u> reduce commitments in the program description]	<p>1) Changes to <u>Safety Analysis Report QA Program</u> Description to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>2) Changes to a <u>licensee's</u> NRC-approved QA Topical Report to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>3) Changes to <u>QA Topical Report from non-licensee</u> (architect/engineer, NSSS suppliers, fuel suppliers, constructors, etc.) to: Document Control Desk, per 50.4</p>	Within 90 days of making change.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.55(f)(3)	Change to NRC-approved quality assurance program description [that reduces commitments in the program description]	<p>1) Changes to <u>Safety Analysis Report QA Program Description</u> to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>2) Changes to a licensee's NRC-approved <u>QA Topical Report</u> to: Document Control Desk, Regional Office, and Resident Inspector</p> <p>3) Changes to <u>QA Topical Report from non-licensure</u> (architect/engineer, NSSS suppliers, fuel suppliers, constructors, etc.) to: Document Control Desk, per 50.4</p>	Prior to making change.
50.55a(f)(5)(iii)	Notification that conformance to a certain code required by Section XI of the ASME Boiler and Pressure Vessel Code and Addenda for inservice <u>test</u> is impractical [with information supporting determination]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	As soon as practical after identifying problem. License subject to approval of non-conformance.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.55a(i) (5)(iv) <i>Effective</i> 09/08/92	Determination that a pump or valve test required by Section XI of the ASME Boiler and Pressure Vessel Code and Addenda is impractical and not included in the revised inservice test program	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Basis for determination must be demonstrated to the satisfaction of NRC no later than 12 months after the expiration of the initial 120-month period of operation from start of facility commercial operation and each subsequent 120-month period of operation during which the test is determined to be impractical.
50.55a(g) (5)(iii)	Notification that conformance to a certain code required by Section XI of the ASME Boiler and Pressure Vessel Code and Addenda for inservice <u>inspection</u> is impractical [with information supporting determination]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	As soon as practical after identifying problem. License subject to approval of non-conformance.
50.55a(g) (5)(iv) <i>Effective</i> 09/08/92	Determination that an inservice examination of components and system pressure tests required by Section XI of the ASME Boiler and Pressure Vessel Code and Addenda is impractical and not included in the revised inservice inspection program	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Basis for determination must be demonstrated to the satisfaction of NRC no later than 12 months after the expiration of the initial 120-month period of operation from start of facility commercial operation and each subsequent 120-month period of operation during which the examination is determined to be impractical.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.59(b)(2) <i>Revise rqmts. effective 10/01/92</i>	Report of changes, tests, and experiments including a summary of the safety evaluation of each, made without prior NRC approval [that do <u>not</u> involve an unreviewed safety question or change in technical specifications incorporated into a license]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Annually or along with the FSAR updates in accordance with 50.71(e) or at shorter intervals as may be specified in the license.
50.61(b)(1)	Assessment of projected value for reference temperature for pressurized thermal shock for reactor vessel beltline materials	Document Control Desk, Regional Office, and Resident Inspector per 50.4	With next update of pressure-temperature limits, with next reactor vessel material surveillance report, or by June 14, 1996, whichever comes first, in accordance with conditions specified in 50.61(b)(1).
50.61(b)(1)	Updated assessment of projected value for reference temperature for pressurized thermal shock for reactor vessel beltline materials	Document Control Desk, Regional Office, and Resident Inspector per 50.4	After significant change in projected values of RT_{ms} or upon requesting change in facility's operating expiration date.
50.61(b)(3)(ii)	Plant specific information improving accuracy of RT_{ms} value	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	After significantly changing projected values of RT_{ms} due to plant specific information.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.61(b)(5)	Safety analysis to determine modifications necessary to equipment, systems, and operations to prevent potential failure of reactor vessel from postulated pressurized thermal shock events [if continued operation beyond screening criteria allowed]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	3 years before value of RT_{PTS} projected to exceed PTS screening criteria.
50.61(b)(7)	Request to operate facility at value of RT_{PTS} exceeding pressurized thermal shock screening criteria	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Prior to operation beyond PTS screening criteria.
50.63(c)(1) (i) (ii) (iii)	Information concerning licensee's response to station blackout events: - Proposed station blackout duration - Description of procedures to be implemented for station blackout events - List of modifications to equipment and associated procedures necessary to withstand and recover from station blackout event, and a proposed schedule for implementing the modifications	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	270 days after issuance of license.
50.64(c)(2)	Written proposal to meet requirements limiting the use of highly enriched uranium (HEU) in domestic non-power reactors	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	Annually, by March 27 until availability of Federal funding for conversion to low enriched fuel is certified.
50.71(a)	<i>This section instructs licensees and permit holders to follow 50.4 when submitting reports to NRC</i>		
50.71(b)	Annual financial report	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Upon issuance of report.
50.71(e)(3)(i)	Updated final safety analysis report [up-to-date as of 6 months prior to submission]	Document Control Desk (signed original and 10 copies), Regional Office, and Resident Inspector per 50.4	Within 24 months of issuance of license.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.71(e)(4) <i>Revised rqmts. effective 10/01/92</i>	Revisions to updated final safety analysis report [up-to-date as of 6 months prior to submission]	Document Control Desk (signed original and 10 copies), Regional Office, and Resident Inspector per 50.4	Annually, or 6 months after each refueling outage, provided the interval between successive updates to the FSAR does not exceed 24 months.
50.72(a)(1)(I)	Notification of declaration of Emergency Class specified in licensee's approved emergency plan	State and local agencies and NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or if ENS inoperative, commercial telephone service, other dedicated phone system, or other method that ensures notification	State and local agencies - immediately after declaration. Operations Center - immediately after notifying state and local agencies, no later than 1 hour after declaration.
50.72(a)(4)	Activation of Emergency Response Data System (ERDS)	NRC system for receiving ERDS data	As soon as possible, but not later than 1 hour after declaring an emergency class of alert, site area emergency, or general emergency.
50.72(b)(1)	Notification of non-emergency event as described in 50.72(b)(1)(I) - (VI) [one hour report]	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or if ENS inoperative, commercial telephone service, other dedicated phone system, or other method that ensures notification	As soon as practical, no later than 1 hour after event.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.72(b)(2)	Notification of non-emergency event as described in 50.72(b)(2)(i) - (vi) [four hour report]	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or if ENS inoperative, commercial telephone service, other dedicated phone system, or other method that ensures notification	As soon as practical, no later than 4 hours after event.
50.72(c)(1)(i) (ii) (iii)	Followup notification of: <ul style="list-style-type: none"> - Further degradation in the level of safety or other worsening plant conditions - Change from one Emergency Class to another - Termination of the Emergency Class 	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or if ENS inoperative, commercial telephone service, other dedicated phone system, or other method that ensures notification	Immediately after change in status.
50.72(c)(2)(i) (ii) (iii)	Followup notification of: <ul style="list-style-type: none"> - Results of ensuing evaluations or assessments of plant conditions - Effectiveness of response or protective measures taken - Information about plant behavior that is not understood 	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or if ENS inoperative, commercial telephone service, other dedicated phone system, or other method that ensures notification	Immediately after information becomes available.

50.72(c)(3) *This section requires a licensee to maintain an open, continuous communication channel with the NRC Operations Center upon request by the NRC*

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50.73(a)(1)	Licensee Event Report (LER) [of event described in 50.73(a)(2)(i) - (x)]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 30 days of discovering event.
50.73(c)	Supplemental information regarding a Licensee Event Report (LER)	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At request of Commission.
50.74	Notification of change in status of operator or senior operator	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 30 days of change in status.
50.75(f)	Preliminary decommissioning plan	Document Control Desk, Regional Office, and Resident Inspector per 50.4	5 years before terminating operations.
50.78	Installation information pursuant to US/IAEA Safeguards Agreement, Form N-71, "Design Information Questionnaire"	Director, NRR or NMSS per 75.6	At request of Commission (no fewer than 45 days will be allowed for response to request).
50,App.E. IV.D.2	Basic emergency planning information, such as the methods and times required for public notification and the protective actions planned if an accident occurs, general information as to the nature and effects of radiation and a listing of local broadcast stations that will be used for dissemination of information during an emergency	Public within the plume exposure pathway Emergency Planning Zone (EPZ)	Annually.
50,App.E.V	Emergency plan implementing procedures	Document Control Desk, Regional Office, and Resident Inspector per 50.4	No less than 180 days prior to scheduled issuance of license.
50,App.E.V	Change to emergency plan or emergency plan implementing procedures	Document Control Desk, Regional Office (2 copies), and Resident Inspector per 50.4	Within 30 days of making change.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50,App.E. VI.3.a	Hardware and software changes that affect transmitted data points identified in ERDS Data Point Library	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 30 days of making hardware or software changes.
50,App.E. VI.3.b	Hardware and software changes [excepting data point modifications] that could affect transmission format and computer communication protocol to ERDS	Document Control Desk, Regional Office, and Resident Inspector per 50.4	A soon as practicable and at least 30 days prior to making modifications.
50,App.G. III.B	Test methods for supplemental fracture toughness tests of reactor vessel beltline materials after exposure to neutron irradiation	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	Prior to conducting tests.
50,App.G. IV.A.1	Analysis demonstrating that lower levels of Charpy upper-shelf energy will provide margins of safety against fracture equivalent to those required by Appendix G of Section IX of the ASME Code	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Prior to maintaining Charpy upper-shelf energy of less than 50 ft-lb (68J) for reactor vessel beltline materials. The analysis must be approved by the Director, NRR before lower values of upper-shelf energy can be initiated.
50,App.G. V.E.	Proposed programs for satisfying fracture toughness requirements for reactor vessel beltline material	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At least 3 years prior to when levels no longer satisfy requirements.
50,App.H. II.B.3	Proposed withdrawal schedule for reactor vessel material surveillance program	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Prior to implementation of program.
50,App.H. III.A	Summary technical report of surveillance capsule withdrawal and fracture toughness test results	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 1 year of withdrawing capsule.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Reporting Requirement	Distribution	Frequency
50,App.I. IV.A.3	Report of radioactive release in excess of one-half of design objective annual exposure	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Within 30 days of end of quarter during which release occurred.
50,App.J III.A.6	Test schedule applicable to subsequent Type A tests for leak testing the primary reactor containment and related systems and components penetrating primary containment pressure boundary	Document Control Desk, Regional Office, and Resident Inspector per 50.4	When any periodic Type A test fails to meet applicable acceptance criteria.
50,App.J V.B	Reactor containment building integrated leak rate test	Document Control Desk, Regional Office, and Resident Inspector per 50.4	3 months after conducting test.
50,App.K. II.1.b	Complete list of computer programs used in ECCS evaluation model	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At request of Commission.

10 CFR Part 51 – Environmental Protection Regulations for Domestic Licensing and Related Regulatory Functions

Section	Reporting Requirement	Distribution	Frequency
51.41	Information to aid Commission in complying with NEPA section 102(2)	Document Control Desk, Regional Office, and Resident Inspector per 50.4	At request of Commission.

10 CFR Part 52 – Early Site Permits; Standard Design Certifications; and Combined Licenses for Nuclear Power Plants

Section	Reporting Requirement	Distribution	Frequency
52.35	Notification of plans to use site for purposes other than described in early site permit	Director, NRR (ATTN: Document Control Desk), Regional Office, and Resident Inspector per 50.4	Prior to construction or site modifications to perform other activities.

10 CFR Part 54 — Requirements for Renewal of Operating Licenses for Nuclear Power Plants

Section	Reporting Requirement	Distribution	Frequency
54.7	<i>This section specifies that all applications, correspondence, reports, and other written communications shall be filed in accordance with applicable portions of 10 CFR 50.4</i>		
54.13(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
54.21(e)	Amendment to renewal application identifying changes to the current licensing base (CLB) of facility that materially affects contents of license renewal application, including the FSAR supplement	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Annually, following submittal of license renewal application and at least 3 months before scheduled completion of NRC review.
54.33(d)	Proposed changes to programs or procedures for management of age-related degradation unique to license renewal [when changes decrease effectiveness of programs or procedures]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Prior to making change.
54.37(b)	<i>This section specifies that holders of renewed licenses must include in FSAR update required by 50.71(e) any systems, structures, and components (SSCs) newly identified as important to license renewal and any SSCs deleted from list of SSCs important to license renewal. The update must also be accompanied by a justification for deleting any SSCs previously identified as important to license renewal.</i>		
54.37(c)	Report of changes made to programs for management of age-related degradation unique to license renewal [that do <u>not</u> decrease effectiveness of programs]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Annually.

10 CFR Part 55 – Operators' Licenses

Section	Reporting Requirement	Distribution	Frequency
55.5	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 55 should be transmitted to the Director, NRR unless otherwise specified in the regulations. The Regional Administrators have been delegated licensing authority for the activities specified in 55.5(b)(1). All communications, reports, and applications concerning these activities should be submitted to the appropriate Regional Administrator unless otherwise specified in the regulations.</i>		
55.25	Notification of operator's or senior operator's incapacitation due to disability or illness	Director, NRR or Regional Administrator, per 55.5	Within 30 days of learning of incapacitation.
55.31(b)	Additional information to enable Commission to determine whether to grant or deny an application or to modify, suspend, or revoke a license	Director, NRR or Regional Administrator, per 55.5	At request of Commission.
55.45(b)(4)(iii)	Report of uncorrected performance test failures and schedule for correction [from licensees using a simulation facility other than solely a plant-referenced facility]	Director, NRR or Regional Administrator, per 55.5	Every 4 years on anniversary of submitting application for use of simulation facilities.
55.45(b)(5)(ii)	Report of uncorrected performance test failures and schedule for correction [from licensees using a simulation facility consisting solely of a plant-referenced simulator]	Director, NRR or Regional Administrator, per 55.5	Every 4 years on anniversary of submitting certification that facility meets NRC regulations.
55.53(g)	Notification of felony conviction of operator or senior operator	Director, NRR or Regional Administrator, per 55.5	Within 30 days of conviction.
55.59(b)	Proof of successful completion of additional requalification training required by Commission	Director, NRR or Regional Administrator, per 55.5	At request of Commission for evidence and prior to returning operator or senior operator to licensed duties.

10 CFR Part 60 – Disposal of High-Level Radioactive Wastes in Geologic Repositories

Section	Reporting Requirement	Distribution	Frequency
60.4(a)	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 60 should be transmitted to the Director, NMSS, unless otherwise specified in the regulations.</i>		
60.10(b)	Notification of information having significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
60.18(g)	Semiannual site characterization activities report	Director, NMSS per 60.4	Semiannually.
60.32(b)	Periodic and special reports made pursuant to construction authorization	Director, NMSS per 60.4	As specified in construction authorization.
60.42(b)(2)	Written statements to enable Commission to determine whether a license should be modified, suspended, or revoked	Director, NMSS per 60.4	At written request of Commission.
60.44(b)	Report of changes, tests, and experiments made without prior Commission approval [that do not involve a change in license conditions or an unreviewed safety question]	Regional Office and Director, NMSS	Annually or at shorter intervals if specified in license.
60.73	Written report of deficiency in site characteristics or design and construction of geologic repository operations	Director, NMSS and Regional Office	Promptly after discovering deficiency.
60.141(a)	Report of changes needed in design parameters to accommodate actual field conditions encountered during performance confirmation program	Director, NMSS	Prior to making change.
60.141(d)	Report of modifications needed to design bases or construction methods as a result of development and operation of the geologic repository	Director, NMSS	Prior to making change.

10 CFR Part 61 – Licensing Requirements for Land Disposal of Radioactive Waste

Section	Reporting Requirement	Distribution	Frequency
61.4	<i>This section specifies that communications, reports and applications submitted pursuant to 10 CFR 61 should be transmitted to the Director, NMSS, unless otherwise specified in the regulations.</i>		
61.9a(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
61.24(b)	Written statements to enable Commission to determine whether a license should be modified, suspended, or revoked	Director, NMSS	At request of Commission.
61.24(k)(1)	Written notification of filing petition for bankruptcy under Title 11 USC	Regional Administrator	Immediately after filing petition.
61.80(g)	Reports required by 10 CFR 30.55, 40.64, 70.53, and 70.54 <i>Refer to these sections for requirements; inventory reports are not required for material after disposal</i>		
61.80(h)	Annual financial report or certified financial statement	Director, NMSS per 61.4	Annually.
61.80(i)(1)	Annual report of: effluent releases, environmental monitoring, disposal unit survey and maintenance activities [from licensees authorized to dispose of waste materials received from other persons]	Regional Office and Director, Division of Waste Management, NMSS <i>Formerly, the Division of Low Level Waste Management and Decommissioning, the regulations will amended to reflect the organizational change.</i>	Annually, end of first calendar quarter for previous year.
61.80(j)	Reports required by 10 CFR 70.52 <i>Refer to this section for requirements</i>		

10 CFR Part 62 – Criteria and Procedures for Emergency Access to Non-Federal and Regional Low-Level Waste Disposal

Section	Reporting Requirement	Distribution	Frequency
62.3	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 62 should be transmitted to the Director, NMSS, unless otherwise specified in the regulations.</i>		
62.15(a)	Additional information to support request for Commission determination on granting emergency access to non-Federal and regional low-level waste disposal facilities	Director, NMSS per 62.3	Within 10 days from the date of the request for additional information or any other time that the Commission may specify.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
70.5	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 70 should be transmitted to the Director, NMSS, unless otherwise specified in the regulations. The Regional Administrators have been delegated licensing authority for the activities specified in 70.5(b)(1). All communications, reports, and applications concerning these activities should be submitted to the appropriate Regional Office unless otherwise specified in the regulations.</i>		
70.9(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Office	Within 2 working days of identifying information.
70.20a(e)(2)	Safeguards events reports required by 73.71 <i>Refer to 73.71</i>		
70.20b(f)(1)	Written notification of plans to carry transient shipment of formula quantities of strategic special nuclear material, special nuclear material of moderate or low strategic significance, and irradiated reactor fuel [with scheduled stops at U.S. ports]	Division of Industrial and Medical Nuclear Safety, NMSS <i>Formerly, the Division of Safeguards and Transportation, the regulations will be revised to reflect the organizational change.</i>	Notification must be received at least 10 days prior to commencing shipment at shipping facility.
70.20b(f)(2) (ii)	Notification of transmittal of advance shipping notice of special nuclear material	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) see <i>previous</i>	10 days prior to commencing shipment at shipping facility.
70.20b(f) (2)(iii)	Notification of changes to shipping itinerary for shipment of special nuclear material	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) see <i>previous</i>	After making change in itinerary.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
70.20b(f) (3)(ix)	Physical protection plan for implementing the requirement of 70.20b(c) including use of armed personnel to protect shipment during time shipment is in United States <i>Physical protection plan to be included with advance shipping notice from persons generally licensed to possess transient shipments of formula quantities of strategic special nuclear material of types and quantities subject to requirements of 73.20, 73.25, 73.26, and 73.27</i>		
70.20b(g)(1)	Notification of decision to make unscheduled stops at US ports with shipment of special nuclear material	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i>	Immediately after making decision to stop.
70.21(g)	Form N-71, "Design Information Questionnaire," Installation Information pursuant to 75.11	Director, NMSS per 70.5	At written request of Commission.
70.22(d)	Written statements to enable Commission to determine whether an application should be granted or denied or whether a license should be modified or revoked	Director, NMSS per 70.5	At request of Commission.
70.22(i) (3)(viii)	Notification of accidental release of special nuclear materials and any associated chemical hazards [as committed to in licensee's emergency plan]	Offsite response organizations and NRC Operations Center	Offsite response organizations, promptly after declaring emergency. NRC Operations Center, immediately after notifying appropriate offsite response organizations and no later than 1 hour after declaring emergency.
70.32(a)(9)(i)	Written notification of filing petition for bankruptcy under Title 11 USC	Regional Administrator	Immediately after filing petition.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
70.32(c)(2)	Description of changes to the material control and accounting program made without prior Commission approval [that do <u>not</u> decrease effectiveness of program]	Director, NMSS	Within 2 or 6 months of making change depending on type of uranium or plutonium.
70.32(d)	Description of changes to the plan of physical protection of special nuclear material in transit made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	Director, NMSS and Regional Office	Within 2 months of making change.
70.32(e)	Description of changes to a physical security plan made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	Director, NMSS and Regional Office	Within 2 months of making change.
70.32(g)	Description of changes to a safeguards contingency plan made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	Regional Administrator and Director, NMSS	Within 60 days of making change.
70.32(i)	Changes to an approved emergency plan made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	Director, NMSS and Regional Office	Within 6 months of making change.
70.38(b)	Written notification of decision to end licensed activities and request termination of license	Director, NMSS or Regional Office pursuant to 70.5	Promptly after deciding to terminate activities.
70.38(c)(1) (iv)	NRC Form 314, "Certificate of Disposition of Materials"	Director, NMSS or Regional Office pursuant to 70.5	On or before expiration of license.
70.38(c)(1)(v)	Radiation survey report	Director, NMSS or Regional Office pursuant to 70.5	On or before expiration of license.
70.38(c)(2)(i)	Proposed decommissioning plan	Director, NMSS or Regional Office pursuant to 70.5	On or before expiration of license.
70.38(c)(3) <i>Revised rqmts. effective 10/25/93</i>	Final radiation survey report and certification of disposition of wastes accumulated during decommissioning including a list containing the location and description of all equipment to remain onsite after license termination that was contaminated when final decommissioning was initiated	Director, NMSS or Regional Office pursuant to 70.5	Final step of NRC-approved decommissioning plan.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
70.50(a)	Notification of event that prevents immediate protective actions necessary to avoid exposures to radiation or radioactive materials or releases of licensed material that could exceed regulatory limits	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Immediately, no later than 4 hours after discovering event.
70.50(b)	Notification of unplanned contamination, safety equipment failures, personal injuries, or fire and explosions [for events meeting conditions specified in 70.50(b)(1), (2), (3), and (4)]	NRC Operations Center (by telephone) [Operations Center commercial number is 301-816-5100]	Within 24 hours of discovering event.
70.50(c)(2)	Written followup report of initial notification made pursuant to 70.50(a) or (b)	Document Control Desk and Regional Office	Within 30 days of initial notification.
70.52(a)	Notification of accidental criticality or of any loss, other than normal operating loss, of special nuclear material	NRC Operations Center (telephone no. 301-816-5100)	Within 1 hour of discovering accidental criticality or loss.
70.52(b)	Notification of loss or theft or unlawful diversion of special nuclear material or of any attempted theft or unlawful diversion of such material	NRC Operations Center (telephone no. 301-816-5100)	Within 1 hour of discovering loss, theft, or diversion, or attempted theft or diversion.
70.53(a)(1)	Material balance report <i>Refer to 74.13(a)(1)</i>		
70.53(a)(2)	Material status report <i>Refer to 75.35 and 74.13(a)(2)</i>		
70.53(b)	NRC Form 327, "Special Nuclear Material Physical Inventory Summary Report" <i>Refer to 74.13(b) and 74.17(b)</i>		
70.54(a)	DOE/NRC Form 741, "Nuclear Material Transaction Report," materials transfer report <i>Refer to 74.15(a) and (b)</i>		

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
70.54(b)	NRC/DOE Form 741, "Nuclear Material Transaction Report," inventory change report <i>Refer to 75.34 and 74.15(c)</i>		
70.57(b)(3)	Report of annual independent review and audit of measurement control program for special nuclear materials control and accounting measurements	Licensee management	Annually.
70.59(a)(1)	Semiannual radioactive effluent release report	Regional Office and Director, NMSS	Semiannually, within 60 days after Jan. 1 and July 1.

