



REGULATORY GUIDE

OFFICE OF STANDARDS DEVELOPMENT

REGULATORY GUIDE 10.1

COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

A. INTRODUCTION

The Commission's regulations set forth in Title 10, Chapter I, Code of Federal Regulations, require the submission of various reports in connection with licensed activities. In addition, the Commission's regulations require that each applicant for a license authorizing operation of a production or utilization facility include in the application proposed technical specifications. These technical specifications as approved by the NRC are incorporated into the facility license as conditions of the license and include a section on reporting requirements. This guide is intended neither to impose additional reporting requirements nor to implement the reporting requirements of the source document. The purposes of this guide are (1) to provide a compilation of reporting requirements applicable to the various types of NRC licensees and other persons subject to NRC regulations and (2) to provide information that would assist in the timely and correct distribution of the reports.

B. REPORT COMPILATION

Appendix A presents a listing of the NRC reporting requirements in effect at the time of issuance of this guide, including identification of addressee or addressees, method of transmittal, timing, and type of licensee.

Appendix A does not discuss the specific information that should be contained in the report; for this information, the licensee should refer to the underlying regulation, condition of license, or provision of the license technical specifications. In some cases, the information that is to be submitted by licensees is described in detail in other publications in the Regulatory Guide Series. For example, Regulatory Guide 1.16, "Reporting of Operating Information—Appendix A Technical Specifications," deals with the reporting of operating information for nuclear power plants.

The reports listed in Appendix A reflect regulatory or license requirements existing at the time of issuance of this guide. It is expected that revisions to this guide will be made periodically as the various reporting requirements are revised or as reporting requirements are added or deleted. If there is a conflict between the information in this guide and the requirements specified in the regulations, conditions of license, or provisions of license technical specifications, the source document applies.

For the most part, neither the NRC's regulations nor the technical specification of a facility license specifies the number of copies of a report to be submitted by a licensee to the Commission. Submittal of the number of copies of each report as specified in Appendix A would aid in the timely review of the report by the staff. For any new or revised reporting requirement not listed in Appendix A and for which the appropriate number of copies is not specified in the regulations, license condition, or technical specification, submittal of 20 copies of the report by the licensee is requested.

The second column of Appendix A, titled "Types of Licensee," shows those types of licensees that are normally subject to the particular reporting requirement. Categories included are (A) Nuclear Power Reactor Licensees, (B) Other Production and Utilization Facility Licensees, (C) Byproduct Material Licensees, (D) Source Material Licensees, and (E) Special Nuclear Material Licensees. It should be noted that Nuclear Power Reactor Licensees and Other Production and Utilization Facility Licensees may combine in a single license the activities of other licensee categories that would otherwise be licensed separately. Further, because of the broad categorization of licensees listed in the "Type of Licensee" column and because other reporting requirements may be applicable in particular situations, this column should not be relied upon as definitive in all situations.

USNRC REGULATORY GUIDES

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

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

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

The guides are issued in the following ten broad divisions:

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

Requests for single copies of issued guides (which may be reproduced) or for placement on an automatic distribution list for single copies of future guides in specific divisions should be made in writing to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Document Control.

APPENDIX A

COMPILATION OF REPORTING REQUIREMENTS FOR PERSONS SUBJECT TO NRC REGULATIONS

<u>No.</u> ^a	<u>Types of Licensee</u> ^b	<u>Report</u>	<u>Requirement</u>	<u>Timing</u>	<u>Method</u>	<u>Primary Recipient</u>	<u>Secondary Addressee</u>
1.	All	Report of radioactive contamination of package of radioactive material	§20.205(b)(2)	Immediately	P,T ^c	NRC Reg. Off. ^d	Final Delivering Carrier
2.	All	Report of excessive radiation levels external to the package	§20.205(c)(2)	Immediately	P,T	NRC Reg. Off.	Final Delivering Carrier
3.	All	Theft or loss of licensed material	§20.402(a)	Immediately	P,T	NRC Reg. Off.	None
* 4.	All	Theft or loss of licensed material	§20.402(b)	30 days	W ^e	NRC Reg. Off. (2) ^f	Dir., IE ^g (6)
5.	All	Report of incident	§20.403(a)	Immediately	P,T	NRC Reg. Off.	None
6.	All	Report of incident	§20.403(b)	24 hours	P,T	NRC Reg. Off.	None
7.	All	Overexposure of individual and excessive levels and concentrations of radioactivity	§20.405(a)	30 days	W	NRC Reg. Off. (2)	Dir., IE (6) Exposed Individual (1)
8.	A,B,C,E	Personnel exposure and monitoring reports	§20.407(b)	Annually	W	Dir., IE (1)	None

* Lines indicate substantive changes from previous issue.

