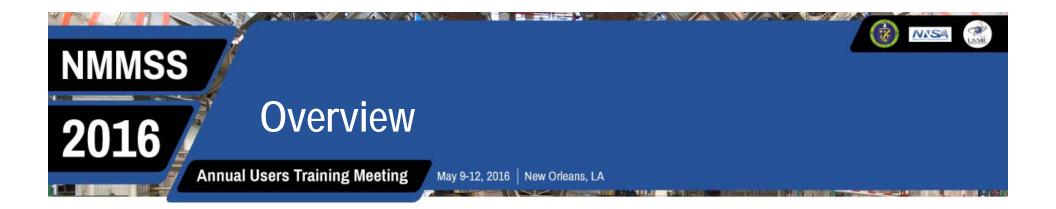


### Nuclear Material Import/Export Licenses **Uses and Reporting Processes**

Elaine Beacom NMMSS Staff



- The NRC Office of International Programs
  - Issues import and export licenses
  - Monitors export licenses
- What is required to import and export?
- How to report import and export transactions to NMMSS
- Common reporting issues and tips for avoiding them



## What is a Nuclear Regulatory Commission (NRC) import/export license?





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### Import licenses - general

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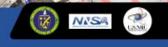
- Import licenses permit the receipt of nuclear material from a foreign entity for civilian uses
  - Most imports are authorized by a general license
    - Does not require that an application be filed with NRC
    - Permits imports of:
      - » byproduct, source, or special nuclear material (SNM)
      - » major components of a utilization facility



### Import license - specific

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- A specific license is issued to a named person
  - 10 CFR § 110.32 lists the information that must be submitted on the license application
- Imports that require a specific license:
  - Import of 100 kilograms or more of irradiated nuclear fuel
  - Imports of radioactive waste
  - Imports of a formula quantity of special nuclear material



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### Licenses for exports

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- Exports of nuclear material for civilian uses
  - Licensed by NRC Office of International Programs
  - Three categories of exports authorized by the NRC:
    - License-exempt "LIC-EXEMPT"
    - General license "GEN-LIC"
    - Specific license (requires application submitted on NRC Form 7)

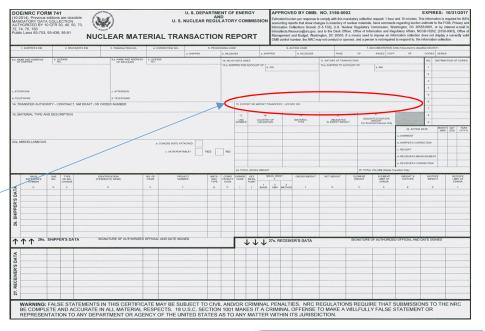


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#### Licenses for exports (continued)

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- Exports of IAEA safeguards samples are exempt from the NRC licensing requirement
  - 100 grams, or less, of SNM per year from a facility
  - 5 kilograms, or less, per year of source material from a facility
- These exports are documented as "LIC-EXEMPT" in box 15. "EXPORT OR IMPORT TRANSFERS: LICENSE NO," of DOE/NRC Form 741







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### Licenses for exports (continued)

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- Some exports of small quantities of nuclear material may be granted a "General License" by the NRC
  - Exports of 0.001 effective kilograms, or less, per shipment of SNM
    - 1 gram of plutonium or 1 gram of U-233
    - 10 kilograms of 1% enriched uranium
  - Exports of 3 grams or less of SNM contained in sensing components in instruments
  - SNM in fuel elements that are replacements for damaged or defective unirradiated fuel elements that had been previously exported
  - Exports of 10 kilograms of source material or less per shipment, not to exceed 1,000 kilograms to any one country in a calendar year

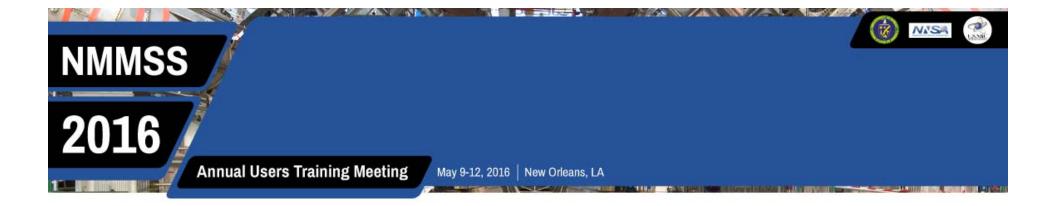


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#### Licenses for exports (continued)

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- For exports of greater quantities of nuclear material, a specific license is required
  - This type of license, issued by NRC, specifies the:
    - Quantity of nuclear material that may be exported
    - Chemical and physical form of nuclear material
    - Intermediate nuclear facilities to which the material may be exported
    - Name of nuclear facility that is to receive nuclear material
    - Foreign obligations attached to the material
    - Expiration date of the license