10 CFR Part 71 – Packaging and Transportation of Radioactive Material

Section	Reporting Requirement	Distribution	Frequency
71.1	<i>This section specifies that all communications submitted pursuant to 10 CFR 71 should be transmitted to the Director, NMSS.</i>		
71.6a(b)	Notification of information having a significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
71.12(c)(3)	Written notice of licensee's name, license number, and package approval number	Director, NMSS	Prior to first use of package.
71.93(c)	Advance notification of fabrication of package to ship licensed radioactive material [having decay heat load in excess of five kilowatts or with a maximum normal operating pressure in excess of 103 kilopascal (15 psi) gauge]	Regional Administrator	At least 45 days prior to fabricating package.
71.95	Report of: <ul style="list-style-type: none"> (a) - Signification reduction in effectiveness of authorized packaging during use (b) - Safety defects in packaging after first use 	Director, NMSS	Within 30 days of discovering defect.
71.97(a)	Advance notification of shipment of nuclear waste	Governor of each state affected (or Governor's designee) and Regional Administrator	Notice must be post-marked at least 7 days before the beginning of the 7-day period during which departure of shipment to occur, or received 4 days before beginning of the 7-day period when delivered by messenger to office of Governor (or Governor's designee).
71.97(e)	Notice of revision to schedule for shipment of nuclear waste	Governor's office or office of Governor's designee (by telephone)	After making change in schedule.

10 CFR Part 71 – Packaging and Transportation of Radioactive Material

Section	Reporting Requirement	Distribution	Frequency
71.97(f)(1)	Cancellation notice for shipment of nuclear waste	Governor or Governor's designee) and Regional Administrator	After cancelling shipment.
71.101(c)	Quality assurance program description for activities affecting nuclear material packaging	Director, NMSS	Prior to using package for shipment.
71.101(f)	Notification of intent to use previously approved quality assurance program	Director, NMSS	Prior to 1st use of program.
71.107(c)	Change in conditions specified in package approval	Director, NMSS	Prior to changing condition.

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Reporting Requirement	Distribution	Frequency
72.4	<i>This section specifies that all communications, reports and applications submitted pursuant to 10 CFR 72 should be transmitted to the Director, NMSS, unless otherwise specified in the regulations.</i>		
72.11(b)	Notification of information having significant implication for public health and safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
72.44(b)(3)	Written statement to enable Commission to determine whether license should be modified, suspended, or revoked	Director, NMSS per 72.4	At request of Commission.
72.44(b)(6)(i)	Written notification of filing petition for bankruptcy under Title 11 USC	Regional Administrator	Immediately after filing petition.
72.44(d)(3)	Radioactive effluent release report	Regional Office and Director, NMSS	Annually, within 60 days after Jan. 1 for preceding calendar year.
72.44(e)	Report of changes to physical security plan made without prior Commission approval [that do not decrease effectiveness of plan]	Director, NMSS per 72.4	Within 2 months of making changes.
72.44(f)	Report of changes to emergency plan made without prior Commission approval [that do not decrease effectiveness of plan]	Regional Office and Director, NMSS	Within 6 months of making changes.
72.48(b)(2)	Report of: changes in ISFSI or MRS, changes in procedures in SAR, tests and experiments not described in FSAR made without prior Commission approval [provided that changes, tests, and experiments do not involve changing a license condition, an unreviewed safety question, a significant increase in occupational exposure, or a significant unreviewed environmental impact]	Regional Office and Director, NMSS	Annually or at shorter intervals as specified in license.
72.54(e)(2) <i>Revised rqmts. effective 10/25/93</i>	Terminal radiation survey and associated documentation demonstrating that the ISFSI and site are suitable for release for unrestricted use including a list containing the location and description of all equipment to remain onsite after license termination that was contaminated when final decommissioning was initiated	Director, NMSS per 72.4	Final step in NRC-approved decommissioning plan.

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Reporting Requirement	Distribution	Frequency
72.62(d)	Backfit information concerning an ISFSI or MRS	Director, NMSS per 72.4	At request of Commission.
72.70(a)	Revisions to safety analysis report [prior to operation]	Director, NMSS per 72.4	Semiannually after issuance of license until preoperational testing completed.
72.70(a)	Final safety analysis report	Director, NMSS per 72.4	At least 90 days prior to planned receipt of spent fuel or high level waste.
72.70(b)	Revisions to final safety analysis report [after first receipt of spent fuel or high level radioactive waste for storage]	Director, NMSS per 72.4	Annually after first receiving spent fuel or high level waste.
72.74(a)	Notification of accidental criticality or loss of special nuclear material	NRC Operations Center (telephone no. 301-816-5100)	Within 1 hour of discovering criticality or loss.
72.76(a)	DOE/NRC Form 742, "Material Balance Report"	In accordance with printed instructions accompanying form	Semiannually, 30 days after end of each reporting period ending March 31 and September 30.
72.76(b)	Material status reports in accordance with 10 CFR 75.35 <i>Refer to this section for requirements, if applicable, they replace requirements of 72.76(a)</i>		
72.78(a)	DOE/NRC Form 741, "Nuclear Material Transaction Report"	In accordance with printed instructions accompanying form	After transferring or receiving spent fuel.
72.78(b)	Inventory change report in accordance with 10 CFR 75.34 <i>Refer to this section for requirements, if applicable, they replace requirements of 72.78(a)</i>		

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Reporting Requirement	Distribution	Frequency
72.80(b)	Annual financial report and certified financial statement	Director, NMSS per 72.4	Annually.
72.82(e)	Report of preoperational test acceptance criteria and test results	Regional Office and Director, NMSS	At least 30 days prior to receiving spent fuel or high level waste.
72.140(c)	Quality assurance program description	Director, NMSS	Prior to receiving spent fuel or high level waste.
72.140(d)	Notification of intent to use previously approved quality assurance program	Director, NMSS	Prior to first use of program.
72.184(a)	Safeguards contingency plan [containing 4 categories of information: Background, generic planning base, licensee planning base, and responsibility matrix] in accordance with 73 Appendix C	Director, NMSS per 72.4	As specified in license.
72.186	Report of changes to: physical security plan, guard training plan, and safeguards contingency plan, made without prior Commission approval [that do not decrease effectiveness of plan]	Regional Administrator and Director, NMSS	Within 2 months of making change.
72.216(b)	Followup written report [including a description of the means employed to repair any defects or damage and prevent recurrence] of: <ul style="list-style-type: none"> - Defect discovered in any spent fuel storage cask structure, system, or component which is important to safety - Instance in which there is a significant reduction in the effectiveness of any spent fuel storage cask confinement system during use 	Director, NMSS per 72.4 and Regional Administrator	Within 30 days of initial notification made under 50.72(b)(2)(vii).

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.4	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 73 should be transmitted to the Director, NMSS or Director, NRR, unless otherwise specified in the regulations.</i>		
73.26(b)(3)	Information concerning security arrangements for shipment of SNM [in addition to general security plan information]	Director, NMSS or Director, NRR per 73.4	Prior to 7-day advance notice of shipment required by 73.72, contingent on NRC approval.
73.26(f)(2)	Status of domestic shipment of SNM during transfer and temporary storage of material while in transit [made by commander of escort personnel]	Remote monitoring location	Every 30 minutes.
73.26(f)(2)	Notification of failure to receive 30 minute status report of domestic shipment of SNM during transfer and temporary storage of material while in transit [made by personnel at remote monitoring location]	Shipment movement control center and law enforcement authorities	When call is not received within prescribed time.
73.26(i)(6)	Notification of failure to receive call at the movement control center from shipment or escort personnel [when shipping by road]	Law enforcement authorities and Regional Office	Immediately after shipment or escort personnel miss scheduled call to center.
73.26(h)(6) <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of transportation security program, including an audit of transportation security procedures and practices, an evaluation of the effectiveness of the transportation physical protection system, an audit of the transportation physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the review, managements' findings on whether the transportation security program is effective, and any actions taken as a result of recommendations from prior review <i>Refer also to 73.26(h)(6) of <u>Recordkeeping</u> section</i>	Responsible organization's management and corporate management at least one level higher than that having responsibility for day-to-day plant operations.	Annually.
73.26(k)(4)	Notification of failure to receive call at the movement control center from shipment or escort personnel [when shipping by rail]	Law enforcement authorities and Regional Office	Immediately after escort personnel miss scheduled call to center.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.27(a)(1)	Notification of departure of SSNM shipment [made by licensee delivering formula quantities of strategic special nuclear material to carrier for transport]	Consignee (by telephone, telegraph, or teletype)	Immediately after delivering shipment to carrier.
73.27(a)(3)	Notification of arrival of SSNM shipment at destination or that shipment is lost or unaccounted for [made by consignee, arrangements for notification made by licensee delivering formula quantities of strategic special nuclear material to carrier for transport or releasing material f.o.b. at point where it is delivered to carrier for transport]	Licensee delivering or releasing material for transport (by telephone <u>and</u> telegraph, teletype, or cable)	Immediately after arrival of shipment or after estimated time of arrival when shipment lost or unaccounted for.
73.27(b)	Notification of receipt of SSNM shipment [made by licensee receiving formula quantities of strategic special nuclear material]	Deliverer of material to carrier and Regional Administrator (by telephone <u>and</u> telegraph or teletype)	Immediately after receiving shipment.
73.27(b)	Notification of receipt of SSNM shipment [made by licensee who is consign- or when consignee is DOE license-exempt contractor receiving formula quantities of strategic special nuclear material]	Regional Administrator (by telephone <u>and</u> telegraph or teletype)	Immediately after being notified, pursuant to 73.27(a)(3), of arrival of shipment by license-exempt contractor.
73.27(b)	Notification of lost or unaccounted for shipment of SSNM [made by licensee receiving formula quantities of strategic special nuclear material]	Regional Administrator (by telephone <u>and</u> telegraph or teletype) and deliverer of material to carrier	Immediately after shipment fails to arrive at estimated time.
73.27(b)	Notification of lost or unaccounted for shipment of SSNM [made by licensee who is consignor when consignee is DOE license-exempt contractor receiving formula quantities of strategic special nuclear material]	Regional Administrator (by telephone <u>and</u> telegraph or teletype)	Immediately after being notified, pursuant to 73.27(a)(3), by license-exempt contractor that shipment failed to arrive at estimated time.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.27(b)	Notification of lost or unaccounted for shipment of SSNM [made by licensee exporting formula quantities of strategic special nuclear material]	Regional Administrator (by telephone <u>and</u> telegraph or teletype)	Immediately after being notified, pursuant to 73.27(a)(3), that shipment failed to arrive at estimated time.
73.27(b)	Notification of actions to trace missing shipment of SSNM [from licensee making physical protection arrangements for shipping formula quantities of strategic special nuclear material pursuant to 73.25 and 73.26]	Regional Administrator (by telephone <u>and</u> telegraph or teletype)	Immediately after discovering that shipment failed to arrive at estimated time.
73.27(c)	Results of trace investigation of shipment of SSNM lost or unaccounted for <i>Refer to 73.71</i>		
73.37(a)(2)(ii)	Notification of attempt to sabotage spent fuel shipment	Appropriate response forces	Immediately after discovering attempt.
73.37(b)(1)	Advance notice of shipment of SSNM <i>Refer to 73.72</i>		
73.37(b)(11)	Spent fuel shipment status reports [made by shipment escorts]	Licensee's communications center	At least every 2 hours during road and rail shipments or while shipment vessels docked at US ports during sea shipments.
73.37(f)	Advance written notice of spent fuel shipment	Governor of each State affected (or Governor's designee)	Notice must be postmarked 7 days prior to shipment when delivered by mail, or received 4 days prior to shipment when delivered by messenger to office of Governor (or Governor's designee).

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.46(b)(9)	Advance notification of Tactical Response Team and guard exercise	Director, NMSS or Director, NRR per 73.4	60 days prior to exercise.
73.46(g)(6) <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of the security program including an audit of security procedures and practices, an evaluation of the effectiveness of the physical protection system, an audit of the physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the security program review, and any actions taken <i>Refer also to 73.46(g)(6) of <u>Recordkeeping</u> section</i>	Licensee's plant manager and corporate management at least one level higher than that having responsibility for day-to-day plant operations.	Annually.
73.46(h)(4) (iii)(B)	Notification of threat to protected areas and request for assistance [made by licensees with physical protection system established in accordance with requirements of 73.20(a) and 73.45]	Local law enforcement agencies	Immediately after detecting threat.
73.50(g)(3) (iii)(B)	Notification of threat to protected areas and request for assistance [made by licensee possessing, using, or storing formula quantities of SSNM which is not readily separable from other radioactive material and which has a total external radiation dose rate in excess of 100 rems per hour at a distance of 3 feet from any accessible surface without intervening shielding other than at nuclear reactor pursuant to 10 CFR 50]	Local law enforcement agencies	Immediately after detecting threat.
73.55(b)(4)(ii)	Security personnel training and qualifications plan outlining the processes by which guards, watchman, armed response personnel, and other members of the security organization will be selected, trained, equipped, tested, and qualified to ensure that these individuals meet the requirements of 75.55(b)	Director, NMSS or Director NRR per 73.4	As specified in license.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.55(g)(4) <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of security program including an audit of security procedures and practices, an evaluation of the effectiveness of the physical protection system, an audit of the physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the security program review, management's findings on whether the security program is currently effective, and any actions taken as a result of recommendations from prior program reviews <i>Refer also to 73.55(g)(4) of <u>Recordkeeping</u> section</i>	Licensee's plant manager and corporate management at least one level higher than that having responsibility for day-to-day plant operation	Annually.
73.55(h)(4) (iii)(B)	Notification of threat to protected area and request for assistance	Local law enforcement agencies	Immediately after detecting threat.
73.56(a)(1)	Certification of implementation of access authorization program [made by licensees authorized on 4/25/91 to operate a nuclear power reactor pursuant to 50.21(b) or 50.22]	Director, NMSS or Director NRR per 73.4	By April 27, 1992.
73.56(d)(2)	Changes to physical security plan incorporating measures to ensure that functional capability of equipment has not been impaired by relaxation of access authorization requirements [submitted pursuant to 50.90]	Document Control Desk and Regional Office per 50.4	Prior to incorporating measures into security plan.
73.57(d)	Submittal of fingerprint cards for individuals that require unescorted access to a nuclear power facility or access to Safeguards Information	Director, Division of Security, Attn: Criminal History Check Section	After determining individual's need for access to facility or information.
73.67(c)(1)	Security plan for meeting fixed site and in-transit requirements for SNM of low or moderate strategic significance	Director, NMSS or Director NRR per 73.4	Condition of license.
73.67(e)(1)(i)	Advance notification of planned shipment of SNM of moderate strategic significance [made by licensee transporting, exporting, or delivering to carrier for transport special nuclear material of moderate strategic significance]	Receiver of planned shipment	Prior to commencing shipment, contingent upon confirmation of readiness to receive by receiver.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.67(e)(2)(ii)	Notification of receipt of shipment of SNM of moderate strategic significance <i>Refer to 70.54 and 74.15(a) and (b)</i>		
73.67(e)(3)(v)	Notification of arrival of shipment of SNM of moderate strategic significance at destination or that shipment is lost or unaccounted for [made by intended receiver of material]	Licensee arranging in-transit physical protection or who takes delivery f.o.b. the point at which material is delivered to a carrier for transport.	Immediately after arrival of shipment or after estimated time of arrival when shipment lost or unaccounted for.
73.67(e)(3)(vii)	Notification of loss, or recovery or accounting for, shipment of SNM <i>Refer to 73.71</i>		
73.67(e)(6)(ii)	Notice of receipt of shipment of SNM of moderate strategic significance [made by licensee importing material]	Exporter who delivered material to carrier for transport	Immediately after arrival of shipment.
73.67(e)(7)(i)	Additional information regarding planned shipment of SNM of moderate strategic significance	Director, NMSS or Director, NRR, per 73.4	At request of Commission.
73.67(e)(7)(ii)	Notification of receipt of shipment of SNM of moderate strategic significance at final destination [made by receiver of shipment or shipper if receiver is not a licensee]	Regional Administrator (by telephone)	No later than 24 hours after arrival of shipment.
73.67(e)(7)(ii)	Notification of departure of export shipment of SNM of moderate strategic significance [made by licensee exporting material]	Regional Administrator (by telephone)	No later than 24 hours after shipment leaves United States.
73.67(g)(1)(i)	Advance notice of planned shipment of SNM of low strategic significance [made by licensee transporting or delivering to carrier for transport special nuclear material of low strategic significance]	Receiver of material	Prior to commencing shipment, contingent upon confirmation of readiness to receive by receiver.
73.67(g)(2)(ii)	Notice of receipt of SNM of low strategic significance <i>Refer to 70.54 and 74.15(a) and (b)</i>		

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.67(g)(3)(ii)	Notification of arrival of shipment of SNM of low strategic significance at destination or that shipment is lost or unaccounted for [made by intended receiver of material]	Licensee arranging in-transit physical protection or who takes delivery f.o.b. the point at which material is delivered to a carrier for transport.	Immediately after arrival of shipment or after estimated time of arrival when shipment lost or unaccounted for.
73.67(g)(3)(iii)	Notification of loss, or recovery or accounting for, shipment of SNM of low strategic significance <i>Refer to 73.71</i>		
73.67(g)(5)(ii)	Notification of arrival of import shipment of SNM of low strategic material [made by licensee importing material]	Deliverer of material to a carrier for transport	After receiving material.
73.71(a)(1)	Initial notification of loss of shipment of SNM or spent fuel	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System, or if ENS unavailable or inoperative, by commercial telephonic services or other dedicated telephonic service or other methods ensuring receipt by Operations Center within one hour	Within 1 hour of discovering loss of shipment.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.71(a)(1)	Notification of recovery or accounting for lost shipment of SNM or spent fuel	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System, or if ENS unavailable or inoperative, by commercial telephonic services or other dedicated telephonic service or other methods ensuring receipt by Operations Center within one hour	Within 1 hour of recovering or accounting for missing shipment.
73.71(a)(4)	Safeguards event report [written report of initial notification made pursuant to 73.71(a)(1)]	Document Control Desk and Regional Office	Within 30 days of initial notification.
73.71(a)(5)	Notification of significant supplemental information concerning safeguards event reported pursuant 73.71(a)(1) or (4)	NRC Operations Center (telephone no. 301-816-5100)	Promptly, as supplemental information becomes available.
73.71(a)(5)	Revised safeguards event report [including significant supplemental information and errors discovered after submitting 30 day written report]	Document Control Desk and Regional Office	As required upon discovering supplemental or erroneous information.
73.71(b)(1)	Initial notification of theft or attempted theft or unlawful diversion of SNM for events described in 73 App. G, par. I(a)(1)	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System, or if ENS unavailable or inoperative, by commercial telephonic services or other dedicated telephonic service or other methods ensuring receipt by Operations Center within one hour	Within 1 hour of discovering theft or attempted theft or unlawful diversion.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.71(b)(1)	Initial notification of safeguards event described in 73 App. G, par. I (a)(2), (a)(3), (b) and (c)	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System, or if ENS unavailable or inoperative, by commercial telephonic services or other dedicated telephonic service or other methods ensuring receipt by Operations Center within one hour	Within 1 hour of discovering event.
73.71(b)(1)	Initial notification of actual or attempted introduction of contraband into protected area for events described in 73 App. G, par. I(d)	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System, or if ENS unavailable or inoperative, by commercial telephonic services or other dedicated telephonic service or other methods ensuring receipt by Operations Center within one hour	Within 1 hour of discovering introduction or attempted introduction.
73.71(b)(2)	Safeguards event report [written report of initial notification made pursuant to 73.71(b)(1)]	Document Control Desk and Regional Office	Within 30 days of initial notification.
73.71(b)(2)	Notification of significant supplemental information concerning safeguards event report made pursuant to 73.71(b)(1) or (2)	NRC Operations Center (telephone no. 301-816-5100)	Promptly, as supplemental information becomes available.
73.71(b)(2)	Revised safeguards event report made pursuant to 73.71(b)(2) [including significant supplemental information and errors discovered after submitting 30 day written report]	Document Control Desk and Regional Office	As required upon discovering supplemental or erroneous information.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.71(c)	Safeguards event logs	Document Control Desk	Every 3 months.
73.72(a)(1)	Advance written notice of shipment of formula quantity of SSNM, SNM of moderate strategic significance, or irradiated reactor fuel	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) <i>Formerly, the Division of Safeguards and Transportation, the regulations will be revised to reflect the organizational change.</i>	Notice must be received at least 10 days prior to commencing shipment at shipping facility.
73.72(a)(4)	Notification of transmittal of advance notice of shipment of formula quantity of SSNM, SNM of moderate strategic significance, or irradiated reactor fuel	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) <i>see previous</i>	At least 10 days prior to commencing shipment at shipping facility.
73.72(a)(5)	Notification of changes to itinerary for shipment of nuclear materials	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) <i>see previous</i>	As changes are made.
73.73(a)(1)	Advance written notice of export shipment of special nuclear material of low strategic significance	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i>	Notice must be received at least 10 days prior to commencing shipment at shipping facility.
73.73(b)	Notification of amendment to advance written notice of export shipment of nuclear material	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) <i>see previous</i>	As changes are made.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Reporting Requirement	Distribution	Frequency
73.74(a)(1)	Advance written notice of import shipment of SNM of low strategic significance from country not party to Conventions on Physical Protection of Nuclear Material	Division of Industrial and Medical Nuclear Safety, NMSS <i>see previous</i>	Notice must be received at least 10 days prior to commencing shipment at shipping facility.
73.74(b)	Notification of amendment to advance written notice of import shipment of SNM of low strategic significance from country not party to Conventions of Physical Protection on Nuclear Material	Division of Industrial and Medical Nuclear Safety, NMSS (by telephone) <i>see previous</i>	As changes are made.
73.App.B. Intro.	Training and qualifications plan for security personnel who are responsible for the protection of special nuclear material on site or in transit and for protection of the facility or shipment vehicle against radiological sabotage	Director, NMSS or Director, NRR, per 73.4	Condition of license.
73.App.C.	Safeguards contingency plan [containing 4 categories of information: background, generic planning base, licensee planning base, and responsibility matrix]	Director, NMSS or Director, NRR, per 73.4	Condition of license.
73.App.C.	Report of annual independent review of safeguards contingency plan including an audit of safeguards contingency procedures and practices, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the safeguards contingency plan review, managements' findings on whether the safeguards contingency plan is currently effective, and any actions taken as a result of recommendations from prior reviews <i>Refer also to 73.App.C <u>Recordkeeping</u> section</i>	Licensee's plant manager and corporate management at least one level higher than that having responsibility for the day-to-day plant operation	Annually.

10 CFR Part 74 – Material Control and Accounting of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
74.6	<i>This section specifies that any communications, reports and applications submitted pursuant to 10 CFR 74 should be transmitted to the Director, NMSS</i>		
74.11(a)	Notification of loss, theft, or unlawful diversion of special nuclear material [or attempted theft or diversion]	NRC Operations Center (telephone no. 301-816-5100) via Emergency Notification System or, if ENS inoperative or unavailable, by commercial telephone service, or other dedicated telephonic system, or other method that will ensure that notification is received within 1 hour	Within 1 hour of discovering incident [the requirement to report within 1 hour does not pertain to measured quantities of SNM disposed of as discards or inventory difference quantities].
74.11(a)	Notification of unauthorized production of enriched uranium	NRC Operations Center (telephone no. (301-816-5100) via Emergency Notification System (ENS) or, if ENS inoperative or unavailable, by commercial telephone service, or other dedicated telephonic system, or other method that will ensure that notification is received within 1 hour	Within 1 hour of discovering incident [for centrifuge facilities the requirement to report enrichment levels greater than that authorized in the license within 1 hour does not apply to each cascade during the start-up process, not to exceed the first 24 hours].
74.13(a)(1)	DOE/NRC Form 742, "Material Balance Report" and, from nuclear reactor licensees defined in 50.21 and 50.22, DOE/NRC Form 742C, "Physical Inventory Listing"	In accordance with printed instructions accompanying forms	Semiannually, 30 days after each reporting period ending March 31 and September 30.