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

^b Code: A—Nuclear Power Reactor Licensees
B—Other Production and Utilization Facility Licensees
C—Byproduct Material Licensees
D—Source Material Licensees
E—Special Nuclear Material Licensees
All—All Licensees

^c P,T—indicates that notification may be by phone and telegraph, mailgram, or facsimile.

^d NRC Reg. Off.—indicates appropriate NRC Regional Office specified in Appendix D of 10 CFR Part 20.

^e W—indicates written report.

^f Number in parentheses following the primary addressee or the secondary addressee indicates the appropriate number of copies of the report requested to be forwarded.

^g Director, Office of Inspection and Enforcement, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

**COMPILATION OF REPORTING REQUIREMENTS FOR
PERSONS SUBJECT TO NRC REGULATIONS
(Continued)**

<u>No.</u>	<u>Types of Licensee</u>	<u>Report</u>	<u>Requirement</u>	<u>Timing</u>	<u>Method</u>	<u>Primary Recipient</u>	<u>Secondary Addressee</u>
9.	A,B,C,E	Personnel exposure at termination of employment	§20.408	30 days after determination of exposure or 90 days after termination, whichever is earlier	W	Dir., IE (1)	Exposed Individual (1)
10.	C	Reports required as conditions of Parts 30-36 licenses	§30.34(e)(4)	Specified in license condition		Specified in license condition	
11.	C	Transfer of tritium; Form NRC/ERDA-741; report by shipper	§30.55(a)	Promptly	W	ERDA Oak Ridge h(1)	Receiver (3)
12.	C	Transfer of tritium; Form NRC/ERDA-741; report by receiver	§30.55(a)	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
13.	C	Tritium inventory report	§30.55(b)	Semiannually	W	ERDA Oak Ridge (1)	None
14.	C	Unlawful diversion of tritium	§30.55(c)	Promptly	P,T	NRC Reg. Off. (1)	None
15.	C	Unlawful diversion of tritium	§30.55(c)	15 days	W	NRC Reg. Off. (2)	Dir., IE (5)
16.	C	Failure of or damage to shielding in device, on-off mechanism or indicator; detection of removable radioactive material	§31.5(c)(5)	30 days	W	NRC Reg. Off. (1)	None
17.	C	Transfer of device to specific licensee	§31.5(c)(8)	30 days	W	Dir., NMSS i (1)	None
18.	C	Transfer of device to general licensee	§31.5(c)(9)(i)	30 days	W	Dir., NMSS (1)	None

^h U.S. Energy Research and Development Administration, Post Office Box E, Oak Ridge, Tenn. 37830.

ⁱ Director, Office of Nuclear Material Safety and Safeguards, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

**COMPILATION OF REPORTING REQUIREMENTS FOR
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19.	C	Registration; Form NRC-483	§31.11(b)	Prior to use of bypro- duct material	W	Dir., NMSS (3)	None
20.	C	Report of changes of information furnished on Form NRC-483	§31.11(e)	30 days	W	Dir., NMSS (3)	None
21.	C	Material transfer report by §32.11 licensee	§32.12	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
22.	C	Import or transfer of material report by §32.14 or §32.17 licensee	§32.16	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
23.	C	Report of transfer — exempt quan- tities of byproduct material by §32.18 licensee	§32.20	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
24.	C	Import or transfer of material; report by §32.22 licensee	§32.25(c)	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
25.	C	Import or transfer of material; report by §32.26 licensee	§32.29(c)	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
26.	C	Transfer of devices generally licensed under §31.5 by §32.51 licensee	§32.52(a)	Quarterly	W	Dir., NMSS (3)	NRC Reg. Off. (1)

