Nuclear Regulatory Commission

§ 20.2201 Reports of theft or loss of licensed material.

(a) Telephone reports. (1) Each licensee shall report by telephone as follows:
   (i) Immediately after its occurrence becomes known to the licensee, any lost, stolen, or missing licensed material in an aggregate quantity equal to or greater than 1,000 times the quantity specified in appendix C to part 20 that appears to the licensee that an exposure could result to persons in unrestricted areas; or
   (ii) Within 30 days after the occurrence of any lost, stolen, or missing licensed material becomes known to the licensee, all licensed material in a quantity greater than 10 times the quantity specified in appendix C to part 20 that is still missing at this time.

   (2) Reports must be made as follows:
      (i) Licensees having an installed Emergency Notification System shall make the reports to the NRC Operations Center in accordance with §50.72 of this chapter, and
      (ii) All other licensees shall make reports by telephone to the NRC Operations Center (301-951-0550).

(b) Written reports. (1) Each licensee required to make a report under paragraph (a) of this section shall, within 30 days after making the telephone report, make a written report setting forth the following information:
   (i) A description of the licensed material involved, including kind, quantity, and chemical and physical form; and
   (ii) A description of the circumstances under which the loss or theft occurred; and
   (iii) A statement of disposition, or probable disposition, of the licensed material involved; and
   (iv) Exposures of individuals to radiation, circumstances under which the exposures occurred, and the possible total effective dose equivalent to persons in unrestricted areas; and
   (v) Actions that have been taken, or will be taken, to recover the material; and
   (vi) Procedures or measures that have been, or will be, adopted to ensure against a recurrence of the loss or theft of licensed material.

(c) A duplicate report is not required under paragraph (b) of this section if the licensee also is required to submit a report pursuant to §§30.55(c), 40.64(c), 70.51, and 72.80 for activities licensed under these parts.


§ 20.2109 [Reserved]

§ 20.2110 Form of records.

Each record required by this part must be legible throughout the specified retention period. The record may be the original or a reproduced copy or a microform provided that the copy or microform is authenticated by authorized personnel and that the microform is capable of producing a clear copy throughout the required retention period. The record may also be stored in electronic media with the capability for producing legible, accurate, and complete records during the required retention period. Records, such as letters, drawings, and specifications, must include all pertinent information, such as stamps, initials, and signatures. The licensee shall maintain adequate safeguards against tampering with and loss of records.

Subpart M—Reports

SOURCE: 56 FR 23406, May 21, 1991, unless otherwise noted.

§ 20.2201 Reports of theft or loss of licensed material.

(a) Telephone reports. (1) Each licensee shall report by telephone as follows:
   (i) Immediately after its occurrence becomes known to the licensee, any lost, stolen, or missing licensed material in an aggregate quantity equal to or greater than 1,000 times the quantity specified in appendix C to part 20 under such circumstances that it appears to the licensee that an exposure could result to persons in unrestricted areas; or
   (ii) Within 30 days after the occurrence of any lost, stolen, or missing licensed material becomes known to the licensee, all licensed material in a quantity greater than 10 times the quantity specified in appendix C to part 20 that is still missing at this time.

   (2) Reports must be made as follows:
      (i) Licensees having an installed Emergency Notification System shall make the reports to the NRC Operations Center in accordance with §50.72 of this chapter, and
      (ii) All other licensees shall make reports by telephone to the NRC Operations Center (301-951-0550).

(b) Written reports. (1) Each licensee required to make a report under paragraph (a) of this section shall, within 30 days after making the telephone report, make a written report setting forth the following information:
   (i) A description of the licensed material involved, including kind, quantity, and chemical and physical form; and
   (ii) A description of the circumstances under which the loss or theft occurred; and
   (iii) A statement of disposition, or probable disposition, of the licensed material involved; and
   (iv) Exposures of individuals to radiation, circumstances under which the exposures occurred, and the possible total effective dose equivalent to persons in unrestricted areas; and
   (v) Actions that have been taken, or will be taken, to recover the material; and
   (vi) Procedures or measures that have been, or will be, adopted to ensure against a recurrence of the loss or theft of licensed material.

(c) A duplicate report is not required under paragraph (b) of this section if the licensee also is required to submit a report pursuant to §§30.55(c), 40.64(c), 70.51, and 72.80 for activities licensed under these parts.

§ 20.2202 Notification of incidents.