10 CFR Part 74 – Material Control and Accounting of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
74.13(a)(2)	<i>This section specifies that licensees subject to requirements of 75.35 will submit routine material status reports in accordance with that section instead of 74.13(a)(1)</i>		
74.13(b)	Report of excessive inventory difference	Director, NMSS	Within 30 days of starting each ending physical inventory required by 70.51(e)(3), if difference exceeds thresholds in 74.13(b)(1) and (2).
74.15(a)	DOE/NRC Form 741, "Nuclear Material Transaction Report" [from licensee transferring or receiving SNM in quantities of 1 gram or more of contained uranium-235, uranium-233, or plutonium]	In accordance with printed instructions accompanying forms	Upon transfer or receipt of SNM.
74.15(b)	DOE/NRC Form 741, "Nuclear Material Transaction Report" [from licensee receiving SNM from a foreign source in quantities of 1 gram or more of contained uranium-235, uranium-233, or plutonium]	In accordance with printed instructions accompanying forms	Upon receipt of SNM.
74.15(c)	<i>This section specifies that licensees subject to requirements of 75.34 will submit inventory change reports in accordance with that section instead of 74.15(a) and (b)</i>		
74.17(a)	NRC Form 327, "Special Nuclear Material Physical Inventory Summary Report" [from licensees authorized to produce, possess, or use SNM of low strategic significance]	Director, NMSS	No later than 60 days after starting physical inventory required by 74.31(c)(5) or 74.33(c)(4).
74.17(b)	NRC Form 327, "Special Nuclear Material Physical Inventory Summary Report" [from licensees subject to 70.51(e)]	Director, NMSS	No later than 30 days after starting physical inventory required by 70.51(e)(3).
74.17(c)	NRC Form 327, "Special Nuclear Material Physical Inventory Summary Report" [from licensees authorized to possess 5 or more formula kilograms of SSNM]	Director, NMSS	No later than 45 days after starting physical inventory required by 74.59(f).

10 CFR Part 74 – Material Control and Accounting of Special Nuclear Material

Section	Reporting Requirement	Distribution	Frequency
74.31(c)(5)	Report of excessive inventory difference [from licensees authorized to possess and use more than one effective kilogram of SNM of low strategic significance]	Director, NMSS per 74.6	Within 60 days of starting annual physical inventory.
74.33(b)(1)	Fundamental nuclear material control (FNMC) plan	Director, NMSS per 74.6	Condition of license.
74.33(c)(4)(iii)	Report of inability to resolve inventory difference [that is rejected by statistical test which has a 90 percent power of detecting a discrepancy in quantity of U ²³⁵ , established by NRC on site-specific basis]	Director, NMSS per 74.6	Within 60 days of the start of each static physical inventory.
74.57(c)	Notification of unresolved material control and accounting (MC&A) alarm	Licensing Branch, NMSS (by telephone) <i>Formerly, the Domestic Safeguards and Regional Oversight Branch, the regulations will be revised to reflect the organizational change.</i>	Within 24 hours of time period permitted for alarm resolution in fundamental nuclear material control plan, or next work day when holiday or weekend intervenes.
74.57(f)(2)	Notification of initiation of MC&A alarm resolution procedure [when abrupt loss detection estimate exceeds 5 formula kilograms of SSNM]	Licensing Branch, NMSS (by telephone) <i>see previous</i>	Within 24 hours of initiating alarm resolution procedure.
74.59(f)(1)(iii)	Report of excessive inventory difference for SSNM	Licensing Branch, NMSS <i>see previous</i>	At least every six months, 45 days after start of ending physical inventory.

10 CFR Part 75 – Safeguards on Nuclear Material – Implementation of US/IAEA Agreement

Section	Reporting Requirement	Distribution	Frequency
75.6	<i>This section identifies the information and reports submitted pursuant to 10 CFR 75 and specifies appropriate addressee for each communication</i>		
75.7	Request for confirmation of IAEA credentials	Director, NRR or Director, NMSS, per 75.6 (by telephone)	Immediately, after arrival of person claiming IAEA position if not accompanied by NRC employee and no previous confirmation established.
75.8	Facility Attachment or Transitional Facility Attachment <i>Refer to 75.11</i>		
75.11(a)	Installation Information, IAEA Form N-71, "Design Information Questionnaire"	Director, NRR or Director, NMSS, per 75.6(b)	As specified in Commission's written request, which will allow at least 45 days for licensee to respond.
75.11(c)	Revision to Installation Information	Director, NRR or Director, NMSS, per 75.6(b)	At least 70 days prior to scheduled completion of installation modification, can be shorter time frame in emergency with Commission approval.
75.14(a)	Supplemental information to IAEA Form N-71 data on: 1) organizational responsibility for material accounting and control, 2) health and safety rules to be observed by IAEA inspectors at installation	Director, NRR or Director, NMSS, per 75.6(b)	At same time information submitted under 75.11(a).
75.14(a)	Changes to Supplemental Information to IAEA Form N-71 data	Director, NRR or Director, NMSS, per 75.6(b)	Promptly, after making changes.

10 CFR Part 75 – Safeguards on Nuclear Material – Implementation of US/IAEA Agreement

Section	Reporting Requirement	Distribution	Frequency
75.31	Written additional information needed to clarify licensee reports with respect to any matter relevant to the IAEA Agreement	Addressee specified in the request for additional information	Within 20 days or such other time as may be specified by NRC.
75.32(b)	Initial inventory report, NRC/DOE Form 742, "Material Balance Report"	In accordance with printed instructions accompanying form	Within 20 days of initial inventory reporting date, which is last day of calendar month when notice given that initial inventory report is required.
75.33(a)	Accounting reports for IAEA material balance area <i>Refer to 75.34 and 75.35</i>		
75.34(a)	Inventory change report, DOE/NRC Form 741, "Nuclear Material Transaction Report" and when appropriate DOE/NRC Form 740M, "Concise Note"	In accordance with printed instructions accompanying forms	In accordance with printed instructions accompanying forms.
75.35(a)	Material status report, including DOE/NRC Form 742, "Material Balance Report", DOE/NRC Form 742C, "Physical Inventory Listing" and, when appropriate, DOE/NRC Form 740M, Concise Notes"	In accordance with printed instructions accompanying form	As soon as possible and no later than 30 days of starting physical inventory.
75.36(b)	Special report of occurrence of event described in license conditions, including: the possibility of loss of nuclear material in excess of specified limits and unexpected changes in containment to the extent that unauthorized removal of nuclear material has become possible	Regional Office, per 75.6(a), by telephone <u>and</u> by telegram, mailgram, or facsimile.	Immediately, upon discovering event described in license conditions.
75.43(b)	Advance written notice of proposed export shipment of nuclear material	Director, NRR or Director, NMSS, per 75.6(b)	At least 20 days prior to preparing material for shipment.
75.43(c)(1)	Advance written notice with respect to nuclear material of specified quantities which immediately prior to export is subject to safeguards under US/IAEA Agreement	Director, NRR or Director, NMSS, per 75.6(b)	At least 20 days prior to preparing material for shipment.

10 CFR Part 75 – Safeguards on Nuclear Material – Implementation of US/IAEA Agreement

Section	Reporting Requirement	Distribution	Frequency
75.43(c)(2)	Advance written notice of proposed shipment of nuclear material	Director, NRR or Director, NMSS, per 75.6(b)	At least 12 days prior to unpacking material at installation.
75.43(d)	Advance written notice of domestic transfer of nuclear material to non-eligible destination	Director, NRR or Director, NMSS, per 75.6(b)	At least 20 days prior to preparing material for shipment.
75.44(c)	Notification of delay in shipment or receipt of nuclear material	Director, NRR or Director, NMSS, per 75.6(b) by telephone.	As soon as possible after discovering delay.

10 CFR Part 95 – Security Facility Approval and Safeguarding of National Security Information and Restricted Data

Section	Reporting Requirement	Distribution	Frequency
95.9	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 95 should be transmitted to the Director, Division of Security, ADM unless otherwise specified in the regulations.</i>		
95.15(a)	Request for approval of security facility and security plan	Director, Division of Security, ADM per 95.9	Promptly after finding need to handle NSI or RD.
95.18(a)	Written description of proposed changes to facility security plan	Director, Division of Security, ADM and Regional Administrator	Prior to making change.
95.18(b)	Notification of minor change to facility security plan made without prior Commission approval [that does not decrease effectiveness of plan]	Director, Division of Security, ADM and Regional Administrator	Promptly after making change.
95.21	Notification of withdrawal or cancellation of security facility approval request	Director, Division of Security, ADM (by telephone)	Immediately after determination to withdraw or cancel request.
95.21	Written confirmation of withdrawal or cancellation of facility approval request	Director, Division of Security, ADM	Promptly after initial notification.
95.25(h)	Notification of finding unattended security container [housing classified matter] unlocked	Responsible custodian or designated alternate	Immediately.
95.25(h)	Report of finding unattended security container [housing classified matter] unlocked and corrective actions taken	Regional Office and Director, Division of Security, ADM	After completing corrective actions.
95.45(a)	Request for downgrading or declassifying National Security Information or Restricted Data	Director, Division of Security, ADM	After documents eligible for downgrading or declassifying pursuant to NRC classification guides or as determined by Commission.

10 CFR Part 95 – Security Facility Approval and Safeguarding of National Security Information and Restricted Data

Section	Reporting Requirement	Distribution	Frequency
95.53(a)	Certificate of nonpossession of National Security Information or Restricted Data	Director, Division of Security, ADM	After relinquishing or destroying all NSI or RD.
95.53(b)	Certificate of nonpossession of National Security Information or Restricted Data with all classified documents and materials in possession of licensee [after facility approval terminated based on determination that further possession of classified materials not in best interest of the national security]	Director, Division of Security, ADM per 95.9	Immediately after given notice that possession of classified material not in national interest.
95.57(a)	Report of alleged or suspected violation of the Atomic Energy Act, Espionage Act, or other Federal statutes related to National Security Information or Restricted Data.	Regional Administrator	Immediately after discovering alleged or suspected violation.
95.57(b)	Report of infraction, loss, compromise, or possible compromise of National Security Information or Restricted Data or other classified documents [for incidents not falling under 95.57(a)]	Regional Administrator	Immediately after discovering incident.
95.57(c)	NRC Form 790, "Classification Record" [a form is completed whenever a document containing National Security Information and/or Restricted Data is generated, has changed classification, or has been declassified]	Director, Division of Security, ADM	Monthly, to include all forms generated during the month.

10 CFR Part 100 – Reactor Site Criteria

Section	Reporting Requirement	Distribution	Frequency
100 App.A V.(a)(2)	Information to demonstrate no functional damage occurred to safety features after vibratory ground motion exceeded operating basis earthquake	Document Control Desk, Regional Office, and Resident Inspector	Prior to resuming operations.

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10 CFR Part 110 – Export and Import of Nuclear Equipment and Material

Section	Reporting Requirement	Distribution	Frequency
110.4	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 110 should be transmitted to the Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP (formerly the Assistant Director, for Exports, Security, and Safety Cooperation) unless otherwise specified in the regulations.</i>		
110.7a(b)	Notification of information having a significant implication for public health or safety or common defense and security	Regional Administrator	Within 2 working days of identifying information.
110.26(c)	Report of exported nuclear reactor components	Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP <i>Formerly, the Assistant Director for Exports, Security and Safety Cooperation, IP</i>	Annually, by February 1 for preceding calendar year.
110.27(c)	Advance written notice of import of SNM <i>Refer to 73.27</i>		
110.43(b)(1) <i>Effective 03/09/93</i>	Written assurances from countries receiving quantities of nuclear material that they will maintain physical security measures at least comparable to the recommendations set forth in INFCIRC/225, Revision 2	Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP per 110.4 see <i>previous</i>	Condition for NRC's determination that a recipient country has adequate security measures to protect nuclear material. Determinations are made on a country-wide basis and subject to continuing review.
110.50(a)(7)	Notification of violation or potential violation of packaging requirements of 10 CFR 71	Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP per 110.4 see <i>previous</i>	Promptly after discovering violation or potential violation.

10 CFR Part 110 – Export and Import of Nuclear Equipment and Material

Section	Reporting Requirement	Distribution	Frequency
110.50(b)(3)	Advance written notice of intent to export Australian or Canadian origin nuclear material or equipment	Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP per 110.4 see <i>previous</i>	At least 40 days prior to exporting material or equipment.
110.52(b)	Additional information to determine whether license should be modified, suspended, or revoked	Director, Division of Nonproliferation, Exports, and Multilateral Relations, IP per 110.4 see <i>previous</i>	At request of Commission.

10 CFR Part 140 – Financial Protection Requirements and Indemnity Agreements

Section	Reporting Requirement	Distribution	Frequency
140.5	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 140 should be transmitted to the Director, NRR or Director, NMSS, as appropriate, unless otherwise specified in the regulations.</i>		
140.6(a)	Report of bodily injury or property damage arising from possession or use of radioactive material	Director, NRR or Director, NMSS	Promptly as soon as practicable after discovering event.
140.7(b)	Notice of maximum number of reactors operating at manufacturer's location at one time	Director, NRR or Director, NMSS per 140.5	Annually, for the period beginning with effective date of indemnity agreement.
140.7(b)	Notice of additional reactors operating at manufacturer's location	Director, NRR or Director, NMSS per 140.5	After number of operating reactors exceeds maximum number initially reported.
140.13	Proof of financial protection of \$1 million [from holders of construction permits under 10 CFR 50 and 10 CFR 70 licensees]	Director, NRR or Director, NMSS per 140.5	Prior to issuance of license.
140.13a(a)	Proof of financial protection of \$200 million [for plutonium processing and fuel fabrication plants]	Director, NRR or Director, NMSS per 140.5	Prior to issuance of license.
140.13b	Proof of liability insurance [for uranium enrichment facilities]	Director, NMSS per 140.5	Prior to issuance of license.
140.15(a)(1)	Proof of financial protection [consisting of a copy of the liability policy or policies certified by the insurer] from licensees maintaining financial protection in form of liability insurance	Director, NRR or Director, NMSS per 140.5	At issuance of license and annually on anniversary of effective date of indemnity agreement.

10 CFR Part 140 – Financial Protection Requirements and Indemnity Agreements

Section	Reporting Requirement	Distribution	Frequency
140.15(b)(1)	Proof of financial protection [consisting of annual financial statements for three calendar or fiscal years preceding the date of filing together with an opinion by a CPA] from licensees using own resources to maintain financial protection	Director, NRR or Director, NMSS per 140.5	Annually.
140.15(c)	Additional proof of financial protection or other financial information to allow Commission to determine whether sufficient financial protection is being maintained pursuant to 10 CFR 140	Director, NRR or Director, NMSS per 140.5	At request of Commission.
140.15(e)	Notification of material change in proof of financial protection or in other financial information	Director, NRR or Director, NMSS per 140.5	Promptly after change occurs.
140.17(a)	Proof that insurers are legally authorized to issue liability policies	Director, NRR or Director, NMSS per 140.5	At request of Commission.
140.17(b)	Notification of renewal of liability insurance policy or filing of other proof of financial protection	Director, NRR or Director, NMSS per 140.5	At least 30 days prior to termination of policy.
140.20(c)	Financial statements [from licensees not paying retrospective premium assessment by insurance pool]	Director, NRR or Director, NMSS per 140.5	Immediately upon Commission direction, after indication of nonpayment by licensee.
140.20(c)	Subsequent submission of financial statements [from licensees not paying retrospective premium assessment by insurance pool]	Director, NRR or Director, NMSS per 140.5	At request of Commission.
140.21	Evidence of guarantee of payment of deferred premiums	Director, NRR or Director, NMSS per 140.5	Annually after issuance of license on anniversary of date that indemnity agreement is effective.

10 CFR Part 150 – Exemptions and Continued Regulatory Authority in Agreement States and in Offshore Water Under Section 274

Section	Reporting Requirement	Distribution	Frequency
150.4	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 150 should be transmitted to the Executive Director for Operations unless otherwise specified in the regulations.</i>		
150.16(a)	NRC Form 741, "Nuclear Material Transaction Report" [from Agreement State licensees]	In accordance with printed instructions accompanying form.	Within 10 days after receiving or transferring SNM.
150.16(b)(1)	Initial notification of theft or unlawful diversion, or attempted theft or diversion, of special nuclear material [from Agreement State licensee]	Regional Administrator (by telephone)	Immediately after theft or diversion or attempted threat or diversion occurs.
150.16(b)(2)	Written report of theft or unlawful diversion, or attempted theft or diversion, of special nuclear material [from Agreement State licensee]	Regional Office and Director, NMSS	Within 15 days of initial notification.
150.16(b)(3)	Written report of additional substantive information concerning a theft or unlawful diversion, or attempted theft or diversion, of special nuclear material [from Agreement State licensee]	Regional Administrator	Promptly after information becomes available.
150.17(a)	DOE/NRC Form 741, "Nuclear Material Transaction Report" [from Agreement State licensee]	In accordance with printed instructions accompanying form.	In accordance with printed instructions accompanying form.
150.17(b)	Statement of foreign origin source material inventory [from Agreement State licensee]	In accordance with printed instructions accompanying form.	Annually, within 30 days after Sep. 30.
150.17(c)	Initial notification of attempted theft or unlawful diversion of more than 15 pounds of uranium or thorium [from Agreement State licensee]	Regional Office (by telephone and telegraph, mailgram, or facsimile)	Promptly after discovering attempt.

10 CFR Part 150 – Exemptions and Continued Regulatory Authority in Agreement States and in Offshore Water Under Section 274

Section	Reporting Requirement	Distribution	Frequency
150.17(c)	Written report of attempted theft or unlawful diversion of more than 15 pounds of uranium or thorium [from Agreement State licensee]	Regional Office and Division of Fuel Cycle Safety and Safeguards, NMSS <i>Formerly, Division of Safeguards and Transportation, the regulations will be revised to reflect the organizational change.</i>	Within 15 days of initial notification.
150.17(c)	Written report of additional substantive information concerning an attempted theft or unlawful diversion of more than 15 pounds of uranium or thorium [from Agreement State licensee]	Regional Office	Promptly after information becomes available.
150.17a(c)	Notification of intent to receive source material [from applicant for Agreement State License authorizing possession of more than 1 effective kilogram of source material]	EDO per 150.4	At least 9 months prior to receiving SNM.
150.17a(d)	Installation Information <i>Refer to 75.11</i>		
150.19(c)	Initial notification of attempted theft or unlawful diversion of more than 10 curies of tritium at one time or 100 curies in one calendar year [from Agreement State licensee]	Regional Office (by telephone <u>and</u> telegraph, mailgram, or facsimile)	Promptly after discovering attempt.
150.19(c)	Written report of attempted theft or unlawful diversion of more than 10 curies of tritium at one time or 100 curies in one calendar year [from Agreement State licensee]	Regional Office and Director, NMSS	Within 15 days of initial notification.
150.19(c)	Written report of additional substantive information concerning attempted theft or unlawful diversion of more than 10 curies of tritium at one time or 100 curies in one calendar year [from Agreement State licensee]	Regional Office	Promptly after information becomes available.

10 CFR Part 150 – Exemptions and Continued Regulatory Authority in Agreement States and in Offshore Water Under Section 274

Section	Reporting Requirement	Distribution	Frequency
150.20(b)(1)	NRC Form 241 (revised), "Report of Proposed Activities in Non-Agreement States" and copy of Agreement State-specific license	Regional Administrator	At least 3 days before engaging in licensed activity in non-Agreement State.
150.20(b)(1)	Notification of intent to conduct licensed activities in non-Agreement State [from Agreement State licensee]	Regional Administrator (by telephone)	Prior to engaging in licensed activity, NRC Form 241 and Agreement State-specific license required within 3 days of telephone notification.
150.20(c)(1)	Notification of intent to engage in activities authorized under general license in offshore waters [from Agreement State licensee]	Agreement State issuing specific license to licensee	At least 3 days prior to engaging in licensed activity in offshore waters.

3 Recordkeeping Requirements in Title 10, Code of Federal Regulations, Chapter I

NRC requirements to record and keep information are listed by part number and title in this section. Each recordkeeping requirement is briefly described. The number of the section in which each requirement appears is given in addition to how long the licensee should retain the record.

10 CFR Part 11 – Criteria and Procedures for Determining Eligibility for Access to or Control Over Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
11.9	Documentation related to request, notification, and processing of exemption from requirements of 10 CFR 11	3 years after period covered by exemption.
11.13(b)	Record of individuals assigned to shipment of special nuclear material	3 years after last shipment.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Recordkeeping Requirement	Retention Period
20.1101(a)	Radiation protection program records <i>Refer to 20.2102</i>	
20.1206(b)	Written authorization of planned special exposure made by licensee and employer [if employer is not the licensee]	Until termination of license.
20.1206(f)	Record of planned special exposure to radiation <i>Refer to 20.2105</i>	
20.1206(g)	Licensee's best estimate of dose resulting from planned special exposure to radiation [recorded in individual's record]	Until termination of license.
20.1208(a)	Record of radiation dose to embryo/fetus caused by occupational exposure of declared pregnant woman <i>Refer to 20.2106(e)</i>	
20.1302(a)	Surveys of radiation levels in unrestricted and controlled areas and radioactive materials in effluents released to unrestricted and controlled areas conducted to demonstrate compliance with 20.1301 <i>Refer to 20.1501(a) and 20.2103(b)</i>	
20.1501(a)	Record of results of radiation surveys <i>Refer to 20.2103(a)</i>	
20.1502	Record of individual monitoring of external and internal occupational dose <i>Refer to 20.2106(a)</i>	
20.1603(a)(9)	Record of entry control device testing <i>Refer to 20.2109</i>	
20.1703(a)(3)(iv)	Written procedures for selection, fitting, issuance, maintenance, and testing respirators	Until termination of license.
20.1703(a)(4)	Written policy statement on respirator usage	Until termination of license.