## What is required to import or export?

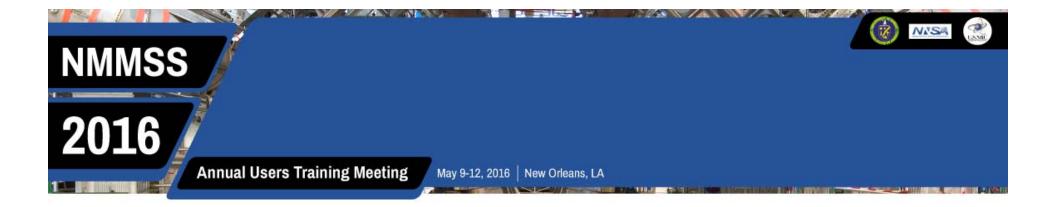




### Requirements for imports and exports

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- Valid license
- The license must specifically authorize the import/export of obligated material, if applicable
- Must comply with the guidelines of the appropriate 123 Agreement for Cooperation
- All involved parties must receive advance notification of shipment
- The U.S. facility must report the transaction to the NMMSS



## How to report import/export transactions to NMMSS





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### NMMSS reporting of imports and exports

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- Report on a DOE/NRC Form 741
  - Valid license entry
    - LIC-EXEMPT
    - GEN-LIC
    - Specific license number
  - U.S. facility reports both the shipper and receiver information for imports
  - U.S. facility reports only shipper information for exports (NMMSS generates the information for the receiver side)
  - An entry for the batch name is required on import or export transactions.
    Importers must use the batch name used by the shipper.
  - For imports, if the receiver's batch name differs from that of the shipper,
    NMMSS must collect both batch names to report to IAEA



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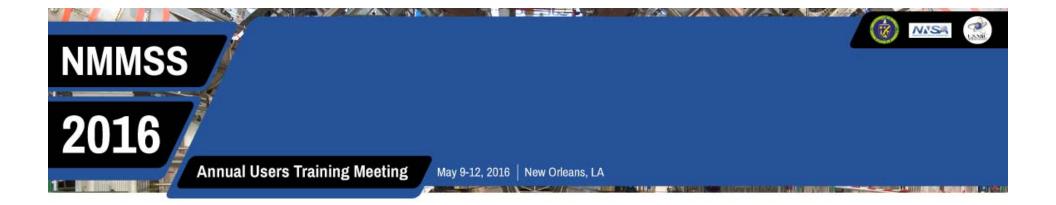
### NMMSS reporting of imports and exports

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- NRC provides copies of all approved licenses to NMMSS
- NMMSS monitors import and export licenses
  - Is the license active?
  - Is the consignee authorized by the license?
  - Is the quantity of material less than or equal to the license quantity limits?



- The NRC has several methods for monitoring license compliance
  - Facility inspections
  - U.S. facility reporting to NMMSS
  - International Atomic Energy Agency (IAEA) matching foreign government shipment and receipt reports with U.S. Government shipment and receipt reports



## Common reporting issues and tips for avoiding them





### **Export reporting issues**

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- Exports of nuclear material:
  - DOE/NRC Form 741, Box 15: EXPORT OR IMPORT TRANSFERS
    LICENSE NO: must be a valid NRC export license number
  - Exporting more nuclear material than authorized by the export license
  - DOE/NRC Form 741, Box 26: SHIPPER'S DATA: each fuel assembly being exported should be listed as a separate line with the applicable weights
  - Exports of one or more reportable units of nuclear material should be documented as a transaction on DOE/NRC Form 741, not as an onsite inventory adjustment (i.e., A-M transaction)

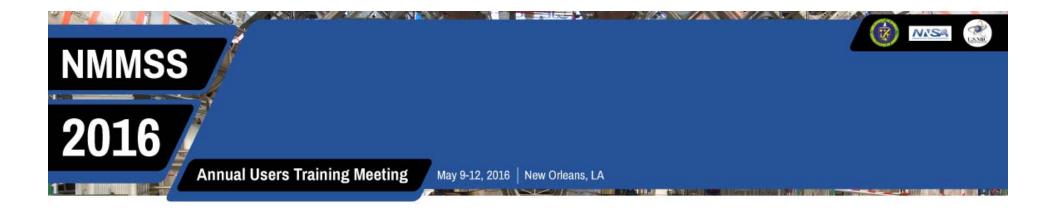


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#### Import reporting issues

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- Import of nuclear material:
  - DOE/NRC Form 741, Box 15: EXPORT OR IMPORT TRANSFERS: LICENSE NO: be sure to use a valid NRC import license number (e.g., "GEN-LIC")
  - Imports of one or more reportable units of nuclear material should be documented as a transaction on DOE/NRC Form 741, not as an on-site inventory adjustment (i.e., A-M transaction)
  - Use the shipper's batch name to document receipt



### Questions?

