



Accountability
Performance
Accuracy

The Nuclear Materials Management Safeguards System

NMMSS

2016

Annual Users Training Meeting

May 9-12, 2016 | New Orleans, LA

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

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





- 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





- 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

- 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

DOE/NRC FORM 741
10-2014 Previous editions are obsolete
MANDATORY DATA COLLECTION
AUTHORIZED BY 10 CFR 30.40, 50, 70,
72, 74, 75, 150
Public Laws 93-703, 93-436, 95-61

U. S. DEPARTMENT OF ENERGY
AND
U. S. NUCLEAR REGULATORY COMMISSION

APPROVED BY OMB: NO. 3150-0003
Estimated burden per response to comply with this mandatory collection request: 1 hour and 15 minutes. This information is required for IAEA accounting reports that show changes in inventory of nuclear materials. Send comments regarding burden estimate to the OIA, Privacy and Information Collection Branch (7-4 F35), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by internet e-mail to burden@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NIOSH-10202, (3160-0003), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.

EXPIRES: 10/31/2017

NUCLEAR MATERIAL TRANSACTION REPORT

1. SHIPPER'S REG.		2. RECEIVER'S REG.		3. TRANSACTION NO.		4. CORRECTION NO.		5. PROCESSING CODE		6. ACTION CODE		7. DOCUMENTATION ONLY (Approved & Issued)	
8. SHIPPER'S NAME AND ADDRESS (SEE INSTRUCTIONS)		9. LICENSE		10. NAME AND ADDRESS OF RECEIVER		11. LICENSE NO.		12. NO. OF DATA LINES		13. NATURE OF TRANSACTION		14. DISTRIBUTION OF COPIES	
15. ATTENTION		16. ATTENTION		17. ATTENTION		18. ATTENTION		19. ATTENTION		20. ATTENTION		21. ATTENTION	
14. TRANSFER AUTHORITY - CONTRACT, NM DRAFT, OR ORDER NUMBER		15. EXPORT OR IMPORT TRANSFERS: LICENSE NO.		16. MATERIAL TYPE AND DESCRIPTION		17. LINE NUMBER		18. COUNTRY OF ORIGIN		19. MATERIAL TYPE		20. CALCULATED ELEMENT WEIGHT	
23a. MISCELLANEOUS		b. CONCISE NOTE ATTACHED		c. US REPORTABLE?		d. YES		e. NO		f. TOTAL VOLUME (GROSS TARE)		g. ACTION DATE	
26. SHIPPER'S DATA		26a. SHIPPER'S DATA		26b. SHIPPER'S DATA		26c. SHIPPER'S DATA		26d. SHIPPER'S DATA		26e. SHIPPER'S DATA		26f. SHIPPER'S DATA	
27. RECEIVER'S DATA		27a. RECEIVER'S DATA		27b. RECEIVER'S DATA		27c. RECEIVER'S DATA		27d. RECEIVER'S DATA		27e. RECEIVER'S DATA		27f. RECEIVER'S DATA	

WARNING: FALSE STATEMENTS IN THIS CERTIFICATE MAY BE SUBJECT TO CIVIL AND/OR CRIMINAL PENALTIES. NRC REGULATIONS REQUIRE THAT SUBMISSIONS TO THE NRC BE COMPLETE AND ACCURATE IN ALL MATERIAL RESPECTS. 18 U.S.C. SECTION 1001 MAKES IT A CRIMINAL OFFENSE TO MAKE A WILLFULLY FALSE STATEMENT OR REPRESENTATION TO ANY DEPARTMENT OR AGENCY OF THE UNITED STATES AS TO ANY MATTER WITHIN ITS JURISDICTION.





- 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





- 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



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NSA



What is required to
import or export?



Requirements for imports and exports

- 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

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How to report import/export transactions to NMMSS



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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NNSA



- 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?



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License Monitoring

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NISA



- 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



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Common reporting issues and tips for avoiding them



- 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 on-site inventory adjustment (i.e., A-M transaction)



- 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



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Questions?