***Regulations 20.1001 through 20.2401 were effective June 20, 1991.
Compliance was mandatory after January 1, 1994.**

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Recordkeeping Requirement	Retention Period
20.1905(e)	Written record of contents of containers holding licensed material that do not require labeling [when containers are accessible only to individuals authorized to handle or use them, or to work in vicinity of containers]	During use of container for purpose indicated on record.
20.1906(e)(1)	Written safety procedures for opening packages of radioactive material	Until termination of license.
20.2005(c)	Record of disposal of specific licensed material as though non-radioactive <i>Refer to 20.2108(a)</i>	
20.2102(a)(1)	Radiation protection program records: provisions of protection program	Until termination of license.
20.2102(a)(2)	Radiation protection program records: audits and reviews of protection program content and implementation	3 years.
20.2103(a)	Records of radiation surveys and instrument calibrations made pursuant to 20.1501 and 20.1906(b)	3 years.
20.2103(b)(1)	Records of results of radiation surveys to determine dose from external sources [used in absence of or in combination with individual monitoring data in assessment of individual dose equivalents]	Until termination of license.
20.2103(b)(2)	Records of results of measurements and calculations used to determine individual intakes of radioactive material and used in assessment of internal dose	Until termination of license.
20.2103(b)(3)	Records of results of air sampling, surveys, and bioassays made pursuant to 20.1703(a)(3)(i) and (ii)	Until termination of license.
20.2103(b)(4)	Records of results of measurements and calculations of radioactive effluent releases	Until termination of license.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Recordkeeping Requirement	Retention Period
20.2104(c)(1)	Record of individual's occupational dose received during current year: recorded in written statement disclosing nature and amount of any occupational dose that individual may have received during current year [signed by individual or individual's most recent employer for work involving radiation exposure]	3 years.
20.2104(c)(2)	Record of lifetime cumulative radiation dose: current NRC Form 4, "Occupational External Radiation Exposure History" or form's equivalent [signed by individual and appropriate official of most recent employer for work involving radiation exposure or from current employer if individual not employed by licensee]	Until termination of license.
20.2104(c)(3)	Reports of individual's dose equivalents from most recent employer for work involving radiation exposure or from current employer if individual not employed by licensee [by telephone, telegram, electronic media, or letter]	3 years.
20.2104(c)(3)	Written verification of individual's dose data from most recent employer [if authenticity of transmitted report cannot be established]	3 years.
20.2104(d) <i>Revised reqmts. effective 12/08/92</i>	Record of cumulative occupational radiation dose on current NRC Form 4, "Occupational External Radiation Exposure History" or other clear and legible record, including all the information required by NRC Form 4 [prepared by licensee and signed by individual receiving exposure]	Until termination of license.
20.2104(f)	Records used to prepare cumulative occupational radiation dose on current NRC Form 4, "Occupational External Radiation Exposure History" or form's equivalent	3 years after the record is made.
20.2105(b)	Record of planned special exposure to radiation	Until termination of license.
20.2106(a)	Records of individual monitoring results made pursuant to 20.1502 and records of doses received during planned special exposures, accidents, and emergency conditions [entered annually on NRC Form 5, "Current Occupational External Radiation Exposure" or its equivalent]	Until termination of license.

*Regulations 20.1001 through 20.2401 were effective June 20, 1991. Compliance was mandatory after January 1, 1994.

10 CFR Part 20 – Standards for Protection Against Radiation*

Section	Recordkeeping Requirement	Retention Period
20.2106(e)	Records of radiation dose to embryo/fetus maintained with records of occupational dose to declared pregnant women [declaration of pregnancy can be maintained separately from dose records]	Until termination of license.
20.2107(a)	Record of compliance with dose limit for individual members of public in accordance with 20.1301	Until termination of license.
20.2108(a)	Records of disposal of licensed material pursuant to 20.2002, 20.2003, 20.2004, 20.2005, 10 CFR 61 and disposal by burial in soil	Until termination of license.
20.2109(a)	Record of entry control device testing for very high radiation areas	3 years.
20 App.F III.A.7	Copy of shipment manifest and documentation of acknowledgement of receipt for radioactive waste transferred to: land disposal facility, waste collector, or waste processor [retained by generator of waste]	As specified in 10 CFR 30, 40, and 70.
20 App.F III.B.5	Copy of shipment manifest and documentation of acknowledgement of receipt for <u>consolidated</u> radioactive waste shipments transferred to land disposal facility [retained by waste collector consolidating shipments]	As specified in 10 CFR 30, 40, and 70.
20 App.F III.B.5 <i>Revised rqmts. effective 12/08/92</i>	Information from waste generator's shipment manifests [retained by waste collector consolidating shipments]	Until termination of license.
20 App.F III.C.8	Copies of original shipment manifests prepared by waste generator, new manifests prepared by waste processor, and documentation of acknowledgement of receipt for radioactive waste shipments transferred to land disposal facility or waste collector [retained by waste processor]	As specified in 10 CFR 30, 40, and 70.
20 App.F III.D.2 <i>Revised rqmts. effective 12/08/92</i>	Copies of all completed shipment manifests or equivalent documentation for radioactive waste shipments transferred from waste generator, waste collector, or waste processor [retained by land disposal facility operator]	Until termination of license

10 CFR Part 21 – Reporting of Defects and Noncompliance

Section	Recordkeeping Requirement	Retention Period
21.21(a)(1)	Procedures to:	Current procedures, until termination of license.
(2)	- Evaluate deviations and failures to comply in order to identify defects and failures to comply associated with substantial safety hazards as soon as practicable	
(3)	- Ensure that an interim report is prepared and submitted to NRC if evaluation of identified deviation or failure to comply cannot be completed within 60 days	
	- Ensure that a director or responsible officer subject to 10 CFR 21 is informed as soon as practicable and in all cases within 5 working days after completing evaluation, if conditions in 21.21(a)(3)(i) or (ii) are met	
21.51(a)(1)	Evaluations of deviations and failures to comply with 10 CFR Part 21	5 years after date of evaluation.
21.51(a)(2)	Notifications to purchasers and affected licensees that supplier is unable to complete substantial safety hazard evaluation [retained by suppliers of basic components]	5 years after date of notification.
21.51(a)(3)	Record of purchasers of basic component [retained by suppliers of basic components]	10 years after delivering basic component or services associated with basic component.
21.51(b)	Records pertaining to basic components that relate to discovery, evaluation, and reporting of deviations, failures to comply and defects, including advice given to purchasers or licensees on placement, erection, installation, operation, maintenance, modification, or inspection of a basic component	10 years.

10 CFR Part 25 – Access Authorization for Licensee Personnel

Section	Recordkeeping Requirement	Retention Period
25.11	Documentation related to request, notification, and processing of exemption from requirements of 10 CFR 25	3 years after end of period covered by exemption.
25.23	Record of access authorization grant and renewal notification	3 years after termination of authorization by the NRC Division of Security.
25.35	Record of visits involving access to classified information	3 years following expiration date of visit authorization.

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26.20	Written policy and procedures to meet performance objectives of 10 CFR 26	Current versions, until termination of license. Superseded material, 3 years.
26.21(b)	Record of individual's awareness training concerning fitness-for-duty program	3 years.
26.22(c)	Record of supervisors' and escorts' training concerning fitness-for-duty program	3 years.
26.23(a)	Written agreement between licensee and contractors or vendors assuring adherence to a fitness-for-duty program meeting requirements of 10 CFR 26	Life of contract.
26.23(b)	Audit of contractor's fitness-for-duty program <i>Refer to 26.80</i>	
26.24(d)	Documentation of training and skills of licensee staff conducting initial aliquot screening tests prior to forwarding selected specimens to HHS-certified laboratory	Until termination of license per 26.29(a)
26.24(d)	Quality control procedures for initial screening tests conducted by licensee-operated testing facility <i>Refer to 26 Appendix A Subpart B 2.8(b)</i>	
26.27(a)(3) <i>Revised rqmts. effective 11/30/93</i>	Record of inquiries that establish that in the past an individual: tested positive for drugs or use of alcohol that resulted in on-duty impairment; was subject to a plan for treating substance abuse; or was removed from activities within the scope of 10 CFR 26 or was denied access to a protected area	Until termination of license per 26.71(c).
26.27(b)(2)	Plans for treatment, followup and future employment, and any rehabilitation program deemed appropriate [after individual's first confirmed positive test]	5 years.
26.27(c)	Record of individual's refusal to provide specimen for testing and resignation [recorded as removal for cause]	Until termination of license per 26.71(c).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26.28	Procedures for employee appeal of positive alcohol or drug test determination	Current procedures, until termination of license. Superseded material, 3 years per 26.20.
26.29(a)	System of files and procedures to protect personal information collected in accordance with 10 CFR 26	Until termination of license.
26.71(a)	Record of inquiries pursuant to 26.27(a) that result in granting unescorted access to protected areas	5 years after termination of access authorization.
26.71(b)	Record of confirmed positive test results [concurrent in by Medical Review Officer] and related personnel actions	5 years.
26.71(c)	Record of persons made ineligible for 3 years or longer for assignment to licensed activities pursuant to 26.27(b)(2), (3), (4), or (c)	Until termination of license.
26.71(d)	Fitness-for-duty program performance data and analysis [compiled on standard form]	3 years.
26.80(a)	Documented results of annual audit of licensee, contractor or vendor fitness-for-duty programs [reported to senior corporate and site management]	3 years.
26.80(c)	Documented resolution of annual audit findings and corrective actions implemented	3 years.
26 App.A Subpart B 2.2(a)	Chain-of-custody form data: Identity of employee, information regarding specimen collection process, and transfers of custody of specimen <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.2(d)(3)	Written instructions for collection of specimens by collection site personnel	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.2(d)(3)	Written instructions provided to individuals subject to drug testing stating their responsibilities	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(d)	Chain-of-custody form data <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)	Record book data: Identity of individual who gave specimen <i>Permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(4)	Test subject's signed consent-to-test form and list of prescription medications and over-the-counter preparations used in last 30 days	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(9)	Permanent record book data: Note of test subject's unusual behavior or appearance <i>Permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(9)	Chain-of-custody form data: Note of test subject's unusual behavior or appearance <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(15)	Permanent record book data: Unusual findings made by site collection person after inspecting urine specimen for contamination <i>Permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.4(g)(22)	Identification label placed on specimen container by collection site person	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(23)(i)	Chain-of-custody form <u>or</u> permanent record book data: Test subject's signed statement certifying specimen was collected from him or her <i>Chain-of-custody forms and permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(24)	Permanent record book data: Information identifying specimens and signature of site collection person <i>Permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(g)(26)	Chain-of-custody form data: Information necessary to complete custody form for aliquot and split sample, if taken, and collection site person's certification of proper completion of specimen collection <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(h)	Chain-of-custody form data: Documentation of date and purpose when specimen is handled or transferred at collection site and identification of all individuals in chain of custody <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(i)	Tapes sealing specimen shipping containers signed and dated by site collection personnel [to transfer specimens to drug testing laboratory or licensee testing facility]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.4(j)	Chain-of-custody form <u>and</u> permanent record book data: Note of individual's refusal to cooperate with urine collection or breath analysis process <i>Chain-of-custody forms and permanent record book referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.5(a)(2)	Documentation of manager's scientific qualifications in analytical forensic toxicology [required of HHS-certified laboratories]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.5(a)(4)	Documentation of inservice training, work performance, and skills of laboratory personnel [required of HHS-certified laboratories]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.5(a)(5)	Procedures manual for drug testing facility [required of HHS-certified laboratories] <i>Refer to 26 Appendix A Subpart B 2.7(o)</i>	
26 App.A Subpart B 2.5(a)(6)	Quality assurance program for drug testing facility [required of HHS-certified laboratories] <i>Refer to 26 Appendix A Subpart B 2.8</i>	
26 App.A Subpart B 2.5(f)	Laboratory personnel files [required of HHS-certified laboratories]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.6(c)	Licensee-operated testing facility personnel files	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(a)(1)	Log of visitors and maintenance and service personnel accessing secured areas of HHS-certified laboratory or licensee-operated testing facility	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(a)(2)	Chain-of-custody form data: Documentation of date and purpose when specimen is handled or transferred at laboratory or testing facility and identification of all individuals in chain of custody <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.7(b)(1)	Chain-of-custody form data: Note of tampering with test specimens or discrepancies in chain-of-custody documentation attached to shipment [by HHS-certified laboratory] <i>Chain-of-custody forms referenced numerous times throughout 26 Appendix A Subpart B</i>	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(g)(7)	Quantitative results of all samples tested by HHS-certified laboratory or licensee-operated testing facility [made available to NRC or licensee upon request]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(g)(8)	Records related to a given urine or blood specimen [retained by HHS-certified laboratory or licensee-operated testing facility]	For a minimum of 2 years.
26 App.A Subpart B 2.7(j)	Quantitative results of second testing of split samples conducted after confirmed positive test results and individual's request for retesting [made by HHS-certified laboratory or licensee-operated testing facility and made available to Medical Review Officer and individual tested]	For a minimum of 2 years per 26 Appendix A Subpart B 2.7(g)(8).
26 App.A Subpart B 2.7(m)	Pre-award evaluation of procedural aspects of HHS-certified laboratory drug testing operation [conducted by licensee]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(n)	<i>This section specifies that HHS-certified laboratories and licensee-operated testing facilities will retain documentation of all aspects of testing process for 2 years unless otherwise directed in writing by NRC or licensee for whom services are being provided</i>	
26 App.A Subpart B 2.7(o)(1)	Procedures manual for drug testing facility [required by HHS-certified laboratory or licensee-operated testing facility]	Current manual, for at least 2 years per 26 App.A Subpart B 2.7(n) and 3 years for superseded material per Subpart B 2.7(o)(1).
26 App.A Subpart B 2.7(o)(3)(iii)	Written procedures for instrument set-up and normal operation, schedules for checking critical operating characteristics of all instruments, tolerance limits for acceptable function checks, and instructions for major troubleshooting and repair	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.7(o)(3)(iii)	Records of preventive maintenance for drug testing instruments and equipment [retained by HHS-certified laboratory or licensee-operated testing facility]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(o)(4)	Written procedures for remedial actions to be taken when systems are out of acceptable limits or errors are detected [retained by HHS-certified laboratory or licensee-operated testing facility]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.7(o)(4)	Documentation of remedial actions taken when systems are out of acceptable limits or errors are detected [retained by HHS-certified laboratory or licensee-operated testing facility]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.8(b)	Quality control procedures for initial testing of specimens [at licensee-operated testing facility]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.8(c)	Quality control procedures for initial testing of specimens [at HHS-certified laboratory]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.8(d)	Quality control procedures for confirmation testing [at HHS-certified laboratory]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.8(e)	Licensee blind performance test procedures	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.8(e)(4)	Record of investigation of unsatisfactory performance test results and corrective action taken by laboratory [signed and dated by individuals responsible for day-to-day management of HHS-certified laboratory]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 26 – Fitness for Duty Programs

Section	Recordkeeping Requirement	Retention Period
26 App.A Subpart B 2.8(e)(6)	Signed statement documenting retesting of all specimens analyzed positive for that drug or metabolite from time of final resolution of false positive error back to time of last satisfactory performance test cycle [signed by individual responsible for day-to-day management of substance testing program]	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.9(a)	Final review of positive test results by Medical Review Officer	For at least 2 years per 26 Appendix A Subpart B 2.7(n).
26 App.A Subpart B 2.9(g)	Records summarizing negative findings based on scientific insufficiency determined by Medical Review Officer	For at least 2 years per 26 Appendix A Subpart B 2.7(n).

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
30.34(g)	Record of test results of generator eluates for traces of molybdenum-99	3 years.
30.35(g)(1)	Records of spills or other unusual occurrences involving spread of contamination in and around a facility, equipment, or site	Until termination of license.
30.35(g)(2)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials are used and/or stored, and of locations of possible inaccessible contamination	Until termination of license.
30.35(g)(3)	List [contained in a single document and updated every 2 years] of:	Until termination of license per 30.51(b).
(i)	- All areas designated and formerly designated as restricted areas as defined under 20.1003	
(ii)	- All areas outside of restricted areas that require documentation under 30.35(g)(1)	
(iii)	- All areas outside of restricted areas where current and previous wastes have been buried as documented under 20.2108	
(iv)	- All areas outside of restricted areas which contain material that, if the license expired, the licensee would be required to either decontaminate the area to unrestricted release levels or apply for approval for disposal under 20.2002	
Effective 10/25/93		
30.35(g)(4)	Records of cost estimate performed for decommissioning funding plan or of amount certified for decommissioning and records of funding method used for assuring funds if either a funding plan or certification is used	Until termination of license.
30.51(a)(1)	Record of receipt of byproduct material	3 years after transferring or disposing of material.
30.51(a)(2)	Record of transfer of byproduct material	3 years after transferring material unless another section of regulations specify different retention requirements.
30.51(a)(3)	Record of disposal of byproduct material	Until termination of license.

10 CFR Part 30 – Rules of General Applicability to Domestic Licensing of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
30.51(b)	<i>This section specifies that records required by the regulations in 10 CFR Parts 30 through 36 must be retained until the termination of the licensed activity unless the regulations or license conditions specify otherwise</i>	

10 CFR Part 31 – General Domestic Licenses for Byproduct Material

Section	Recordkeeping Requirement	Retention Period
31.2	<i>This section specifies that general licenses provided in this part are subject to the provisions (including recordkeeping requirements) of sections 30.14(d), 30.34(a) to (e), 30.41, 30.50 to 30.63 and parts 19, 20, and 21, unless otherwise indicated in the language of the license.</i>	
31.5(c)(4)(i)	Record of test results for leakage of radioactive material from measuring, gauging, or controlling devices	3 years after performing next required leak test or until transferring or disposing of sealed source.
31.5(c)(4)(iii)	Record of testing, installing, servicing, and removing from an installation radioactive material and its shielding or containment	3 years after date of recorded event or until transferring or disposing of device.

10 CFR Part 32 – Specific Domestic Licenses to Manufacture or Transfer Certain Items Containing Byproduct Material

Section	Recordkeeping Requirement	Retention Period
32.12(a)	Records of transfer of material [maintained by holders of specific licenses authorizing the introduction of byproduct material into a product or material]	1 year after reporting transfer.
32.16(a)	Records of transfer of material [maintained by holders of specific licenses issued pursuant to 32.14 or 32.17]	1 year after reporting transfer.
32.20(a)	Records of transfer of material [maintained by holders of specific licenses to manufacture, process, produce, package, repackage, or transfer quantities of byproduct material for commercial distribution]	1 year after reporting transfer.
32.25(c)	Records of transfer of material [maintained by holders of specific licenses to manufacture, process, or produce self luminous products containing tritium, krypton-85, or promethium-147, or to initially transfer such products]	1 year after reporting transfer.
32.29(c)	Records of transfer of material [maintained by holders of specific licenses to manufacture, process, or produce gas or aerosol detectors containing byproduct material and designed to protect life or property from fires and airborne hazards or to initially transfer such products]	1 year after reporting transfer.
32.52(c)	Records of transfer of material [maintained by holders of specific licenses to manufacture or initially transfer measuring, gauging, or controlling devices containing byproduct material to persons generally licensed under 31.5 or equivalent Agreement State regulations]	5 years after date of transfer.

10 CFR Part 34 – Licenses for Radiography and Radiation Safety Requirements for Radiographic Operations

Section	Recordkeeping Requirement	Retention Period
34.24	Record of instrument calibration results [calibrations are performed after intervals not to exceed 3 months and after each instrument servicing]	3 years after date of calibration.
34.25(c)	Record of sealed source leak test results [tests are performed at intervals not to exceed 6 months or, after transfer of sealed source, prior to being put in use if the transferor does not provide certificate that test was performed in 6 months prior to transfer]	3 years after test.
34.26	Records of quarterly physical inventory of sealed sources received or possessed	3 years after date of inventory.
34.27	Current logs recording the utilization of radiographic exposure devices and storage containers in which sealed sources are located	3 years after recorded event.
34.28(b)	Record of inspection and maintenance of radiographic exposure devices, storage containers, and source changers [the program for inspection and maintenance is conducted at intervals not to exceed 3 months or prior to the first use thereafter to ensure proper functioning of components important to safety]	3 years.
34.29(c)	Record of alarm system for permanent radiographic installations having high radiation area entrance controls of the types described in 20.203(c)(2)(ii), (2)(iii), or (4) [tests are performed at intervals not to exceed 3 months or prior to the first use thereafter of the source in the installation]	3 years.
34.31(c)	Training records for radiographers and radiographer's assistants [including copies of written tests and dates of oral tests and field examinations]	3 years.
34.32	Current operating and emergency procedures for radiographers and radiographer's assistants	Until termination of license. Superseded material, 3 years after each change.
34.33(b)	Record of daily radiation exposures read from pocket dosimeters	3 years.
34.33(e)	Reports from film badge or TLD processor [of an individual whose pocket dosimeter discharged beyond its range]	Until termination of license.

10 CFR Part 34 – Licenses for Radiography and Radiation Safety Requirements for Radiographic Operations

Section	Recordkeeping Requirement	Retention Period
34.43(d)	Record of radiation survey made when a radiographic exposure device is placed in a storage area to determine that the sealed source is in a shielded position [when that survey is the last survey performed in a work day]	3 years.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.20(a)	Written radiation protection program [including provisions for keeping doses ALARA]	Until termination of licensed activity, per 30.51(b).
35.20(c)	Summary of types and amounts of byproduct material used, occupational doses, changes in radiation safety procedures, and safety measures	Until termination of licensed activity, per 30.51(b).
35.21(b)(2)	Radiation Safety Officer's written policy and procedures for implementing radiation safety program [collected in one binder or file]	Until termination of licensed activity, per 30.51(b).
35.21(b)(2)(xi)	<p>Copies of:</p> <ul style="list-style-type: none"> - Records and reports required by NRC regulation - Title 10 Code of Federal Regulation - Licensing requests - Licenses and amendment to licenses - Written policy and procedures required by NRC regulation <p><i>Retained in binder or file required by 35.21(b)(2)</i></p>	
35.21(b)(6)	<p>Minor changes to radiation safety procedures not potentially important to safety</p> <p><i>Refer to 35.31(b)</i></p>	
35.22(a)(5)	Minutes of Radiation Safety Committee meetings	Until termination of license.
35.22(b)(4)	Quarterly summary of occupational radiation dose records of personnel working with byproduct material	Until termination of licensed activity, per 30.51(b).
35.22(b)(4)	<p>Occupational radiation dose records of personnel working with byproduct material</p> <p><i>Refer to 10 CFR 20</i></p>	
35.23(b)	Written statement of authorities, duties, responsibilities, and Radiation Safety activities of Radiation Safety Officer and, at a medical institution, a Radiation Safety Committee	Current edition of statements, until termination of license.
35.25(a)(1)	<p>Written quality management program</p> <p><i>Refer to 35.32(a)</i></p>	