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27.	C	Transfer of devices generally licensed under Agreement State regulations equivalent to §31.5	§32.52(b)	Quarterly	W	Agreement State Agency (1)	None
28.	C	Transfer of tritium or promethium-147 generally licensed under §31.7 by §32.53 licensee	§32.56	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
29.	C	Transfer of americium-241 generally licensed under §31.8 by §32.57 licensee	§32.60	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
30.	C	Transfer of strontium-90 generally licensed under §31.10 by §32.61 licensee	§32.63	Annually	W	Dir., NMSS (3)	NRC Reg. Off. (1)
31.	C	Disposition of leaking sealed radiographic source	§34.25(d)	5 days	W	Dir., NMSS (1)	NRC Reg. Off. (1)
32.	C	Report of exceeding limit of removable contamination by Group VI licensee	§35.14(b)(5)(iii)	5 days	W	NRC Reg. Off. (2)	Dir., IE (5)
33.	C	Report of exceeding limit of removable contamination revealed by leak test	§35.14(e)(3)	5 days	W	NRC Reg. Off. (2)	Dir., IE (5)
34.	C	Registration-Form NRC-482	§35.31(b)	Prior to use of byproduct material	W	Dir., NMSS (3)	None

**COMPILATION OF REPORTING REQUIREMENTS FOR
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<u>No.</u>	<u>Types Licensee</u>	<u>Report</u>	<u>Requirement</u>	<u>Timing</u>	<u>Method</u>	<u>Primary Recipient</u>	<u>Secondary Addressee</u>
35.	C	Report of changes of information furnished on Form NRC-482	§35.31(d)	30 days	W	Dir., NMSS (3)	None
36.	A,B,D	Nuclear Material Transaction Report- Form NRC/ERDA-741 - filed by shipper	§40.64(a)	Promptly	W	ERDA Oak Ridge (1)	Receiver (3)
37.	A,B,D	Nuclear Material Transaction Report - Form NRC/ERDA-741 filed by receiver	§40.64(a)	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
38.	A,B,D	Annual statement of source materials inventory	§40.64(b)	Annually	W	ERDA Oak Ridge (1)	None
39.	A,B,D	Unlawful diversion of source material	§40.64(c)	Promptly	P,T	NRC Reg. Off.	None
40.	A,B,D	Unlawful diversion of source material	§40.64(c)	15 days	W	NRC Reg. Off. (2)	Dir., IE (6)
41.	D	Effluent Monitoring Report	§40.65	Semiannually	W	NRC Reg. Off. (2)	Dir., IE (6)
42.	A	Effluent releases report	§50.36a(a) (2), Tech Specs	Semiannually	W	NRC Reg. Off. (2)	Dir., IE ^j (6)
43.	A,B	Changes in security plan made without prior approval	§50.54(p)	Two months after change	W	Dir., NRR ^{j,k} (5)	NRC Reg Off. (1)
44.	A,B	Completion of construction before earliest date specified	§50.55(a)	Promptly	W	NRC Reg. Off. (2)	Dir., IE ^j (10)

^j Send report to addressee listed % Distribution Services Branch, DDC, ADM.

^k Director, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

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<u>No.</u>	<u>Types of Licensee</u>	<u>Report</u>	<u>Requirement</u>	<u>Timing</u>	<u>Method</u>	<u>Primary Recipient</u>	<u>Secondary Addressee</u>
45.	A,B	Construction deficiency report	§50.55(e)(2)	24 hr	P,T	NRC Reg. Off.	None
46.	A,B	Construction deficiency report	§50.55(e)(3)	30 days	W	NRC Reg. Off. (2)	Dir., IE ^j (15)
47.	A,B	Report of facility changes, tests, and experiments conducted without prior NRC approval	§50.59(b) ¹	Annually or as otherwise specified in license	W	NRC Reg. Off. (2)	Dir., IE ^j (40)
48.	A,B	Copy of annual financial report	§50.71(b)	Upon issuance	W	Dir., NRR ^j (8)	None
49.	A	Fracture toughness	Part 50, App. G, Sec. V.E	At least 3 years prior to date when the predicted fracture toughness levels will no longer satisfy requirements of Appendix G	W	Dir., NRR ^j (12)	None
50.	A	Report of test results of specimens withdrawn from capsules (fracture toughness tests)	Part 50, App. H, Sec. IV.	Variable	W	Dir., NRR ^j (11)	None
51.	A	Report of effluents released in excess of design objectives	Part 50, App. I, Sec. IV.A	30 days	W	NRC Reg. Off. (2)	Dir., IE ^j (20)
52.	A	Reactor containment building integrated leak rate test	Part 50, App. J Sec. V.B	3 months	W	Dir., NRR ^j (12)	None
53.	A,B	Notification of disability of operator	§55.41	15 days	W	Dir., NRR or Dir., NMSS as appropriate (2)	None

¹ See also Reference Number 97.