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.25(a)(2)	Written radiation safety and quality management procedures <i>Refer to 35.32(a)</i>	
35.25(a)(3)	Records of a supervised individual's use of byproduct material	Until termination of licensed activity, per 30.51(b).
35.27(a)(1)	Written permission for visiting authorized user to make medical use of licensed material [from licensee management]	3 years after visiting user's last use or sooner if user listed as authorized user on license.
35.27(a)(2)	Copies of: <ul style="list-style-type: none"> - License issued by NRC or an Agreement State, or - Permit issued by NRC or Agreement State broad licensee that is authorized to permit medical use, that identifies visiting authorized user by name as an authorized user for medical use 	3 years after visiting user's last use or sooner if user listed as authorized user on license.
35.29(b)	Written authorization for mobile nuclear medicine service licensee to use byproduct material at client's address [signed by client's management]	3 years after last provision of service to client.
35.31(b)	Record of minor changes to radiation safety procedures not potentially important to safety	Until license renewed or terminated.
35.32(a)	Written quality management program [including written policies and procedures]	Until termination of licensed activity, per 30.51(b).
35.32(a)(1)	Written directive for administration of radiation dose or radiopharmaceutical dosage	3 years.
35.32(a)(1) Footnote 1 1st par.	Record of oral revision to written directive for administration of radiation dose or radiopharmaceutical dosage [documented immediately in patient's record]	As recommended by Joint Commission on Accreditation of Hospital Organizations (JCAHO).
35.32(a)(1) Footnote 1 1st par.	Revised written directive for administration of radiation dose or radiopharmaceutical dosage [made within 48 hours of oral revision]	3 years.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.32(a)(1) Footnote 1 2nd par.	Written revision to existing written directive for administration of radiation dose or radiopharmaceutical dosage	3 years.
35.32(a)(1) Footnote 1 3rd par.	Record of oral directive for administration of radiation dose or radiopharmaceutical dosage when delay would jeopardize patient's health [documented immediately in patient's record]	As recommended by Joint Commission on Accreditation of Hospital Organizations (JCAHO).
35.32(a)(1) Footnote 1 3rd par.	Written directive prepared after emergency oral directive for administration of radiation dose or radiopharmaceutical dosage [prepared within 24 hours of oral directive]	3 years.
35.32(b)(1)	Procedures for annual review of quality management program	Until termination of licensed activity, per 30.51(b).
35.32(b)(2)	Modifications to quality management program <i>Refer to 35.32(a) of this section and to 35.32(e) of <u>Reports</u> section</i>	
35.32(b)(3)	Record of annual review of quality management program	3 years.
35.32(c)(3)	Record of recordable event and corrective actions taken [made within 30 days after discovering event]	3 years.
35.32(d)	Record of each administered radiation dose or radiopharmaceutical dosage where a written directive is required pursuant to 35.32(a)(1)	3 years.
35.33(b)	Record of misadministration	5 years.
35.50(b)(1)	Record of daily check of dose calibrator constancy with dedicated check source	3 years.
35.50(b)(2)	Record of annual check of dose calibrator accuracy	3 years.
35.50(b)(3)	Record of quarterly test of dose calibrator linearity [over range of use between highest dosage to be administered and 10 microcuries]	3 years.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.50(b)(4)	Record of dose calibrator test for geometry dependence over the range of volumes and volume configurations for which it will be used	Duration of use of calibrator.
35.51(d)	Record of survey instrument calibration [performed before first use of instrument, annually, and following repair]	3 years.
35.53(a)	Record of measurement of activity of radiopharmaceutical dosage containing more than 10 microcuries of photon-emitting radionuclide [measurement performed before medical use of dose]	3 years.
35.53(b)	Record of measurement of activity of radiopharmaceutical dosage with a desired activity of 10 microcuries or less of photon-emitting radionuclide to verify that dosage does not exceed 10 microcuries [measurement performed before medical use of dose]	3 years.
35.59(a)	Radiation safety and handling instructions for sealed source and brachytherapy source [supplied by manufacturer]	Duration of source use.
35.59(b)(1)	Source leakage test records [test performed prior to first use unless licensee obtains certificate from supplier indicating that source was tested within 6 months before transfer]	5 years.
35.59(b)(2)	Source leakage test records [tests performed at intervals not to exceed 6 months or at other intervals approved by NRC or Agreement State and described in label or brochure accompanying source]	5 years.
35.59(g)	Quarterly physical inventory records of sealed sources or brachytherapy sources	5 years.
35.59(i)	Record of quarterly measurement of ambient dose rates in areas where sources are stored	3 years.
35.70(a)	Record of daily radiation survey of areas where radiopharmaceutical are routinely prepared for use or administered	3 years.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.70(b)	Record of weekly radiation survey of areas where radiopharmaceutical or radiopharmaceutical waste is stored	3 years.
35.70(e)	Record of weekly radiation survey for removable source contamination of areas where radiopharmaceutical are routinely prepared for use, administered, or stored	3 years.
35.80(f)	Record of radiation survey of areas where radiopharmaceutical are used in a client's address [survey performed by mobile nuclear medicine service before leaving client's address to ensure that radiopharmaceutical and waste have been removed]	3 years.
35.92(b)	Record of disposal of byproduct material in ordinary trash [when material has a half-life of less than 65 days and is held for decay-in-storage]	3 years.
35.204(c)	Record of measurement of molybdenum concentrations in eluates or extracts [measurement performed when molybdenum-99/technetium-99m generators used for preparing technetium radiopharmaceutical]	3 years.
35.205(d)	Record of calculation of time needed to reduce concentrations of spilled radioactive gases or aerosols to occupational limits listed in 10 CFR 20 Appendix B	Duration of use of area.
35.205(d)	Safety measures to be instituted in case of spill of radioactive gas or aerosol [measures posted in area of use]	Duration of use of area.
35.205(e)	Record of measurement of ventilation rate in areas of radioactive gas use [measurement performed every 6 months]	Duration of use of area.
35.310(a)	Licensee's procedures for:	Until termination of licensed activity, per 30.51(b).
(1)	- Patient control	
(2)	- Visitor control	
(3)	- Contamination control	
(4)	- Waste control	
(5)	- Notification of Radiation Safety Officer in case of patient's death or medical emergency	

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.310(b)	List of individuals receiving radiation safety instruction, a description of instruction, date of instruction, and name of instructor	3 years.
35.315(a)(4)	Record of radiation survey of dose rate in contiguous restricted and unrestricted areas after administration of radiopharmaceutical therapy	3 years.
35.315(a)(7)	Record of radiation survey of patient's room and private sanitary facility for removable radiation [before assigning room to another patient]	3 years.
35.315(a)(8)	Record of thyroid burden measurement for individuals helping to prepare or administer dosage of Iodine-131 [measurement made within 3 days of administering dosage]	Until termination of licensed activity, pursuant to 20.2106(a).
35.400	Manufacturer's radiation safety and handling instructions for use of brachytherapy source <i>Refer to 35.59(a)</i>	
35.404(b)	Record of patient's radiation survey immediately after removal of last temporary implant source [to confirm that all sources have been removed]	3 years.
35.406(b)	Record of brachytherapy source use	3 years.
35.406(c)	Record of radiation survey of patient and area of use immediately after implanting source [to confirm that no sources have been misplaced]	3 years.
35.410(a)	Radiation safety instructions to personnel caring for patients undergoing implant therapy	Until termination of licensed activity, per 30.51(b).
35.410(a)	Licensee's procedures for:	Until termination of licensed activity, per 30.51(b).
(3)	Patient control	
(4)	Visitor control	
(5)	Notification of Radiation Safety Officer in case of patient death or medical emergency	
35.410(b)	Record of individuals receiving radiation safety instruction, description of instruction, date of instruction, and name of instructor	3 years.

10 CFR Part 35 -- Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.415(a)(4)	Record of radiation survey of dose rates in contiguous restricted and nonrestricted areas [survey performed promptly after implanting source]	3 years.
35.500	Manufacturer's radiation safety and handling instructions for use of sealed source for diagnosis <i>Refer to 35.59(a)</i>	
35.520	Record of survey instrument calibration prior to first use, annually, and after repair <i>Refer to 35.51(a)</i>	
35.610(a)	Safety instructions for use of teletherapy unit	Until termination of licensed activity, per 30.51(b).
35.610(c)	Record of individuals receiving safety instruction, description of instruction, date of instruction, and name of instructor	3 years.
35.615(d)(4)	Record of daily check of radiation monitor in teletherapy treatment room	3 years.
35.615(d)(5)	Record of daily check of radiation survey instrument or personal dosimeter used when radiation monitor is inoperable	3 years.
35.630(c)	Record of calibration, intercomparison, and comparison of dosimetry systems	Until termination of license.
35.632(g)	Record of calibration of teletherapy unit	Duration of use of teletherapy unit source.
35.634(b)	Procedures for performing monthly output spot-checks on teletherapy units established by teletherapy physicist	Until termination of licensed activity, per 30.51(b).
35.634(c)	Copy of written notification of results of output spot-checks	3 years.
35.634(f)	Record of results of monthly output spot-checks and safety spot-checks required by 35.634(a) and (d)	3 years.
35.636	Record of safety check for teletherapy facility following installation of a source	3 years.

10 CFR Part 35 – Medical Use of Byproduct Material

Section	Recordkeeping Requirement	Retention Period
35.641(c)	Record of radiation measurements made following installation of a source	Until termination of license.
35.647(c)	Record of inspection and servicing of teletherapy unit [inspection and servicing to occur at source replacement or at intervals not to exceed 5 years]	Until termination of license.

10 CFR Part 36 – Licenses and Radiation Safety Requirements for Irradiators

Section	Recordkeeping Requirement	Retention Period
36.13(f)	Procedures for leak testing of dry-source-storage sealed sources	Until termination of licensed activity, per 30.51(b).
36.53(a)	Written operating procedures for irradiator usage pursuant to 36.(a)(1) through (6)	Until termination of licensed activity, per 30.51(b).
36.53(b)	Written emergency or abnormal event procedures for irradiator usage pursuant to 36.(b)(1) through (10)	Until termination of licensed activity, per 30.51(b).
36.53(c)	Revision to operating and emergency procedures for irradiator usage [made without NRC approval] that do <u>not</u> reduce the safety of the facility	Until termination of licensed activity, per 30.51(b).
36.57(a)	Radiation survey of area outside the shielding of a radiation room of a panoramic irradiator [conducted with the sources in the exposed position before the facility starts to operate]	Until termination of licensed activity, per 30.51(b).
36.57(a)	Radiation survey of area above the pool of pool irradiators [conducted after the sources are loaded but before the facility starts to operate]	Until termination of licensed activity, per 30.51(b).
36.57(a)	Additional radiation surveys of the shielding of a radiation room [performed at intervals not to exceed 3 years and before resuming operation after addition of new sources or any modification to a radiation room shielding or structure that might increase dose rates]	Until termination of licensed activity, per 30.51(b).
36.59(a)	Certificate from a transferor of a dry-source-storage sealed source affirming that a test for leakage [using a leak test kit or a method approved by NRC or an Agreement State] has been made within the 6 months before the transfer	Until termination of licensed activity, per 30.51(b).
36.59(b)	Certificate from a transferor of a pool irradiator affirming that a test for leakage has been made within the 6 months before the transfer	Until termination of licensed activity, per 30.51(b).
36.81(a)	Copy of license [authorizing the use of sealed sources containing radioactive materials in irradiators used to irradiate objects or materials using gamma radiation] license conditions, documents incorporated into a license by reference, and amendments	Until superseded or until termination of license.

10 CFR Part 36 – Licenses and Radiation Safety Requirements for Irradiators

Section	Recordkeeping Requirement	Retention Period
36.81(b)	Record of training, tests, and safety reviews [pursuant to 36.51(a), (b), (c), (d), and (f)] of individuals permitted to operate an irradiator without a supervisor present	Until 3 years after the individual terminates employment.
36.81(c)	Record of annual evaluation of safety performance of irradiator operator [pursuant to 36.51(e)]	3 years after the evaluation.
36.81(d)	Copy of the current operating and emergency procedures [pursuant to 36.53]	Until superseded or until termination of license.
36.81(d)	Record of the radiation safety officer's review and approval of changes to operating and emergency procedures made without NRC approval [pursuant to 36.53(c)(3)]	3 years from the date of the change.
36.81(e)	Film badge and TLD results for irradiator operators who operate a panoramic irradiator or are in the area around the pool of an underwater irradiator and other individuals who enter the radiation room of a panoramic irradiator [pursuant to 36.55]	Until termination of license.
36.81(f)	Records of radiation surveys of: area outside the shielding of a radiation room of a panoramic irradiator, area above the pool of pool irradiators, and the shielding of a radiation room [pursuant to 36.57]	3 years from date of survey.
36.81(g)	Records of radiation survey meter calibrations [pursuant to 36.57] and pool water conductivity meter calibrations [pursuant to 36.63(b)]	3 years from date of calibration.
36.81(h)	Records of the results of dry-source-storage leak tests [pursuant to 36.59(a)] and the results of contamination checks for pool irradiators [pursuant to 36.59(b)]	3 years from date of test.
36.81(i)	Records of inspection and maintenance checks [pursuant to 36.61]	3 years.
36.81(j)	Records of major malfunctions, significant defects, operating difficulties or irregularities, and major operating problems that involve required radiation safety equipment	3 years after repairs are completed.

10 CFR Part 36 – Licenses and Radiation Safety Requirements for Irradiators

Section	Recordkeeping Requirement	Retention Period
36.81(k)	Record of receipt of licensed sealed source [pursuant to 30.51(a)(1)]	3 years after transferring or disposing of material.
36.81(k)	Record of transfer of licensed sealed source [pursuant to 30.51(a)(2)]	3 years after transferring material unless another section of regulations specify different retention requirements.
36.81(k)	Record of disposal of licensed sealed source [pursuant to 30.51(a)(3)]	Until termination of license.
36.81(l)	Records on design checks for irradiators whose construction begins after 07/01/93 [pursuant to 36.39]	Until termination of license.
36.81(l)	Records on construction monitoring and acceptance testing for irradiators whose construction begins after 07/01/93 [pursuant to 36.41]	Until termination of license.
36.81(m)	Records related to decommissioning of irradiators [pursuant to 30.35(g)]	Until termination of license.

10 CFR Part 39 – Licenses and Radiation Safety Requirements for Well Logging

Section	Recordkeeping Requirement	Retention Period
39.13(d)	Record of annual internal inspection of logging supervisor's job performance	3 years.
39.15(b)	Written agreement with well owner or operator to allow well logging with sealed source	3 years after completion of logging operation.
39.33(d)	Calibration records for radiation detection instruments [calibrations to occur at intervals not to exceed 6 months and after servicing]	3 years after date of calibration.
39.35(a)	Sealed source leakage test records	3 years.
39.39(b)	Record of use of licensed material	3 years.
39.43(a)	Record of defects in source holder, logging tools, and source handling tools	3 years.
39.43(b))	Record of defects in source holder, logging tools, injection tools, source handling tools, storage containers, transport containers, and uranium sinker bars, found during semiannual visual inspection	3 years.
39.43(c)	Written procedures for removal of sealed source from a source holder or logging tool, and maintenance of sealed sources or holders containing sources <i>Refer to 39.63</i>	
39.61(d)	Logging supervisor's and logging assistant's training records	3 years following termination of employment.
39.61(d)	Record of logging supervisor's and logging assistant's annual safety review	3 years.
39.63(a)	Written operating and emergency procedures for the handling and use of licensed materials including the use of sealed sources in wells without surface casing for protecting freshwater aquifers	Until termination of licensed activity, per 30.51(b).
39.63(b)	Written operating and emergency procedures for the use of remote handling tools for handling sealed sources and radioactive tracer material except low activity calibration sources	Until termination of licensed activity, per 30.51(b).

10 CFR Part 39 – Licenses and Radiation Safety Requirements for Well Logging

Section	Recordkeeping Requirement	Retention Period
39.63(c)	Written operating procedures for methods and occasions for conducting radiation surveys including methods for detecting contamination as required by 39.67(c)-(e)	Until termination of licensed activity, per 30.51(b).
39.63(d)	Written operating procedures for minimizing personnel exposure including exposures from inhalation and ingestion of licensed tracer material	Until termination of licensed activity, per 30.51(b).
39.63(e)	Written operating procedures for methods and occasions for locking and securing stored licensed material	Until termination of licensed activity, per 30.51(b).
39.63(f)	Written operating procedures for personnel monitoring and use of personnel monitoring equipment	Until termination of licensed activity, per 30.51(b).
39.63(g)	Written operating and emergency procedures for transportation of licensed material to field stations or temporary job sites, packaging of licensed material for transport in vehicles, placarding of vehicles when needed, and physically securing licensed materials in transport vehicles during transportation to prevent accidental loss, tampering, or unauthorized removal	Until termination of licensed activity, per 30.51(b).
39.63(h)	Written operating and emergency procedures for picking up, receiving, and opening packages containing licensed materials in accordance with 20.205	Until termination of licensed activity, per 30.51(b).
39.63(i)	Written operating procedures for the use of radioactive tracers, decontamination of the environment, equipment, and personnel	Until termination of licensed activity, per 30.51(b).
39.63(j)	Written operating procedures for the maintenance of records generated by logging personnel at temporary job sites	Until termination of licensed activity, per 30.51(b).
39.63(k)	Written operating procedures for inspection and maintenance of sealed sources, source holders, logging tools, injection tools, source handling tools, storage containers, transport containers, and uranium sinker bars as required by 39.43	Until termination of licensed activity, per 30.51(b).
39.63(l)	Written procedures for identifying and reporting to NRC defects and noncompliance as required by 10 CFR 21	Until termination of licensed activity, per 30.51(b).

10 CFR Part 39 – Licenses and Radiation Safety Requirements for Well Logging

Section	Recordkeeping Requirement	Retention Period
39.63(m)	Written procedures for actions to be taken if sealed source is lodged in well	Until termination of licensed activity, per 30.51(b).
39.63(n)	Written procedures for notifying proper persons in event of accident	Until termination of licensed activity, per 30.51(b).
39.63(o)	Written emergency procedures for actions to be taken if a sealed source is ruptured, including actions to prevent the spread of contamination and minimize inhalation and ingestion of licensed materials, and actions to obtain suitable radiation survey instruments as required by 39.33(b)	Until termination of licensed activity, per 30.51(b).
39.65(c)	Records of film badge, TLD, and bioassay results for logging supervisors or logging assistants	Until Commission authorizes disposition.
39.67(a)	Record of radiation surveys of areas where licensed materials are used or stored	3 years.
39.67(b)	Record of radiation surveys of positions occupied by individuals in vehicles and surveys of the exterior of vehicles used for transporting licensed material	3 years.
39.67(c)	Record of radiation surveys of logging tools [performed before departure from temporary jobsite, to confirm that tool is free of contamination after removal of sealed source assembly]	3 years.
39.67(d)	Record of radiation and contamination surveys during and after operations involving sealed source [performed when encapsulation of sealed source could be damaged during operation]	3 years.
39.67(e)	Record of radiation surveys at temporary jobsites before and after subsurface tracer study	3 years.
39.73(a)-(j)	<i>This section identifies documents and records that must be maintained at a field station</i>	
39.75	<i>This section identifies documents and records that must be maintained at a temporary jobsite</i>	

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Recordkeeping Requirement	Retention Period
40.25(c)(1)(ii)	Procedures for physical control of depleted uranium contained in industrial products or devices	Until termination of licensed activity, per 40.61(b).
40.26(c)(2)	Documentation concerning daily inspection of tailings or waste retention system	3 years after inspection.
40.35(d)(1)	Copy of general license contained in 40.25 for use of certain industrial products or devices and copy of NRC Form 244, "Registration Certificate - Use of Depleted Uranium under General License" [furnished to each person transferred source material in a product or device in Non-Agreement State]	Until termination of licensed activity, per 40.61(b).
40.35(d)(2)	Copy of general license contained in Agreement State's regulation equivalent to 40.25 and a copy of Agreement State's certificate, or: <ul style="list-style-type: none"> - Copy of general license contained in 40.25, - Copy of NRC Form 244, "Registration Certificate - Use of Depleted Uranium under General License" and - Note explaining that use of the product or device is regulated by the Agreement State under requirements substantially the same as those in 40.25 [furnished to each person transferred source material in a product or device in an Agreement State] 	Until termination of licensed activity, per 40.61(b).
40.35(e)(3)	Record of name, address, and point of contact for general licenses transferred depleted uranium in industrial products or devices	3 years after date of transfer.
40.36(f)(1)	Records of spills or other unusual occurrences involving spread of contamination in and around a facility, equipment, or site	Until termination of license.
40.36(f)(2)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials are used and/or stored, and of locations of possible inaccessible contamination	Until termination of license.

10 CFR Part 40 – Domestic Licensing of Source Material

Section	Recordkeeping Requirement	Retention Period
40.36(f)(3)	List [contained in a single document and updated every 2 years] of:	Until termination of licensed activity, per 40.61(b).
(i)	- All areas designated and formerly designated as restricted areas as defined under 20.1003	
(ii)	- All areas outside of restricted areas that require documentation under 40.36(f)(1)	
(iii)	- All areas outside of restricted areas where current and previous wastes have been buried as documented under 20.2108	
(iv)	- All areas outside of restricted areas which contain material that, if the license expired, the licensee would be required to either decontaminate the area to unrestricted release levels or apply for approval for disposal under 20.2002	
<i>Effective 10/25/93</i>		
40.36(f)(4)	Records of cost estimate performed for decommissioning funding plan or of amount certified for decommissioning and records of funding method used for assuring funds if either a funding plan or certification is used	Until termination of license.
40.51(d)(1)	Current copy of transferee's specific license or registration certificate authorizing receipt of source or byproduct material	Until termination of licensed activity, per 40.61(a)(2).
40.51(d)(2)	Written certification that transferee is authorized to receive type, form, and quantity of source or byproduct material transferred	Until termination of licensed activity, per 40.61(a)(2).
40.51(d)(3)	Written confirmation of oral certification that transferee is authorized to receive type, form, and quantity of source or byproduct material transferred [confirmed within 10 days of oral certification]	Until termination of licensed activity, per 40.61(a)(2).
40.51(d)(4)	Verification obtained from reporting services compiling information from official NRC records or a licensing agency of an Agreement State	Until termination of licensed activity, per 40.61(a)(2).
40.51(d)(5)	Record of confirmation from NRC or a licensing agency of an Agreement State that transferee is licensed to receive source or byproduct material	Until termination of licensed activity, per 40.61(a)(2).
40.61(a)(1)	Record of receipt of source or byproduct material	3 years after transfer or disposition of material.
40.61(a)(2)	Record of transfer of source or byproduct material [retained by transferor]	Until termination of license.

10 CFR Part 40 -- Domestic Licensing of Source Material

Section	Recordkeeping Requirement	Retention Period
40.61(a)(3)	Record of disposal of source or byproduct material	Until termination of license.
40.61(a)(4)	Record of evaluative techniques used to account for source or byproduct material that has been combined or mixed with other licensed material	Until termination of license.
40.61(b)	<i>Specifies that records required by 10 CFR 40 or license conditions must be retained until termination of the licensed activity unless otherwise specified</i>	
40 App.A I Criterion 5F	Technical specifications for installation of seepage control systems	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 5F	QA, test, and inspection program for installation of seepage control systems	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 7	Preoperational monitoring program data	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 7A	Detection monitoring program data	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 7A	Corrective action monitoring program data	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 8	Log of hourly check of parameters that determine efficiency of yellowcake stack emission control equipment operation	3 years after last entry in log.
40 App.A I Criterion 8	Written operating procedures to control dusting from diffuse sources where automatic controls do not apply	Until termination of licensed activity, per 40.61(b).
40 App.A I Criterion 8A	Record of daily inspections of mill tailings or waste retention system	3 years.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50.36(c)(1)(i)(A)	Record of review of exceeded safety limits of nuclear reactor	Until termination of license or, for 50.21(b) or 50.22 reactors, 3 years after issuance of Licensee Event Report (LER).
50.36(c)(1)(i)(B)	Record of review of exceeded safety limits of fuel reprocessing facility	Until termination of license.
50.36(c)(1)(ii)(A)	Record of review of malfunctioning automatic limiting safety system for nuclear reactor	Until termination of license or, for 50.21(b) or 50.22 reactors, 3 years after issuance of Licensee Event Report (LER).
50.36(c)(1)(ii)(B)	Record of review of malfunctioning alarm or protective device related to limiting control settings of fuel reprocessing facility	Until termination of license.
50.36(c)(2)	Record of review of failure to meet limiting conditions for operation of nuclear reactor or fuel reprocessing facility	Until termination of license or, for 50.21(b) or 50.22 reactors, 3 years after issuance of Licensee Event Report (LER). If no LER issued, as specified in licensee's technical specifications.
50.36a(a)(1)	Operating procedures for the control of effluents from nuclear power reactors	Until termination of license. Superseded material 3 years.
50.48(a)	Licensee's fire protection plan and changes to plan	Until termination of license. Superseded material 3 years.
50.49(d)	Environmental qualification file concerning electric equipment important to safety:	Life of equipment while installed or stored in plant for future use.
(1)	- List of electric equipment important to safety	
(2)	- Performance specifications under conditions existing during and following design basis accidents	
(3)	- Voltage, frequency, load, and other electrical characteristics for which performance specifications can be ensured	
	- Environmental conditions at the location where equipment must perform in accordance with specifications	
50.49(j)	Record of the environmental qualification of electric equipment important to safety	Life of equipment while installed or stored in plant for future use.

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50.54(a)(3)(iii)	Copy of forwarding letter that identifies changes to an NRC-approved quality assurance program description included or referenced in the safety analysis report	3 years.
50.54(p)(1)	Safeguards contingency plan procedures <i>Refer to 73 Appendix C</i>	
50.54(p)(2)	Record of changes to: security plan, safeguards contingency plan, or guard training and qualification plan [that do <u>not</u> decrease the effectiveness of plan]	3 years.
50.54(p)(3)	Documentation of annual review, audit, and recommendations for improvement, of safeguards contingency plan [reported to licensee's corporate and plant management]	2 years.
50.54(q)	Emergency plan and changes to a plan [that decrease effectiveness of plan]	Until termination of license.
50.54(q)	Record of changes to emergency plan made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	3 years.
50.54(bb)	Copy of written notification of program to manage irradiated fuel at reactor [after expiration of operating license] until transfer to DOE	Until termination of license.
50.55(e)(1)(i)	Procedures to:	Until termination of license, per 50.71(c).
(ii)	- Evaluate deviations and failures to comply in order to identify defects and failures to comply associated with substantial safety hazards as soon as practicable	
(iii)	- Ensure that an interim report is prepared and submitted to NRC if evaluation of identified deviation or failure to comply cannot be completed within 60 days	
	- Ensure that a director or responsible officer of a holder of a facility construction permit subject to 10 CFR 50 is informed as soon as practicable and in all cases within 5 working days after completing evaluation, if conditions in 50.55(e)(1)(iii)(A),(B), or (C) are met	

10 CFR Part 50 -- Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50.55(e)(9)(i)	Procurement documents defining requirements that facilities or basic components must meet to be considered acceptable	For life of basic component.
50.55(e)(9)(ii)	Evaluations of deviations and failures to comply	5 years after date of evaluation.
50.55(e)(9)(iii)	<i>This section specifies that maintaining records pursuant to 50.55(e) satisfies construction permit holders, recordkeeping obligations under 10 CFR 21. In addition, the recordkeeping obligations of responsible officers and directors under 10 CFR 21 are met by maintaining records in accordance with 50.55(e).</i>	
50.55(f)(3)(iii)	Copy of letter identifying changes to NRC-approved quality assurance program description included or referenced in the safety analysis report	3 years.
50.59(b)(1)	Record of changes in facility as described in safety analysis report and written safety evaluation, made without prior Commission approval [that do not involve unreviewed safety question or change in technical specifications incorporated into license]	Until termination of license.
50.59(b)(1)	Record of changes in procedures as described in safety analysis report and written safety evaluation, made without prior Commission approval [that do not involve unreviewed safety question or change in technical specifications incorporated into license]	5 years.
50.59(b)(1)	Record of tests and experiments not described in safety analysis report and written safety evaluation, made without prior Commission approval [that do not involve unreviewed safety question or change in technical specifications incorporated into license]	5 years.
50.65 Effective 1/10/96	Records documenting program for monitoring effectiveness of maintenance at nuclear power plants <i>Regulatory Guide 1.160, June 1993, provides regulatory guidance to implement 50.65</i>	Until termination of license per 50.71(c)

10 CFR Part 50 -- Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50.71(c)	<i>This section specifies that records required by 10 CFR 50, license conditions, or technical specifications must be retained until termination of license unless otherwise specified</i>	
50.71(e)(6)	Updated final safety analysis report and revisions to report	Until termination of license.
50.75(g)(1)	Records of spills or other unusual occurrences involving spread of contamination in and around a facility, equipment, or site	Until termination of license.
50.75(g)(2)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials are used or stored, and of locations of possible inaccessible contamination	Until termination of license.
50.75(g)(3)	Records of cost estimate performed for decommissioning funding plan or of amount certified for decommissioning and records of funding method used for assuring funds if either a funding plan or certification is used	Until termination of license.
50.120(b)(2) <i>Effective 05/26/93</i>	Records sufficient to maintain integrity of a systems approach to training (SAT) program	Until termination of license, per 50.71(c).
50 App.A Criterion 1	Records of design, fabrication, erection, and testing of structures, systems, and components important to safety	Throughout life of unit.
50 App.B I	Documentation of authorities and duties of persons and organizations performing activities affecting safety related functions of structures, systems, and components	Until termination of license, per 50.71(c).
50 App.B II	Written policies, procedures, and instructions for quality assurance program	Until termination of license, per 50.71(c).
50 App.B III	Procedures for review, approval, release, distribution, and revision of documents involving design interface	Until termination of license, per 50.71(c).
50 App.B V	Written instructions, procedures, and drawings for activities affecting quality	Until termination of license, per 50.71(c).
50 App.B VII	Documentary evidence that material and equipment conform to procurement requirements	Until termination of license, per 50.71(c).

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50 App.B XI	Written test procedures to demonstrate that structures, systems, and components will perform satisfactorily in service	Until termination of license, per 50.71(c).
50 App.B XI	Documented results of test program to demonstrate that structures, systems, and components will perform satisfactorily in service	Until termination of license, per 50.71(c).
50 App.B XV	Written procedures to control materials, parts, or components that do not conform to requirements	Until termination of license, per 50.71(c).
50 App.B XVI	Documented measures taken to identify: significant conditions adverse to quality, cause of conditions, and corrective actions [reported to appropriate levels of management]	Until termination of license, per 50.71(c).
50 App.B XVII	Records of quality assurance activities including operating logs and the results of reviews, inspections, tests, audits, monitoring of work analysis, material analysis, and closely related data such as qualifications of personnel, procedures, and equipment	Until termination of license, per 50.71(c).
50 App.B XVIII	Written procedures for periodically auditing compliance with quality assurance program	Until termination of license, per 50.71(c).
50 App.B XVIII	Documentation of auditing of quality assurance program	Until termination of license, per 50.71(c).
50 App.E IV.G	Updated copies of emergency plan and emergency implementing procedures	Until termination of license, per 50.71(c).
50 App.G III.C	Records of fracture toughness test program [retained to comply with ASME requirements]	Until termination of license, per 50.71(c).

10 CFR Part 50 – Domestic Licensing of Production and Utilization Facilities

Section	Recordkeeping Requirement	Retention Period
50 App.R II.B	Fire hazard analysis performed by qualified fire protection and reactor systems engineers to: 1) consider the potential for <i>in situ</i> and transient fire hazards, 2) determine the consequences of fire in any location in the plant on the ability to safely shutdown the reactor or on the ability to minimize and control the release of radioactivity to the environment, and 3) specify measures for fire prevention, fire detection, fire suppression, and fire containment and alternative shutdown capabilities as required for each fire area containing structures, systems, and components important to safety in accordance with NRC guidelines and regulations	Until termination of license, per 50.71(c).
50 App.R II.C.7	Surveillance procedures to ensure fire barriers are in place and fire suppression systems and components are operable	Until termination of license, per 50.71(c).
50 App.R III.	Independent critique of fire brigade drill	3 years.
50 App.R III.	Training records of fire brigade members	3 years.
50 App.R III.K	Procedures as required by administrative controls to minimize fire hazards in areas containing structures, systems, and components important to safety	Until termination of license, per 50.71(c).

10 CFR Part 51 – Environmental Protection Regulations for Domestic Licensing and Related Functions

Section	Recordkeeping Requirement	Retention Period
51.50	Procedures for recording and reporting environmental data at construction permit stage	Until termination of license per 50.71(c).

10 CFR Part 52 – Early Site Permits; Standard Design Certifications; and Combined Licenses for Nuclear Power Plants

Section	Recordkeeping Requirement	Retention Period
52.47(a)(2)	Procurement specifications and construction and installation specifications necessary to make safety determination regarding application for design certification	Until Commission makes final decision on all safety questions associated with the design.
52.57(a)	Procurement specifications and construction and installation specifications necessary to make safety determination regarding application for renewal of design certification	Until Commission has determined whether to renew the certification.
52.63(b)(2)	Record of changes to design of nuclear power facility [maintained by licensee referencing a standard design certification]	Until termination of license.
52.63(c)	Procurement specifications and construction and installation specifications necessary to make safety determination regarding application for construction permit, combined license, or operating license, referencing a standard design certification	Until Commission makes safety determination.
52.79(b)	Procurement specifications and construction and installation specifications necessary to make safety determination regarding application for a combined license referencing a standard design certification	Until Commission determines that facility has been constructed and will be operated in conformity with license.

10 CFR Part 54 – Requirements for Renewal of Operating Licenses for Nuclear Power Plants

Section	Recordkeeping Requirement	Retention Period
54.33(d)	Record of changes made to programs and procedures for management of age-related degradation unique to license renewal that do <u>not</u> decrease effectiveness of programs [must be documented in accordance with 54.37]	Until termination of renewed operating license.
54.37(a)	<i>This section specifies that licensees shall retain in an auditable and retrievable form for the term of the renewed operating license all information and documentation required by, or otherwise necessary to document compliance with 10 CFR 54</i>	
54.37(c)	Written documentation providing the basis for concluding that changes to programs for management of age-related degradation unique to license renewal do <u>not</u> decrease effectiveness of programs	Until termination of renewed operating license.

10 CFR Part 55 – Operators’ Licenses

Section	Recordkeeping Requirement	Retention Period
55.27	Medical qualifications data, test results, and medical history of operators and senior operators [documentation provided to Commission upon request]	Duration of tenure as operator or senior operator.
55.45(b)(4)(iv)	Simulator facility performance test results [maintained by licensees proposing to use a simulation facility that is other than solely a plant-referenced facility]	4 years after the application, reapplication, or report requiring the testing.
55.45(b)(5)(iii)	Simulator facility performance test results [maintained by licensees proposing to use a simulation facility consisting solely of a plant-referenced facility]	4 years after the certification, recertification, or report requiring the testing.
55.59(c)(5)(i)	Documentation of the requalification of licensed operators and senior operators [containing copies of written examinations, answers, results of evaluations and documentation of operating tests and of additional training in areas in which operator or senior operator has exhibited deficiencies]	Until renewal of operator’s or senior operator’s license.

10 CFR Part 60 – Disposal of High-Level Radioactive Wastes in Geologic Repositories

Section	Recordkeeping Requirement	Retention Period
60.44(b)	Record of changes in geologic repository operations area and changes to procedures described in license application, made without prior Commission approval [that do <u>not</u> involve changes to license conditions or unreviewed safety questions]	As specified in license conditions pursuant to 60.43(b)(6).
60.44(b)	Record of test and experiments not described in license application, made without prior Commission approval [that do <u>not</u> involve changes to license conditions or unreviewed safety questions]	As specified in license conditions pursuant to 60.43(b)(6).
60.51(a)(2)(ii)	Record of location of geologic repository operations area [including underground facility, boreholes, and shafts, and boundaries of controlled area] nature and hazard of waste [placed in archives and land record systems of local, State, and Federal government agencies and other archives in the world that would likely be consulted by potential human intruders]	Until termination of license or, as specified in license conditions pursuant to 60.51(a)(2).
60.71(b)	Record of receipt, handling, and disposition of radioactive waste at geologic repository operations area	Until termination of license or, as specified in license conditions pursuant to 60.51(a)(2).
60.72(a)	Record of geologic repository operations area construction	Until termination of license or, as specified in license conditions pursuant to 60.51(a)(2).

10 CFR Part 61 – Licensing Requirements for Land Disposal of Radioactive Waste

Section	Recordkeeping Requirement	Retention Period
61.80(e)	Record of location and quantity of radioactive waste contained in disposal site	Until license terminated then transfer record to chief executive of nearest municipality, chief executive of county in which facility is located, county zoning board or land development and planning agency, State governor and other State, local, and Federal governmental agencies as designated by Commission.
61.80(f)	Data regarding receipt and acceptance of shipments of radioactive waste, including: date of disposal of waste, location in disposal site, condition of waste packages as received, discrepancies between manifest and shipment, evidence of leaking or damaged packages or radiation or contamination levels in excess of limits specified in DOT and NRC regulations, description of repackaging operations, and other information required by license conditions	Until termination or transfer of license.
61.80(k)	Records required pursuant to 10 CFR 30.41, 40.51, and 70.42 <i>Refer to these sections for requirements</i>	

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.22(g)(3)	Description of physical protection plan for special nuclear material in transit; Safeguards contingency plan or safeguards response procedures, and Changes to contingency plan or response procedures	3 years after last possession of licensed material.
70.22(h)(2)	Physical security plan and changes to physical security plan [maintained by holders of license to possess or use uranium-235, uranium-233 or plutonium alone or in any quantity of 5,000 grams or more]	3 years after last possession of licensed material.
70.22(j)(3)	Safeguards contingency plan and changes to contingency plan [maintained by holders of license to possess or use uranium-233, uranium-235, or plutonium, alone or in combination in a quantity of 5,000 grams or more]	Contingency plan, until termination of license. Superseded material, 3 years after effective date of change.
70.22(k)	Physical security plan and changes to security plan [maintained by holders of license to possess or use special nuclear material of moderate strategic significance or 10 kg or more of special nuclear material of low strategic significance]	Security plan, for duration of possession of licensed material. Superseded material, 3 years after effective date of change.
70.24(a)(3)	Emergency procedures for areas in which SNM is handled, used, or stored	Current procedures, for duration of possession of licensed material. Superseded material, 3 years after effective date of change.
70.25(g)(1)	Records of spills or other unusual occurrences involving the spread of contamination in and around facility, equipment, and site	Until termination of license.
70.25(g)(2)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials are used and/or stored, and of locations of possible inaccessible contamination	Until termination of license.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.25(g)(3) (i) (ii) (iii) (iv) <i>Effective 10/25/93</i>	<p>List [contained in a single document and updated every 2 years] of:</p> <ul style="list-style-type: none"> - All areas designated and formerly designated as restricted areas as defined under 20.1003 - All areas outside of restricted areas that require documentation under 70.25(g)(1) - All areas outside of restricted areas where current and previous wastes have been buried as documented under 20.2108 - All areas outside of restricted areas which contain material that, if the license expired, the licensee would be required to either decontaminate the area to unrestricted release levels or apply for approval for disposal under 20.2002 	Until termination of license, per 70.51(b)(2).
70.25(g)(4)	Records of cost estimate performed for decommissioning funding plan or of amount certified for decommissioning, and records of funding method for assuring funds	Until termination of license.
70.32(c)(1)(iii)	Material control procedures that Commission determines to be essential for safeguarding uranium source material at uranium enrichment facility or special nuclear material	Until termination of license, per 70.51(b)(2).
70.32(c)(2)	Records of changes to material control and accounting program made without prior Commission approval [that do <u>not</u> decrease effectiveness of program]	5 years after making change.
70.32(d)	Plan of physical protection of special nuclear material in transit and changes made without prior Commission approval [that do <u>not</u> decrease effectiveness of plan]	Physical protection plan, for duration of possession of licensed material. Superseded material, 3 years after effective date of change.
70.32(e)	Records of changes to physical security plan made without prior Commission approval [that do not decrease effectiveness of plan]	3 years after making change.
70.32(g)	Safeguards contingency plan procedures	Contingency plan procedures, for duration of possession of licensed material. Superseded material, 3 years after effective date of change.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.32(g)	Changes to safeguards contingency plan made without prior Commission approval [that do not decrease effectiveness of plan]	Changes to contingency plan, for duration of possession of licensed material. Superseded material, 3 years.
70.42(d)(1)	Current copy of transferee's specific license or registration certificate permitting the receipt of special nuclear material	3 years after receiving copy, retained by transferor.
70.42(d)(2)	Written certification that transferee is authorized to receive special nuclear material	3 years after receiving certification, retained by transferor.
70.42(d)(3)	Written confirmation of oral certification that transferee is authorized to receive special nuclear material in cases of emergency shipments of SNM	3 years after receiving confirmation, retained by transferor.
70.42(d)(4)	Information compiled by a reporting service as to the identity of licensees and the scope and expiration dates of licenses and registrations [used by transferor to verify that transferee is authorized to receive the type, form, and quantity of special nuclear material to be transferred]	3 years after obtaining information, retained by transferor.
70.42(d)(5)	Record of confirmation [from NRC or licensing agency of an agreement state] that transferee is licensed to receive special nuclear material	3 years after making record, retained by transferor.
70.51(b)(2)	<i>This section specifies that records required by 10 CFR 70 or license conditions must be retained until termination of license unless otherwise specified.</i>	
70.51(b)(3)	Record of receipt, acquisition, or physical inventory of special nuclear material	3 years after last possession of licensed material.
70.51(b)(5)	Record of transfer of special nuclear material [retained by transferor]	Until termination of license.
70.51(b)(6)	Record of disposal of special nuclear material	Until termination of license.
70.51(c)	Written material control and accounting procedures	Current procedures, until termination of license. Superseded material, 3 years.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.51(e)(1)(i)	Procedures for tamper-safe containers or vaults containing special nuclear material not in process	3 years.
70.51(e)(1)(ii)	Records of the quantities of special nuclear material added to or removed from the process	3 years.
70.51(e)(1)(iii)	Inventory records for the quantity of special nuclear material in process	3 years.
70.51(e)(1)(iv)	Records identifying items and containers containing special nuclear material in process; inventory records for items containing SNM; and, records of the source and disposition of items containing SNM	3 years.
70.51(e)(1)(v)	Documentation of transfers of special nuclear material between material balance areas	3 years.
70.51(e)(1)(vi)	Procedures to require authorized signatures of documents of transfer of special nuclear material between material balance areas	3 years.
70.51(e)(1)(vii)	Procedures for the control and accounting of internal transfer documents	3 years.
70.51(e)(4)(iii)	Material balance records	5 years.
70.51(e)(4)(iv)	Records summarizing the quantities of element and fissile isotope for ending inventory of material in process, additions to material in process and removals from materials in process during the material balance period	5 years.
70.51(e)(4)(v)	Records summarizing the quantities of elements and fissile isotope in unopened receipts, and ultimate products maintained under tamper-safe, or in the form of sealed sources	5 years.
70.51(f)(1)	Physical inventory procedures for control and accountability of special nuclear material	Until termination of license, per 70.51(b)(2).
70.51(f)(2)	Inventory procedures for sealed sources and containers or vaults containing special nuclear material	3 years.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.51(f)(3)	Inventory procedures for special nuclear material in process	Until termination of license, per 70.51(b)(2).
70.51(f)(4)	Written instructions for conducting physical inventory of special nuclear material	Until termination of license, per 70.51(b)(2).
70.57(b)	Measurement control program manual for SNM control and accounting measurements	Until termination of license.
70.57(b)(2)	Record of the results of management reviews and audits of the measurement control program for SNM control and accounting measurements	3 years.
70.57(b)(3)	Records of the results of reviews and audits of contractor's measurement control program	3 years.
70.57(b)(4)	Record of process and engineering test results to establish or verify procedures for sampling SNM integrity during transport and storage	3 years after last use of sampling system.
70.57(b)(5)	Written procedures for: <ul style="list-style-type: none"> - Preparing or acquiring, maintaining, storing and using reference standards - Calibrating measurement systems, performing bulk measurements, obtaining samples, and performing composition analysis - Recording, analyzing, and reporting the program data and information - Controlling measurement performance 	Until termination of license, per 70.51(b)(2).
70.57(b)(6)	Recorded results of engineering analyses and evaluations of design, installation, preoperational tests, calibration, and the operation of SNM measurement systems	3 years after life of process or equipment.
70.57(b)(7)	Procedures and performance criteria for the training, qualifying, and requalifying of persons performing sampling and measurements for material control and accounting purposes	Until termination of license, per 70.51(b)(2).
70.57(b)(7)	Recorded results of qualification or requalification of persons performing sampling and measurements for material control and accounting purposes	3 years.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.57(b)(8)	Recorded data on the performance of measuring processes	3 years.
70.57(b)(11)(i)	Record of statistical control system to monitor the quality of program measurements	System, until termination of license. System documents for previous inventory periods, 3 years after replacement.
70.57(b)(11)(ii)	Results of investigations and corrective actions taken when control data exceeds the control chart limits	3 years.
70.57(b)(12)	Records system for data, information, reports, and documents generated by the measurement control program	3 years.
70.58(b)(3)	Written documentation of material control and accounting responsibilities and authorities	Current documentation, until termination of license. Superseded material, 3 years.
70.58(c)(2)	Results of review and audit of material control and accounting practices and procedures, and nuclear material records	5 years.
70.58(e)	Records of measurements and limits of error associated with system for measurement of SNM within MBAs, ICAs, or inventory	3 years.
70.58(f)	Records required by program for the determination and control of the systematic and random errors of measurement process	3 years.
70.58(g)(1)	Procedures to assure accurate identification and measurement of the quantities of SNM received and shipped by a licensee	Until termination of license, per 70.51(b)(2).
70.58(g)(2)	Procedures for the review and evaluation of shipper-receiver differences	Until termination of license, per 70.51(b)(2).
70.58(g)(3)	Procedures for taking investigative and corrective action to reconcile shipper-receiver differences that are statistically significant	Until termination of license, per 70.51(b)(2).
70.58(g)(4)	Record of shipper-receiver difference evaluation, investigations, and corrective actions	5 years.

10 CFR Part 70 – Domestic Licensing of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
70.58(h)	Records associated with procedures as specified in 70.51(e)(1) for system of storage and internal handling controls	6 months.
70.58(i)	Procedures for special nuclear material scrap control	Current procedures, until termination of license. Superseded material, 3 years.
70.58(j)	Physical inventory procedures to allow determination of special nuclear material balance and measurement uncertainties	Current procedures, until termination of license. Superseded material, 3 years.
70.58(k)	Records associated with system to locate SNM and to close measured material balance around each material balance area	3 years.

10 CFR Part 71 – Packaging and Transportation of Radioactive Material

Section	Recordkeeping Requirement	Retention Period
71.12(c)(1)	Copies of a specific license, certificate of compliance, or other approval of package and drawings, and other documents referenced in the approval relating to the use and maintenance of the packaging and to the actions to be taken prior to shipment [for licensees for whom a general license applies]	3 years after shipment, per 71.91(a).
71.14(c)(1)	Copy of DOT specification [for licensees for whom a general license is issued to transport or deliver to a carrier for transport licensed material in a specification container for fissile material or for a Type B quantity of radioactive material as specified in DOT regulations 49 CFR 173 and 178]	For duration of use of general license.
71.16(c)(1)	For use of a foreign-approved package, copies of a foreign national competent authority certificate, DOT revalidation, drawings and documents referenced in the certificate [relating to the use and maintenance of the packaging and to the actions to be taken prior to shipment]	3 years after shipment, per 71.91(a).
71.91(a)	Record of shipment of radioactive licensed material	3 years after shipment.
71.91(c)	Written records to furnish evidence of the quality of the packaging for the shipment of licensed radioactive material, including results of preliminary determinations required by 71.85, design, fabrication and assembly records; results of reviews, inspections, tests, and audits; results of monitoring work performance and materials analyses; and results of maintenance, modification, and repair activities	3 years after life of related packaging.
71.97(c)(4)	Copy of advance notification of shipment of nuclear waste	3 years.
71.97(e)	Record of name of individual contacted to inform of revision to schedule for the shipment of nuclear waste	3 years.
71.97(f)(2)	Copy of cancellation notice for shipment of nuclear waste	3 years.
71.103	Written documentation of the establishment and delineation of the authorities and duties of persons and organizations performing activities affecting the safety-related functions of structures, systems, and components	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.

10 CFR Part 71 – Packaging and Transportation of Radioactive Material

Section	Recordkeeping Requirement	Retention Period
71.105(a)	Written procedures or instructions documenting quality assurance program	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.107(a)	Package design control documentation: specifications, drawings, procedures, and instructions	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.107(b)	Written procedures for the review, approval, release, distribution, and revision of documents involving design interfaces	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.109	Measures to assure that adequate quality is required in documents for procurement of material, equipment, and services, whether purchased by licensee, its contractors, or subcontractors	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.111	Documented instructions, procedures, and drawings prescribing activities affecting quality	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.113	Measures to control issuance of documents that prescribe activities affecting quality	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.115(a)	Measures to assure that purchased material, equipment, and services conform to procurement documents	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.115(b)	Documenting evidence that material and equipment conform to procurement specifications [evidence must be available prior to installation or use]	Life of package.
71.117	Records to identify and control materials, parts, and components	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.119	Measures to assure that special processes are controlled and accomplished by qualified personnel using qualified procedures	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.121	Inspection program for activities affecting quality	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.