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54.	E	Reports required as conditions of license for Part 70 licensees	§70.32(b)(5)	Specified in license conditions		Specified in license conditions	
55.	E	Changes in material control and accounting program made without prior approval	§70.32(c)	2 months or 6 months	W	Dir., NMSS (4)	NRC Reg. Off. (1) ^m
56.	E	Changes in plan for physical protection of SNM in transit made without prior approval	§70.32(d)	2 months	W	Dir., NMSS (4)	NRC Reg. Off. (1)
57.	E	Changes In security plan made without prior approval	§70.32(e)	2 months	W	Dir., NMSS (3)	NRC Reg. Off. (1)
58.	E	Annual report of plutonium transfer to general licensees under §70.19	§70.39(d)	Annual	W	Dir., NMSS (2)	None
59.	A,B,E	Accidental criticality or loss of SNM	§70.52(a) ⁿ	Immediately	P,T	NRC Reg. Off.	None
60.	A,B,E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§70.52(b)	Immediately	P,T	NRC Reg. Off.	None
61.	A,B,E	Material status report, Form NRC/ERDA-742	§70.53(a)	Semiannually	W	ERDA Oak Ridge (1)	None

^mReports required by Parts 70 and 73 should be sent to the appropriate NRC Regional Office listed in Appendix A of 10 CFR Part 73.

ⁿSee also Reference Numbers 99 and 100.

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62.	A,B,E	Unaccounted for SNM exceeding applicable limits	§70.53(b)	30 days after start of ending physical inventory	W	NRC Reg. Off. (1)	Dir., IE (5)
63.	A,B,E	Nuclear Material Transaction Report Form NRC/ERDA-741— filed by shipper	§70.54	Promptly	W	ERDA Oak Ridge (1)	Receiver (3)
64.	A,B,E	Nuclear Material Transaction Report Form NRC/ERDA-741— filed by receiver	§70.54	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
65.	E	Effluent Monitoring Report	§70.59	Semiannually	W	NRC Reg. Off. (2)	Dir., IE (6)
66.	C,D,E	Notifications required by DOT on transportation of licensed material	§71.5(b)	Prior to shipment	W	Dir., NMSS (5)	NRC Reg. Off. (1)
67.	All	Request for registration as user of authorized packages	§71.12(b)(1)(iii)	Prior to first use of package	W	Dir., NMSS (4)	None
68.	A,B,C,E	Reductions in effectiveness of authorized package during use	§71.61	30 days	W	Dir., NMSS (2)	None
69.	A,B,E	Notice by licensee of failure to receive periodic calls during shipment of SNM by road	§73.31(b)	Immediately	Telephone	NRC Reg. Off.	Appropriate Law Enforcement Authority

**COMPILATION OF REPORTING REQUIREMENTS FOR
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70.	A,B,E	Notice by licensee of failure to receive periodic calls during shipping of SNM by rail	§73.33(a)	Immediately	Tele- phone	NRC Reg. Off.	Appropriate Law Enforcement Authority
71.	A,B,E	Receipt of shipment of SNM by licensee	§73.36(e)	Immediately	P,T	Deliverer	NRC Reg. Off.
72.	A,B,E	Failure of shipment of SNM to arrive at destination—notification by consignee	§73.36(e)	Immediately	P,T	NRC Reg. Off.	Deliverer
73.	A,B,E	Action taken to trace shipment of SNM—notification by licensee who made the physical protection arrangements	§73.36(e)	Immediately	P,T	NRC Reg. Off.	None
74.	A,B,E	Results of trace investigation of lost or unaccounted for shipment of SNM	§73.71(a)	Immediately	P,T	NRC Reg. Off.	None
75.	A,B,E	Results of trace investigation of lost or unaccounted for shipment of SNM	§73.71(a)	15 days	W	NRC Reg. Off. (2)	Dir., IE (8)
76.	A,B,E	Report of suspected theft or diversion of SNM or industrial sabotage against plant	§73.71(b)	Immediately	P,T	NRC Reg. Off.	None

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77.	A,B,E	Report of suspected theft or diversion of SNM or industrial sabotage against plant	§73.71(b)	15 days	W	NRC Reg. Off. (2)	Dir., IE (8)
78.	A,B,E	Advance notice of shipment	§73.72	7 days prior to shipment	W	NRC Reg. Off. (2)	None
79.	A,B	Bodily injury or property damage from possession or use of radioactive material resulting in indemnity claim	§140.6(a)	Promptly as practicable	W	Dir., NRR (6)	None
80.	A,B	Balance sheet and operating statement	§140.18(a)	Annually	W	Dir., NRR (6)	None
81.	E	Nuclear Material Transaction Report Form NRC/ERDA-741—filed by shipper of SNM	§150.16(a)	Promptly	W	ERDA Oak Ridge (1)	Receiver (3)
82.	E	Nuclear Material Transaction Report Form NRC/ERDA-741—filed by receiver of SNM	§150.16(a)	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
83.	E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§150.16(b)	Immediately	P,T	NRC Reg. Off.	None