10 CFR Part 71 – Packaging and Transportation of Radioactive Material

Section	Recordkeeping Requirement	Retention Period
71.123	Written procedures for the performance testing of packaging components	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.123	Documentation and evaluation of performance test results for packaging components	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.125	Measures to assure the proper control, calibration, and adjustment of tools, gauges, instruments, and other measuring and testing devices	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.127	Measures to control the handling, storage, shipping, cleaning, and preservation of materials and equipment to be used in packaging	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.129(a)	Measures to indicate the status of inspections and tests performed on individual items in packaging	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.129(b)	Measures to identify the operating status of components of packaging	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.131	Documented procedures for controlling materials, parts, or components which do not conform to requirements to prevent their inadvertent use or installation	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.135	Written records describing activities affecting quality including: <ul style="list-style-type: none">- Instructions, procedures, and drawings required by 71.111 to prescribe quality assurance activities and closely related specifications such as required qualifications of personnel, procedures, and equipment- Instructions or procedures that establish records retention program consistent with applicable regulation and designates factors such as duration, location, and assigned responsibility	3 years after termination of licensed activity; superseded material, 3 years.
71.137	Written procedures for conducting audits of the quality assurance program	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.
71.137	Documentation of results of QA program audits	3 years after termination of licensed activity; superseded material, 3 years, per 71.135.

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Recordkeeping Requirement	Retention Period
72.30(d)(1)	Records of spills or other unusual occurrences involving spread of contamination in and around a facility, equipment, or site	Until termination of license.
72.30(d)(2)	As-built drawings and modifications of structures and equipment in restricted areas where radioactive materials are used and/or stored, and of locations of possible inaccessible contamination	Until termination of license.
72.30(d)(3)	List [contained in a single document and updated every 2 years] of:	Until termination of license, per 72.80(c).
(i)	- All areas designated and formerly designated as restricted areas as defined under 20.1003	
(ii)	- All areas outside of restricted areas that require documentation under 70.30(d)(1)	
<i>Effective 10/25/93</i>		
72.30(d)(4)	Records of cost estimate performed for decommissioning funding plan or of amount certified for decommissioning and records of funding method used for assuring funds if either a funding plan or certification is used	Until termination of license.
72.44(d)(1)	Operating procedures for control of radioactive effluents	Until termination of license, per 72.80(c).
72.44(e)	Record of changes to physical security plan made without prior Commission approval [that do not decrease effectiveness of plan]	3 years after making change.
72.48(b)(1)	Record of: changes in ISFSI or MRS; changes in procedures described in SAR; and tests and experiments not described in FSAR, made without prior Commission approval [provided that changes, tests, and experiments do not involve changing a license condition, an unreviewed safety question, a significant increase in occupational exposure, or a significant unreviewed environmental impact]	Until termination of license.
72.72(a)	Record of receipt, inventory, disposal, acquisition, and transfer of spent fuel and high-level waste in storage	5 years after transferring or disposing of material.
72.72(b)	Record of annual physical inventory of spent fuel and high-level waste in storage	Current inventory record retained until termination of license.

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Recordkeeping Requirement	Retention Period
72.72(c)	Written material control and accounting procedures	Current procedures retained until termination of license.
72.72(d)	Duplicate set of records of spent fuel and high-level waste in storage required pursuant to 72.72(a) [kept at separate location to prevent loss of both sets in single catastrophic event]	5 years after material transferred.
72.80(c)	<i>This section specifies that records required by 10 CFR 72 or license conditions are to be retained until termination of license unless otherwise specified</i>	
72.92(b)	Record of occurrence and severity of important natural phenomena	Until license issued.
72.142	Written documentation of authority and duties of persons and organizations performing activities affecting functions of structures, systems, and components important to safety	Until termination of license, per 72.80(c).
72.144(a)	Written procedures or instructions documenting quality assurance program	Until termination of license, per 72.80(c).
72.146(a)	Design control documentation: specifications, drawings, procedures and instructions	Until termination of license, per 72.80(c).
72.146(b)	Written procedures for review, approval, release, distribution, and revision of documents involving design interfaces	Until termination of license, per 72.80(c).
72.148	Measures to assure adequate quality is required in procurement documents	Until termination of license, per 72.80(c).
72.148	Contractor's QA program conforming to requirements of 10 CFR 72 Subpart G	Until termination of license, per 72.80(c).
72.150	Documented instructions, procedures, or drawings prescribing activities affecting quality	Until termination of license, per 72.80(c).
72.152	Measures to control issuance of documents that prescribe activities affecting quality	Until termination of license, per 72.80(c).

10 CFR Part 72 -- Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Recordkeeping Requirement	Retention Period
72.154(a)	Measures to ensure that purchased material, equipment, and services conform to procurement documents	Until termination of license, per 72.80(c).
72.154(b)	Documentary evidence that purchased material, equipment, and services conform to procurement specifications [prior to installation or use of material and equipment]	Life of ISFSI or MRS.
72.156	Measures for identification and control of materials, parts, and components	Until termination of license, per 72.80(c).
72.158	Measures to ensure that special processors are controlled and accomplished by qualified personnel using qualified procedures	Until termination of license, per 72.80(c).
72.160	Inspection program for activities affecting quality	Until termination of license, per 72.80(c).
72.162	Written procedures for test program to demonstrate structures, systems, and components will perform satisfactorily in service	Until termination of license, per 72.80(c).
72.162	Documentation and evaluation of test results	Until termination of license, per 72.80(c).
72.164	Measures to ensure proper control, calibration, and adjustment of tools, gauges, instruments, and other measuring and testing devices	Until termination of license, per 72.80(c).
72.166	Measures to control handling, storage, shipping, cleaning, and preservation of materials and equipment to prevent damage and deterioration	Until termination of license, per 72.80(c).
72.168(a)	Measures to indicate status of inspections and test performed on individual items of ISFSI or MRS	Until termination of license, per 72.80(c).
72.168(b)	Measures to identify operating status of structures, systems, and components of ISFSI or MRS to prevent inadvertent operation	Until termination of license, per 72.80(c).
72.170	Documented procedures for controlling materials, parts, or components, that do not conform to requirements to prevent inadvertent use or installation	Until termination of license, per 72.80(c).

10 CFR Part 72 – Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste

Section	Recordkeeping Requirement	Retention Period
72.172	Measures to document identification, cause, and correction of significant conditions adverse to quality	Until termination of license, per 72.80(c).
72.172	Documented identification, cause, and correction of significant conditions adverse to quality	Until termination of license, per 72.80(c).
72.174	Quality assurance records including: design records, records of use and results of reviews, inspections, tests, audits, monitoring of work performance, and material analysis, and related data such as qualifications of personnel, procedures, and equipment	Until termination of license.
72.174	Records pertaining to design, fabrication, erection, testing, maintenance, and use of structures, systems, and components important to safety	Until termination of license.
72.176	Written procedures for conducting audits of quality assurance program	Until termination of license, per 72.80(c).
72.176	Documentation of results of QA program audit	Until termination of license, per 72.80(c).
72.180	Detailed physical security plan including: design for physical protection, safeguards contingency plan, and guard training plan	Until termination of license. Superseded material, 3 years.
72.184(b)	Safeguards contingency plan procedures	Until termination of license. Superseded material, 3 years.
72.186(b)	Record of change to: physical security plan, guard training plan, or safeguards contingency plan, made without prior Commission approval [that does not decrease effectiveness of plan]	3 years after making change.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Recordkeeping Requirement	Retention Period
73.20(c) <i>Revised rqmts. effective 07/29/92</i>	NRC-approved safeguards physical protection plan and safeguards contingency plan that meets the criteria in 73 Appendix C	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.24(b)(1)	Log of arrival at final destination of individual shipments of SNM	3 years after last log entry.
73.25(b)	Procedures to restrict access to and activity in vicinity of transports and strategic special nuclear material (SSNM) [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.25(c)	Procedures to prevent or delay unauthorized entry or introduction of unauthorized materials into transports, and unauthorized removal of SSNM from transports [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.25(d)	Procedures for responding to safeguards contingencies and emergencies in order to engage and impede adversary forces until local law enforcement forces arrive [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(b)(4)	Hand-to-hand receipts recording transfer of custody of SNM shipment	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(c)(1)(ii)	<i>This section specifies that importers of formula quantities of strategic SNM must comply with 73.25, 73.26, and 73.27, and retain records required by these sections for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.26(c)(2)	<i>This section specifies that exporters of formula quantities of strategic SNM must comply with 73.25, 73.26 and 73.27 as applicable up to first point where shipment is taken off transport outside the United States, and retain records required by these sections for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.26(d)(3)	Written management system to provide for development, revision, implementation, and enforcement of transportation physical protection procedures	3 years after duration of possession of material. Superseded material, 3 years after making change.

10 CFR Part 73 – Physical Protection of Plants and Materials

Section	Recordkeeping Requirement	Retention Period
73.26(d)(3)(i)	Written security procedures documenting structure of transportation security organization and duties of personnel	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(d)(3)(ii)	Provisions for written approval of security procedures and revisions to procedures	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(d)(4)	Documentation of qualification and requalification of security personnel	Initial qualification documentation, for term of employment. Requalification documentation, 3 years.
73.26(e)(1)	Written safeguards contingency plan [for dealing with threats, thefts, and radiological sabotage related to SSNM in transit]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(h)(6) <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of transportation security program including an audit of transportation security procedures and practices, an evaluation of the effectiveness of the transportation physical protection system, an audit of the transportation physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the review, managements' findings on whether the transportation security program is effective, and any actions taken as a result of recommendations from prior review <i>Refer also to 73.26(h) of <u>Reports</u> section</i>	3 years.
73.26(i)(1)	Detailed route plan for shipment of SSNM	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(i)(5)	Procedures to assure that no unauthorized persons or materials are on a cargo or escort vehicle prior to shipment [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.26(j)(6)	Procedures to assure that no unauthorized persons or material are on an aircraft prior to loading SSNM [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.

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Section	Recordkeeping Requirement	Retention Period
73.26(k)(2)	Procedures to assure that no unauthorized persons or materials are in shipment or escort rail car prior to loading SSNM [included in plans required under 73.20(c)]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.27(a)(2)	Written certification that physical protection arrangements have been made [in case of f.o.b. (free on board) shipment]	3 years per 73.26(c)(2).
73.37(b)(2)	Current procedures for coping with circumstances that threaten deliberate damage to spent fuel shipment and other safeguards emergencies	Current procedures, 3 years after duration of possession of material. Superseded material, 3 years after making change.
73.37(b)(3)	Current instructions for escorts of spent fuel shipments [that require notification of local law enforcement agencies upon detection of certain threats]	Current instructions, 3 years after duration of possession of material. Superseded material, 3 years after making change.
73.37(b)(5)	Written log describing the shipment of SSNM and significant events during shipment	3 years following shipment.
73.40(b)	Current safeguards contingency plan [containing 5 categories of information: background, generic planning base, licensee planning base, responsibility matrix, and procedures]	Current plan, until termination of license. Superseded material, 3 years after making change.
73.40(c)(2)	Current safeguards contingency plan procedures [maintained at the licensee's site]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.40(d)	Documented results of annual review and audit of the safeguards contingency plan, procedures, and practices [reported to licensee's corporate and plant management]	3 years.
73.45(b)(2)	Fixed site physical protection system: access authorization control procedures [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(c)(1)	Fixed site physical protection system: detection and surveillance procedures to detect unauthorized activities [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.

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Section	Recordkeeping Requirement	Retention Period
73.45(d)(1)	Fixed site physical protection system: procedures to detect unauthorized placement and movement of SSNM within material access areas [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(e)(1)	Fixed site physical protection system: procedures for detection, assessment, and communication of attempts at unauthorized removal of SSNM from material access area [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(e)(2)	Fixed site physical protection system: procedures to confirm identity and quantity of SSNM presented for removal and identity of persons making removal [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(f)(1)	Fixed site physical protection system: procedures to detect, assess, and communicate unauthorized access or penetrations of the protected area [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(f)(2)(ii)	Fixed site physical protection system: procedures to verify identity of persons, materials, and vehicles and assess identity against current authorization schedules and to initiate response measures to deny unauthorized access [included in plans required under 73.20(c)]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.45(g)(2)	Fixed site physical protection system: response plan for safeguards contingency events [included in plans required under 73.20(c)]	Current plan, until termination of license. Superseded material, 3 years after making change.
73.46(b)(1)	Licensee's written agreement with contract guard force to assure compliance with NRC safeguards regulations	Duration of contract.
73.46(b)(3)(i)	Written security procedures documenting structure of security organization and duties of security personnel	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.46(b)(3)(ii)	Provision for written approval of security procedures and revisions to procedures	Current procedures, until termination of license. Superseded material, 3 years after making change.

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Section	Recordkeeping Requirement	Retention Period
73.46(b)(4) <i>Revised rqmts. effective 02/28/93</i>	Documentation of the qualification and requalification of Tactical Response Team members, armed response personnel, and guards to carry out their assigned security duties	3 years after each qualification and requalification.
73.46(b)(7) <i>Revised rqmts. effective 02/28/93</i>	Documentation of the qualification and requalification of Tactical Response Team members, armed response personnel, and guards for day and night firing	3 years after each qualification and requalification.
73.46(b)(8)	Documentation of training of Tactical Response Team members in response tactics	3 years after each qualification and requalification.
73.46(b)(9)	Documentation of results of security force exercises	3 years.
73.46(d)(3)	Written procedures that permit access control personnel to identify vehicles authorized and materials not authorized entry to protected, material access, and vital areas	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.46(d)(10)	Records of the findings of teams conducting drum scanning and tamper sealing of containers of contaminated waste	3 years.
73.46(d)(11)	Records of verification and certification that contents of containers of SNM being prepared for shipment offsite	3 years.
73.46(d)(13)	Log of visitors provided escorted access to protected areas	3 years after last log entry.
73.46(g)(5)	Corrective action procedures for use in event of failure or other contingencies affecting operation of security related equipment and structures	Current procedures, until termination of license. Superseded material, 3 years after making change.

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Section	Recordkeeping Requirement	Retention Period
73.46(g)(6) <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of the security program including an audit of security procedures and practices, an evaluation of the effectiveness of the physical protection system, an audit of the physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the security program review, and any actions taken <i>Refer also to 73.46(g)(6) of <u>Reports</u> section</i>	3 years.
73.46(h)(1)	NRC-approved safeguards contingency plan for responding to threats, thefts, and radiological sabotage related to SSNM and nuclear facilities subject to 73.46	Current plan, until termination of license. Superseded material, 3 years after making change.
73.46(h)(2)	Documentation of response arrangement with local law enforcement authorities	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.50(a)(3)	Written security procedures documenting structure of security organization and the duties of security personnel	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.50(a)(4)	Documentation of requalification of security personnel	3 years.
73.50(c)(5)	Log of visitors provided escorted access to protected areas	3 years after last log entry.
73.50(g)(1)	NRC-approved safeguards contingency plan for responding to threats, theft, and radiological sabotage related to the special nuclear material and nuclear facilities subject to 73.50	Current plan, until termination of license. Superseded material, 3 years after making change.
73.50(g)(2)	Documentation of response agreement with local law enforcement authorities	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.50(h)	NRC-approved training and qualifications plan outlining the processes by which guards, watchmen, armed response persons, and other members of the security organization will be selected, trained, equipped, tested, and qualified to ensure these individuals meet the requirements of 73.50(a)(4)	Current documentation, until termination of license. Superseded material, 3 years after making change.

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Section	Recordkeeping Requirement	Retention Period
73.55(b)(1)	Licensee's written agreement with contract guard force that assures compliance with NRC safeguards regulations	Duration of contract
73.55(b)(3)(i)	Written security procedures documenting structure of security organization and duties of security personnel	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.55(b)(3)(ii)	Provisions for written approval of security procedures and revisions to procedures	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.55(b)(3)(iii)	Written approval of security procedures and revisions to procedures	3 years.
73.55(b)(4)(i)	Documentation of the requalification of security personnel	3 years.
73.55(b)(4)(ii)	NRC-approved training and qualifications plan outlining the processes by which guards, watchmen, armed response persons, and other members of the security organization will be selected, trained, equipped, tested ¹ , and qualified to ensure these individuals meet the requirements of 73.55(b)(4)	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.55(d)(6)	Log of visitors provided escorted access to protected areas	3 years after last log entry.
73.55(d)(7)	Current access authorization list for vital areas	3 years.
73.55(g)(1)	Corrective action procedures for use in event of failure or other contingencies affecting operation of security related equipment or structures	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.55(g)(4) <i>Revised reqmts. effective 07/29/92</i>	Report of annual independent review of security program including an audit of security procedures and practices, an evaluation of the effectiveness of the physical protection system, an audit of the physical protection system testing and maintenance program, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the security program review, managements' findings on whether the security program is currently effective, and any actions taken as a result of recommendations from prior program reviews <i>Refer also to 73.55(g)(4) of Reports section</i>	3 years.

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Section	Recordkeeping Requirement	Retention Period
✓ 73.55(h)(1)	NRC-approved safeguards contingency plan for responding to threats, thefts, and radiological sabotage related to nuclear facilities subject to 73.55	Current plan, until termination of license. Superseded material, 3 years after making change.
73.55(h)(2)	Documentation of liaison with local law enforcement authorities	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.56(a)(1)	Access authorization program [incorporated into site physical security plan by 4/27/92 by licensees authorized on 4/25/91 to operate a nuclear power reactor pursuant to 50.21(b) or 50.22]	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.56(d)(1)	Measures incorporated into physical security plan to ensure that functional capability of equipment has not been impaired by relaxation of access authorization requirements	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.56(e)	Procedure for review of denial or revocation of employee's unescorted access authorization	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.56(f)(1)	System of files and procedures to protect personal information collected as result of access authorization program	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.56(g)(1)	Annual audit of access authorization program <i>Refer to 73.56(h)(2)</i>	
73.56(g)(2)	Annual audit of contractor's or vendor's access authorization program [licensees may accept audits conducted by other licensees] <i>Refer to 73.56(h)(2)</i>	
73.56(h)(1)	Records on which granting of unescorted access authorization to individual is based	5 years after terminating access authorization.
73.56(h)(1)	Records on which denial of unescorted access authorization to individual is based	5 years.

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Section	Recordkeeping Requirement	Retention Period
73.56(h)(2)	Records of results of annual audit of access authorization program, resolution of audit findings, and corrective actions	3 years.
73.57(d)	Procedures to ensure the quality of fingerprint cards	Until termination of license. Superseded material, 3 years after making change.
73.57(e)	Confirmation of individual's receipt of notification of right to correct and complete FBI history check information	1 year.
73.57(f)	System of files and procedures for protection of criminal history records for unauthorized disclosure	Until termination of license. Superseded material, 3 years after making change.
73.57(f)(5)	Fingerprint cards and criminal history records	1 year after termination of employment or denial of access.
73.60(e)	NRC-approved safeguards contingency plan for responding to threats, thefts, and radiological sabotage related to the special nuclear material and nuclear facilities subject to 73.60	Current plan, until termination of license. Superseded material, 3 years after making change.
73.67(c)(1)	Copy of effective security plan [for protection of special nuclear material of moderate or low strategic significance]	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.67(d)(11)	Written response procedures for dealing with thefts and threats of thefts of SNM of moderate strategic significance	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.67(e)(3)(iv)	Written response procedures for dealing with thefts or threats of the thefts of SNM of moderate strategic significance	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.67(e)(4)	<i>This section specifies that records required by 73.67(e)(1),(2),(3), and (4)(i) and (ii) are to be retained for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	

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Section	Recordkeeping Requirement	Retention Period
73.67(e)(5)	<i>This section specifies that exporters of SNM of moderate strategic significance must comply with 73.67(c) and (e)(1),(3), and (4), and retain records required by these section for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.67(e)(6)(i)	<i>This section specifies that importers of SNM of moderate strategic significance must comply with 73.67(c) and (e)(2),(3), and (4), and retain records required by these section for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.67(f)(4)	Written response procedures for dealing with thefts or threats of thefts of SNM of low strategic significance	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.67(g)(3)(i)	Written response procedures for dealing with thefts or threats of thefts of SNM of low strategic significance	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.67(g)(4)	<i>This section specifies that exporters of SNM of low strategic significance must comply with 73.67(c) and (g)(1) and (3), and retain records required by these section for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.67(g)(5)	<i>This section specifies that importers of SNM of low strategic significance must comply with 73.67(c) and (g)(2) and (3), and retain records required by these section for 3 years after final possession of SNM, and superseded material for 3 years after making change</i>	
73.70(a)	Record of currently designated authorized individuals	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.70(b)	Record of individuals with authorized access to vital equipment or SNM	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.70(c) Revised rqmts. effective 07/29/92	Register of visitors, vendors, and other individuals not employed by the licensee pursuant to 73.46(d)(13), 73.55(d)(6) or 73.60	3 years after last register entry.

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Section	Recordkeeping Requirement	Retention Period
73.70(d)	Log of individuals granted access to vital area [except individuals entering or exiting reactor control room]	3 years after last log entry.
73.70(e)	Documentation of routine security tours and inspections, and tests inspections, and maintenance performed on physical barriers, intrusion alarms, communications equipment, and other security related equipment	3 years.
73.70(f)	Record at onsite alarm annunciation location of alarms, false alarms, alarm checks, and tamper indication	3 years.
73.70(f)	Record of responses by facility guards and watchman to alarms, intrusions, or other security events	3 years.
73.70(g)	Records related to shipment of SNM to confirm the means utilized to comply with 10 CFR 73	3 years.
73.70(h)	Written procedures for controlling access to protected areas and for controlling access to keys for locks used to protect SNM	Until termination of license. Superseded material 3 years after making change.
73.71(c)	Safeguards events log	3 years after last log entry.
73.App.B.Intro.	NRC-approved training and qualifications plan for security personnel who are responsible for the protection of special nuclear material on site or in transit and for protection of the facility or shipment vehicle against radiological sabotage	Current documentation, until termination of license. Superseded material, 3 years after making change.
73.App.B.I.C.	Documentation of physical fitness qualification of guards, armed response persons, armed escorts, and other security force members [qualification attested to by licensee security supervisor]	3 years.
73.App.B.I.E.	Documentation of physical requalification of central alarm station operators, guards, armed response personnel and armed escorts	3 years.
73.App.B.I.F.	Documentation of results of suitability, physical and mental qualifications data and test results [documented by licensee or licensee's agent]	3 years.

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Section	Recordkeeping Requirement	Retention Period
73.App.B.II.A.	Documentation of current security personnel training and qualifications plan	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.App.B.II.B.	Documentation of qualifications of individuals holding security related positions [results of qualifications attested to by a licensee security supervisor]	3 years after termination of employment in security related capacity or 3 years after termination of license to possess material, whichever comes first. Superseded material, 3 years after making change.
73.App.B.II.C.	Documentation of qualifications of contractor personnel with security related duties [results of qualifications attested to by a licensee security supervisor]	3 years after termination of employment in security related capacity or 3 years after termination of license to possess material, whichever comes first. Superseded material, 3 years after making change.
73.App.B.II.E.	Documentation of results of annual requalification of personnel in security related duties for both normal and contingency operations [results of requalification attested to by a licensee security supervisor]	3 years.
73.App.B.IV.	Documentation of results of qualification and annual requalification of security personnel in weapons firing	3 years.
73.App.C	Current s afeguards contingency plan [containing 5 categories of information: background, generic planning base, licensee planning base, responsibility matrix, and procedures]	Current plan, until termination of license. Superseded material, 3 years after making change.
73.App.C <i>Revised rqmts. effective 07/29/92</i>	Report of annual independent review of safeguards contingency plan including an audit of safeguards contingency procedures and practices, an audit of commitments established for response by local law enforcement authorities, the results and recommendations of the safeguards contingency plan review, managements' findings on whether the safeguards contingency plan is currently effective, and any actions taken as a result of recommendations from prior reviews <i>Refer also to 73.App.C <u>Reports</u> section</i>	3 years.

10 CFR Part 74 - Material Control and Accounting of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
74.31(b)	Copy of fundamental nuclear material control plan [for SNM of low strategic significance]	Plan, until termination of license; superseded material, 3 years.
74.31(d)(1)	Records demonstrating that requirements of 74.31(c) have been met	3 years or longer if required by 10 CFR 75.
74.33(c)(1)	Documentation of features and capabilities of Material Control and Accounting (MC&A) system	3 years or longer if required by 10 CFR 75.
74.33(c)(1)(iv)	Written MC&A procedures	3 years or longer if required by 10 CFR 75.
74.33(c)(4)(i)	Dynamic (nonshutdown) physical inventory of in-process uranium and U ²³⁵ performed at least every 65 days	3 years or longer if required by 10 CFR 75.
74.33(c)(4)(i)	Static physical inventory of other uranium and total U ²³⁵ contained in natural, depleted, and enriched uranium located outside of the enrichment processing equipment [performed at least every 370 calendar days, in conjunction with a dynamic physical inventory of in-process uranium and U ²³⁵ , to provide a total plant material balance at least every 370 calendar days]	3 years or longer if required by 10 CFR 75.
74.33(c)(8)(ii)	Documentation of results of independent assessment of MC&A system [assessment performed at least every 24 months]	3 years or longer if required by 10 CFR 75.
74.33(c)(8)(iii)	Documentation of management's findings on effectiveness of MC&A system	3 years or longer if required by 10 CFR 75.
74.33(c)(8)(iv)	Documentation of actions taken based on recommendations from prior assessments of MC&A system	3 years or longer if required by 10 CFR 75.
74.33(d)(1)	Records demonstrating that performance objectives of 74.33(a) and that system features and capabilities of 74.33(c) have been met	3 years or longer if required by 10 CFR 75.
74.51(a)	Material control and accounting system [required of licensees authorized to possess and use 5 or more formula kilograms of SSNM]	3 years or longer if required by 10 CFR 75 per 74.59(g).

10 CFR Part 74 - Material Control and Accounting of Special Nuclear Material

Section	Recordkeeping Requirement	Retention Period
74.51(c)	Copy of fundamental nuclear material control plan [required of licensees authorized to possess and use 5 or more formula kilograms of SSNM]	Plan, until termination of license; superseded material, 3 years.
74.59(d)	System of measurements for material control and accounting	3 years or longer if required by 10 CFR 75 per 74.59(g).
74.59(e)	System of measurement quality control for SSNM	3 years or longer if required by 10 CFR 75 per 74.59(g).
74.59(f)(2)	Plans, policies, and procedures to ensure quality of physical inventory	3 years or longer if required by 10 CFR 75 per 74.59(g).
74.59(g)	<i>This section specifies that licensees establish auditable records to demonstrate that the requirements of 74.53, 74.55, 74.57, and 74.59 have been met and these records must be retained for 3 years or longer if required by 10 CFR 75</i>	
74.59(h)(1)	Procedures for evaluation and investigation of shipper-receiver differences	3 years or longer if required by 10 CFR 75 per 74.59(g).
74.59(h)(4)	Documentation of annual independent assessment of MC&A system	3 years or longer if required by 10 CFR 75 per 74.59(g).

10 CFR Part 75 – Safeguards on Nuclear Material—Implementation of US/IAEA Agreements

Section	Recordkeeping Requirement	Retention Period
75.12(b)(1)	Copy of licensee's request to withhold confidential information from IAEA and copies of documents related to request	Until termination of license or notification that licensee is no longer covered by Agreement. Superseded material, 3 years.
75.21(a)	Written MC&A procedures	Until termination of license or notification that licensee is no longer covered by Agreement. Superseded material, 3 years.
75.22	Accounting records for IAEA material balance areas and inventory changes [pursuant to 75.21]	5 years, per 75.24.
75.23	Operating records for IAEA material balance areas [pursuant to 75.21]	5 years, per 75.24.
75.46(c)(1)	Documentation of IAEA inspector's request for making additional measurements or taking additional samples	As specified in license conditions.
75.46(c)(2)	Documentation of IAEA request that will result in reimbursable extraordinary expense	As specified in license conditions.

10 CFR Part 95 – Security Facility Approval and Safeguarding of National Security Information and Restricted Data

Section	Recordkeeping Requirement	Retention Period
95.11	Documentation of request, notification, and processing of exemption to requirements of 10 CFR 95	3 years after end of exemption period.
95.25(a)(3)	Record of physical checks of security containers	3 years after making checks.
95.25(c)(1)	Lists of persons knowing classified lock combinations	Until superseded by new form or list or container removed from service.
95.25(d)	Records of lock combinations	Until superseded by new records of lock combinations or until security container is removed from service.
95.25(g)(2)	Record reflecting last date combination changed of security container	Duration of use of container.
95.25(g)(3)	Security container monitor sheets	1 month.
95.25(h)	Records concerning discovery of unattended security container containing classified material left unlocked	3 years after taking final corrective action.
95.25(i)	Record of individuals issued keys to gates or doors in security area perimeter	3 years after key returned.
95.33	Procedures for determining level of access authorization and need-to-know	3 years.
95.33	Records of individual's initial and refresher security orientations and termination	3 years after terminating access authorization.
95.36(d)	Record of IAEA visit and inspection	5 years after date of visit or inspection when access to classified matter was permitted.
95.36(d)	NRC Division of Security disclosure authorizations	5 years after date of visit or inspection when access to classified matter was permitted.
95.37(i)	Report of possible compromise of classified matter due to improperly marked documents [report made pursuant to 95.57]	3 years after taking final corrective.

10 CFR Part 95 – Security Facility Approval and Safeguarding of National Security Information and Restricted Data

Section	Recordkeeping Requirement	Retention Period
95.41	Records reflecting accountability and disposition of Secret National Security Information or Restricted Data	3 years after disposition of classified material.
95.47	Record of destruction of Secret National Security Information or Restricted Data	3 years after destroying material.

10 CFR Part 110 – Export and Import of Nuclear Equipment and Material

Section	Recordkeeping Requirement	Retention Period
110.53(b)(1)	Record of export or import of nuclear material or equipment	5 years after import or export or 3 years for byproduct material.

4 Reporting and Recordkeeping Requirements That Were Superseded or Discontinued

Since the guide was initially issued in 1991, a number of NRC requirements to report or record and keep information were superseded or discontinued. A number of these reporting and recordkeeping requirements were contained in 10 CFR Part 20, sections 20.1 through 20.602 and appendices. These sections were superseded by sections 20.1001 through 2402 and appendices which became mandatory on January 1, 1994, although earlier compliance by NRC licensees was encouraged.

In addition, three other parts, 10 CFR Parts 52, 73, and 110, were revised to clarify the NRC's regulatory intent, remove action dates that no longer apply, and correct outdated terms or cross-references.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
10 CFR Part 20 - Standards for Protection Against Radiation*			
20.7	<i>This section specifies that all communications and reports submitted pursuant to 10 CFR 20 should be transmitted to the Executive Director for Operations unless otherwise specified in the regulations</i>		
20.103(g)	Advance written notice of first use of respiratory protective equipment	Regional Administrator	30 days prior to first use of equipment.
20.108	Copies of reports of bio-assay services rendered to individuals to help determine extent of exposure to concentrations of radioactive material	Regional Office, unless otherwise specified in license	As specified in license.
20.203(c) (6)(vii)	Schedule for periodic testing of entry control and warning systems	Executive Director for Operations per 20.7	Condition of license.
20.205(b)(2)	Notification of removable radioactive contamination on external surface of package exceeding 0.01 microcuries per 100 square centimeters of package surface	Final delivering carrier and Regional Office (by telephone <u>and</u> telegraph, mailgram, or facsimile)	Immediately, after discovering excessive contamination. Monitoring performed as soon as practicable after receipt of package, but no later than 3 hours after package received or 18 hours if package received after normal working hours.

*Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
20.205(c)(2)	Notification of external radiation levels exceeding levels specified in 20.205(c)(2)	Regional Office (by telephone and telegraph, mailgram, or facsimile) and final delivering carrier	Immediately, after discovering excessive levels of radiation. Monitoring performed as soon as practicable after receiving package (no later than 3 hours if received during normal working hours or 18 hours after normal working hours).
20.311(g)(3)	Initial notification of missing shipment of radioactive waste [made by land disposal facility operator]	Shipper (waste generator, collector, or processor) and Regional Administrator	Within 60 days of receiving advance shipment manifest when shipment or part of shipment has not arrived.
20.311(h)(2)	Written report of trace investigation of missing shipment of radioactive waste [made by shipper (waste generator, collector, or processor) if acknowledgement of receipt not received within 20 days after transfer]	Regional Office	Within 2 weeks of completing investigation.

*Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
20.402(a)(1)	Initial notification of loss or theft of licensed nuclear material when a substantial hazard may result to persons in unrestricted areas	Licensees that have an installed Emergency Notification System shall make the initial notification to the NRC Operations Center in accordance with 50.72 (telephone no. 301-816-5100). All other licensees shall make the initial notification by telephone to the Administrator of the appropriate NRC Regional Office.	Immediately after determining loss or theft has occurred.
20.402(b)	Written report of loss or theft of licensed nuclear material when a substantial hazard may result to persons in unrestricted areas	Document Control Desk and Regional Office	Within 30 days of determining that loss or theft has occurred.
20.402(c)	Report of substantive additional information concerning loss or theft of licensed nuclear material when a substantial hazard may result to persons in unrestricted areas	Document Control Desk and Regional Office	Within 30 days of discovering additional substantive information.
20.402(e)	<i>This section specifies that holders of operating licenses for nuclear power plants must report events described in 20.402(b) in accordance with requirements of 50.73(b), (c), d), (e), and (g) and a duplicate report under 20.402(b) is not required</i>		

*Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
20.403(a)	Immediate notification of overexposure or excessive release of radioactive material [for incidents meeting conditions specified in 20.403(a)(1) and (2)]	1) Licensees with the Emergency Notification System installed, report to the NRC Operations Center pursuant to 50.72, 2) Other licensees report to NRC Operations Center (by telephone at 301-816-5100) and Regional Administrator (by telegram, mailgram, or facsimile)	Immediately after discovering incident.
20.403(b)	24-hour notification of overexposure or excessive release of radioactive material [for incidents meeting conditions specified in 20.403(b)(1) and (2)]	1) Licensees with the Emergency Notification System installed, report to the NRC Operations Center pursuant to 50.72, 2) Other licensees report to NRC Operations Center (by telephone at 301-816-5100) and Regional Administrator (by telegram, mailgram, or facsimile)	Within 24 hours of discovering event.
20.405(a)(1)	Written report of overexposure or excessive levels and concentrations of radioactive material [for incidents meeting conditions specified in 20.405(a)(1)(i), (ii), (iii), (iv), or (v)]	Document Control Desk and Regional Office	Within 30 days of incident.
20.405(c)(1)	Written report of radiation levels or releases of radioactive material exceeding limits in 40 CFR 190 [or exceeding limits in license conditions related to compliance with 40 CFR 190]	Document Control Desk and Regional Office	Within 30 days of discovering event.

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

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Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
20.405(d)	<i>This section specifies that holders of operating licenses for nuclear power plants must report events described in 20.405(a) or (c) in accordance with requirements of 50.73(b), (c), (d), (e), and (g) and a duplicate report under 20.405(a) or (c) is not required</i>		
20.407(a)	Personnel monitoring report of total number of individuals: 1) that required personnel monitoring pursuant to 20.202(a) or 34.33(a), or 2) were provided personnel monitoring during calendar year [or negative declaration when no personnel monitoring was required]	Director, RES	Annually, during first quarter of each calendar year for preceding calendar year.
20.407(b)	Statistical summary report of personnel monitoring information for total number of individuals requiring monitoring under 20.407(a)	Director, RES	Annually, during first quarter of each calendar year for preceding calendar year.
20.408(b)	Report of individual's exposure to radiation and radioactive material during employment [made after individual terminates employment or assignment with licensee described in 20.408(a)]	REIRS Project Manager, RES	Within 30 days of determining exposure of individual, or 90 days after termination of employment or work assignment, whichever is earlier.
20.409(b)	Notice to individual of report made to NRC [of individual's exposure to radiation or radioactive material pursuant to 20.405 or 20.408]	Individual receiving exposure	No later than transmittal of exposure report to NRC and in compliance with 19.13(a).

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
20.1008(a) <i>Removal effective 01/'22/93</i>	Written notice of early compliance with 10 CFR 20.1001 through 20.2401	Director, NMSS or Director, NRR	Prior to Jan. 1, 1993; if licensee elects to implement the provisions of 20.1001 - 20.2401 before the date of mandatory compliance.

*Regulations 20.1 through 20.601 were superseded by
20.1001 through 20.2401 effective June 20, 1991.
Compliance became mandatory January 1, 1994.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
10 CFR Part 52 - Early site Permits; Standard Design Certifications; and Combined Licenses for Nuclear Power Plants			
52.103(a) <i>Removal effective 01/22/93</i>	Written notice of planned dates of fuel loading and criticality [required from holder of combined license]	Document Control Desk, Regional Office, and Resident Inspector per 50.4	Not less than 180 days prior to loading fuel.
10 CFR Part 73 - Physical Protection of Plants and Materials			
73.40(b) <i>Superseded 07/29/92</i>	Safeguards contingency plan [containing 4 categories of information: Background, generic planning base, licensee planning base, and responsibility matrix] in accordance with 73 Appendix C	Director, NMSS or Director, NRR per 73.4	As specified in license.
10 CFR Part 110 - Export and Import of Nuclear Equipment and Material			
110.43(a)(2) <i>Superseded 03/09/93</i>	Written assurance that physical security measures meet standards in INFCIRC/225 [from countries receiving Category I quantities of nuclear material]	Assistant Director for Exports, Security and Safety Cooperation, IP	Whenever circumstances change within a country that might reduce the effectiveness of its physical security program.
110.43(b) <i>Superseded 03/09/93</i>	Written assurance that physical security measures meet standards in INFCIRC/225 [from countries receiving Category II and III quantities of nuclear material]	Assistant Director for Exports, Security and Safety Cooperation, IP	Whenever circumstances change within a country that might reduce the effectiveness of its physical security program.

*Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.

Reporting Requirements That Were Superseded or Discontinued

Section	Reporting Requirement	Distribution	Frequency
110.43(c) <i>Superseded</i> 03/09/93	Written assurance that physical security measures meet standards in INFCIRC/225 [from countries receiving exported facilities]	Assistant Director for Exports, Security and Safety Cooperation, IP	Whenever circumstances change within a country that might reduce the effectiveness of its physical security program.

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

Recordkeeping Requirements That Were Superseded or Discontinued

Section	Recordkeeping Requirement	Retention Period
10 CFR Part 20 - Standards for Protection Against Radiation*		
20.101(b)(3)	NRC Form 4, Individual's "Occupational External Radiation Exposure History"	Until Commission authorizes disposition.
20.102(a)	Written statement disclosing that (1) individual had no prior occupational dose during current calendar year, or (2) nature and amount of any occupational dose that individual may have received during current calendar quarter from source of radiation possessed or controlled by other persons [signed by individual]	Until Commission authorizes disposition.
20.102(c)(2)	Records used to prepare NRC Form 4, "Occupational External Radiation Exposure History"	Until Commission authorizes disposition.
20.103(b)(2)	Record of occurrence, evaluation, and corrective actions taken when individual's intake of radiation exceeds 40-hour control measure specified in 20 Appendix B, Table 1	Until Commission authorizes disposition.
20.103(c)(2)	Respiratory protection program records, including: air sampling sufficient to identify hazard and to permit proper equipment selection and estimate exposures; surveys and bioassays to evaluate actual exposures; written procedures for selecting, fitting, and maintaining respirators and testing respirators for operability immediately prior to each use; written procedures regarding supervision and training personnel and issuing records; and determinations by physician that user is physically able to use respiratory protective equipment	Until Commission authorizes disposition.
20.103(c)(3)	Written policy statement covering: use of practicable engineering controls instead of respirators; routine, nonroutine, and emergency use of respirators; and periods of respirator use and relief from respirator use	Until Commission authorizes disposition.
20.201(b)	Radiation survey records <i>Refer to 20.401(b)</i>	

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

Recordkeeping Requirements That Were Superseded or Discontinued

Section	Recordkeeping Requirement	Retention Period
20.203(c)(6)(vii)	Record of entry control device testing	Until Commission authorizes disposition.
20.203(c)(6)(viii)	Administrative procedures as are necessary to physically protect and warn against inadvertent entry by any individual through entry and exit portals that are used in transporting material to and from the irradiation area, and are not intended for use by individuals	Until Commission authorizes disposition.
20.203(f)(3)(vi)	Written record of contents of radioactive material containers	Until Commission authorizes disposition.
20.205(d)	Safety procedures for opening packages of radioactive material	Until Commission authorizes disposition.
20.306(c)	Record of receipt, transfer, and disposal of byproduct material <i>Refer to 30.51</i>	
20.311(d)(7)	Copy of shipment manifest and documentation of acknowledgement of receipt for radioactive waste transferred to: land disposal facility, waste collector, or waste processor [retained by generator of waste]	As specified in 10 CFR 30, 40, and 70.
20.311(e)(5)	Copy of shipment manifest and documentation of acknowledgement of receipt for <u>consolidated</u> radioactive waste shipments transferred to land disposal facility [retained by waste collector consolidating shipments]	As specified in 10 CFR 30, 40, and 70.
20.311(e)(5)	Information from waste generator's shipment manifests [retained by waste collector consolidating shipments]	Until Commission authorizes disposition.
20.311(f)(8)	Copies of original shipment manifests prepared by waste generator, new manifests prepared by waste processor, and documentation of acknowledgement of receipt for radioactive waste shipments transferred to land disposal facility or waste collector [retained by waste processor]	As specified in 10 CFR 30, 40, and 70.
20.311(g)(2)	Copies of all completed shipment manifests or equivalent documentation for radioactive waste shipments transferred from waste generator, waste collector, or waste processor [retained by land disposal facility operator]	Until Commission authorizes disposition.

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

Recordkeeping Requirements That Were Superseded or Discontinued

Section	Recordkeeping Requirement	Retention Period
20.401(a)	Records of radiation exposure of individuals requiring personnel monitoring pursuant to 20.202 [maintained on NRC Form 5, "Current Occupational External Radiation Exposure"]	Until Commission authorizes disposition.
20.401(c)(1)	Records of bioassay including results of whole body counting examinations, required by 20.108	Until Commission authorizes disposition.
20.401(c)(2)	Records of results of radiation surveys required by 20.201(b), monitoring required by 20.205(b) and (c), and disposal made pursuant to 20.302, 20.303, removed 20.304, and 10 CFR 61	2 years after completing survey except for records listed in 20.401(c)(2)(i), (ii), and (iii).
20.401(c)(2)(i) (ii) (iii)	<ul style="list-style-type: none"> - Records of results of surveys to determine compliance with 20.103(a) - Records of results of surveys to determine external radiation dose, in absence of personnel monitoring data - Records of results of surveys used to evaluate release of radioactive effluents to environment 	Until Commission authorizes disposition.
20.401(c)(3)	Record of disposal of radioactive material pursuant to 20.302, 20.303, removed 20.304, and 10 CFR 61	Until Commission authorizes disposition.

***Regulations 20.1 through 20.601 were superseded by 20.1001 through 20.2401 effective June 20, 1991. Compliance became mandatory January 1, 1994.**

Recordkeeping Requirements That Were Superseded or Discontinued

Section	Recordkeeping Requirement	Retention Period
10 CFR Part 73 - Physical Protection of Plants and Materials		
73.20(c) <i>Superseded 08/28/92</i>	Fixed site safeguards physical protection plan	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.20(c) <i>Superseded 08/28/92</i>	Safeguards transportation protection plan	3 years after duration of possession of material. Superseded material, 3 years after making change.
73.40(b) <i>Superseded 08/28/92</i>	Current safeguards contingency plan [containing 5 categories of information: background, generic planning base, licensee planning base, responsibility matrix, and procedures]	Current plan, until termination of license. Superseded material, 3 years after making change.
73.40(c)(2) <i>Superseded 08/28/92</i>	Current safeguards contingency plan procedures [maintained at the licensee's site]	Current procedures, until termination of license. Superseded material, 3 years after making change.
73.40(d) <i>Superseded 08/28/92</i>	Documented results of annual review and audit of the safeguards contingency plan, procedures, and practices [reported to licensee's corporate and plant management]	3 years.

APPENDIX: Mailing and Delivery Addresses for NRC Offices in This Report

This appendix lists mailing and delivery addresses for NRC offices in headquarters and the regions.

Mailing Addresses for NRC Headquarters Offices

Executive Director for Operations
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Office of Nuclear Reactor Regulation
ATTN: Document Control Desk
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Office of Nuclear Material Safety and Safeguards
ATTN: Document Control Desk
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Division of Industrial and Medical Nuclear Safety
Office of Nuclear Material Safety and Safeguards
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Division of Fuel Cycle Safety and Safeguards
Office of Nuclear Material Safety and Safeguards
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Chief, Licensing Branch
Division of Fuel Cycle Safety and Safeguards
Office of Nuclear Material Safety and Safeguards
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

APPENDIX (Continued)

Director, Division of Waste Management
Office of Nuclear Material Safety and Safeguards
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

REIRS Project Manager
Office of Nuclear Regulatory Research
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Division of Nonproliferation, Exports, and Multilateral Relations
Office of International Programs
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

ATTN: Document Control Desk
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Division of Security
Office of Administration
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Director, Division of Security
ATTN: Criminal History Check Section
Office of Administration
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

Chief, Personnel Security Branch
Division of Security
Office of Administration
U.S. Nuclear Regulatory Commission
Washington, DC 20555-0001

APPENDIX (Continued)

Delivery Addresses for NRC Headquarters Offices

Delivery may also be made in person or by private carrier, between the hours of 7:30 a.m. and 4:15 p.m on Federal workdays, to the NRC's offices located at:

One White Flint North
11555 Rockville Pike
Rockville, Maryland 20852-2738

OR

NRC Public Document Room
Lower Level
2120 L Street, NW
Washington, DC 20555-0001

Mailing Addresses for NRC Regional Offices

U.S. Nuclear Regulatory Commission
Regional Administrator, Region I
475 Allendale Road
King of Prussia, PA 19406-1415

U.S. Nuclear Regulatory Commission
Regional Administrator, Region II
101 Marietta Street, N.W. Suite 2900
Atlanta, GA 30323-0199

U.S. Nuclear Regulatory Commission
Regional Administrator, Region III
801 Warrenville Road
Lisle, IL 60532-4351

APPENDIX (Continued)

U.S. Nuclear Regulatory Commission
Regional Administrator, Region IV
Parkway Central Plaza Building
611 Ryan Plaza Drive, Suite 400
Arlington, TX 76011-8064

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