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84.	E	Theft or unlawful diversion of SNM or attempted theft or unlawful diversion of SNM	§150.16(b)	15 days	W	NRC Reg. Off. (2)	Dir., IE (6)
85.	D	Nuclear Material Transaction Report Form NRC/ERDA-741—filed by shipper of source material	§150.17(a)	Promptly	W	ERDA Oak Ridge (1)	Receiver (3)
86.	D	Nuclear Material Transaction Report Form NRC/ERDA-741—filed by receiver of source material	§150.17(a)	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
87.	D	Annual statement of source material inventory	§150.17(b)	Annually	W	ERDA Oak Ridge (1)	None
88.	D	Unlawful diversion or theft of source material	§150.17(c)	Promptly	P,T	NRC Reg. Off.	None
89.	D	Unlawful diversion or theft of source material	§150.17(c)	15 days	W	NRC Reg. Off. (2)	Dir., IE (6)
90.	C	Tritium transfer report Form NRC/ERDA-741—filed by shipper	§150.19(a)	Promptly	W	ERDA Oak Ridge (1)	Receiver (1)

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91.	C	Tritium transfer report Form NRC/ERDA—741 filed by receiver	§150.19(a)	10 days after receipt of material	W	ERDA Oak Ridge (1)	Shipper (1)
92.	C	Tritium inventory report	§150.19(b)	Semiannually	W	ERDA Oak Ridge (1)	None
93.	C	Unlawful diversion or theft of tritium	§150.19(c)	Promptly	P,T	NRC Reg. Off.	None
94.	C	Unlawful diversion or theft of tritium	§150.19(c)	15 days	W	NRC Reg. Off. (2)	Dir., IE (6)
95.	C,D,E	Report of proposed activities in non-Agreement States—Form NRC-241	§150.20(b)(1)	3 days prior to engaging in each such activity	W	NRC Reg. Off. (4)	None
96.	A	Startup of Reactor	Tech Specs	Within (1) 90 days following completion of the startup test program, (2) 90 days following resumption or commencement of commercial power operation, or (3) 9 months following initial criticality, whichever is earliest. If all three events are not completed, supplementary reports every 3 months.	W	NRC Reg. Off. (2)	Dir., IE ^j (36)
97.	A,B	Annual Operating Report	Tech Specs	Annually	W	NRC Reg. Off. (2)	Dir., IE ^j (40)

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98.	A,B	Monthly Operating Report	Tech Specs	Monthly	W	Dir., MIPC ^{P,j} (2)	Dir., IE (10); ^j NRC Reg. Off. (1)
99.	A,B	Reportable Occurrence	Tech Specs	24 hours	P,T	NRC Reg. Off.	Dir., MIPC (2) ^j
100.	A,B	Reportable Occurrence	Tech Specs	14 days	W	NRC Reg. Off. (3)	Dir., IE (40); ^j Dir. MIPC (3) ^j
101.	A,B	Reportable Occurrence	Tech Specs	30 days	W	NRC Reg. Off. (3)	Dir., IE (30); ^j Dir. MIPC (3) ^j
102.	A,B	Source Leakage Report	Tech Specs for Part 50 Licensees	Annually	W	NRC Reg. Off. (2)	Dir., IE (4) ^j
103.	A	Annual Environmental Operating Report (Part A and Part B)	Tech Specs	Annually	W	NRC Reg. Off. (2)	Dir., NRR (17) ^j
104.	A	Nonroutine Environmental Operating Report	Tech Specs	24 hours	P,T	NRC Reg. Off.	Dir., NRR (3) ^j
105.	A	Nonroutine Environmental Operating Report	Tech Specs	10 days ^q	W	NRC Reg. Off. (2)	Dir., NRR (17) ^j
106.	A	Nonroutine Environmental Operating Report	Tech Specs	30 days	W	NRC Reg. Off. (2)	Dir., NRR (17) ^j

^P Director, Office of Management Information and Program Control, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

^q Revision to regulatory guidance is expected that will change timing from 10 to 14 days.

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