(a) Immediate notification. Notwithstanding any other requirements for notification, each licensee shall immediately report any event involving by-product, source, or special nuclear material possessed by the licensee that may have caused or threatens to cause any of the following conditions—

(1) An individual to receive—
   (i) A total effective dose equivalent of 25 rems (0.25 Sv) or more; or
   (ii) A lens dose equivalent of 75 rems (0.75 Sv) or more; or
   (iii) A shallow-dose equivalent to the skin or extremities of 250 rads (2.5 Gy) or more; or

(2) The release of radioactive material, inside or outside of a restricted area, so that, had an individual been present for 24 hours, the individual could have received an intake in excess of one occupational annual limit on intake (the provisions of this paragraph do not apply to locations where personnel are not normally stationed during routine operations, such as hot-cells or process enclosures).

(b) Twenty-four hour notification. Each licensee shall, within 24 hours of discovery of the event, report any event involving loss of control of licensed material possessed by the licensee that may have caused, or threatens to cause, any of the following conditions:

(1) An individual to receive, in a period of 24 hours—
   (i) A total effective dose equivalent exceeding 5 rems (0.05 Sv); or
   (ii) A lens dose equivalent exceeding 15 rems (0.15 Sv); or
   (iii) A shallow-dose equivalent to the skin or extremities exceeding 50 rems (0.5 Sv); or

(2) The release of radioactive material, inside or outside of a restricted area, so that, had an individual been present for 24 hours, the individual could have received an intake in excess of one occupational annual limit on intake (the provisions of this paragraph do not apply to locations where personnel are not normally stationed during routine operations, such as hot-cells or process enclosures).

(c) The licensee shall prepare any report filed with the Commission pursuant to this section so that names of individuals who have received exposure to radiation or radioactive material are stated in a separate and detachable part of the report.

(d) Reports made by licensees in response to the requirements of this section must be made as follows:

(1) Licensees having an installed Emergency Notification System shall make the reports required by paragraphs (a) and (b) of this section to the NRC Operations Center in accordance with 10 CFR 50.72; and

(2) All other licensees shall make the reports required by paragraphs (a) and (b) of this section by telephone to the NRC Operations Center (301) 816-5100.

(e) The provisions of this section do not include doses that result from planned special exposures, that are within the limits for planned special exposures, and that are reported under § 20.2204.


§ 20.2203 Reports of exposures, radiation levels, and concentrations of radioactive material exceeding the constraints or limits.

(a) Reportable events. In addition to the notification required by § 20.2202, each licensee shall submit a written report within 30 days after learning of any of the following occurrences:

(1) Any incident for which notification is required by § 20.2202; or
§ 20.2205 Reports to individuals of exceeding dose limits.

(2) Doses in excess of any of the following:

(i) The occupational dose limits for adults in § 20.1201; or
(ii) The occupational dose limits for a minor in § 20.1207; or
(iii) The limits for an embryo/fetus of a declared pregnant woman in § 20.1208; or
(iv) The limits for an individual member of the public in § 20.1301; or
(v) Any applicable limit in the license; or
(vi) The ALARA constraints for air emissions established under § 20.1101(d); or

(3) Levels of radiation or concentrations of radioactive material in—

(i) A restricted area in excess of any applicable limit in the license; or
(ii) An unrestricted area in excess of 10 times any applicable limit set forth in this part or in the license (whether or not involving exposure of any individual in excess of the limits in § 20.1301); or

(4) For licensees subject to the provisions of EPA’s generally applicable environmental radiation standards in 40 CFR part 190, levels of radiation or releases of radioactive material in excess of those standards, or of license conditions related to those standards.

(b) Contents of reports. (1) Each report required by paragraph (a) of this section must describe the extent of exposure of individuals to radiation and radioactive material, including, as appropriate:

(i) Estimates of each individual’s dose; and
(ii) The levels of radiation and concentrations of radioactive material involved; and
(iii) The cause of the elevated exposures, dose rates, or concentrations; and

(iv) Corrective steps taken or planned to ensure against a recurrence, including the schedule for achieving conformance with applicable limits, ALARA constraints, generally applicable environmental standards, and associated license conditions.

(2) Each report filed pursuant to paragraph (a) of this section must include for each occupationally overexposed individual: the name, Social Security account number, and date of birth. The report must be prepared so that this information is stated in a separate and detachable part of the report.

(c) For holders of an operating license for a nuclear power plant, the occurrences included in paragraph (a) of this section must be reported in accordance with the procedures described in § 50.73(b), (c), (d), (e), and (g) of this chapter and must also include the information required by paragraph (b) of this section. Occurrences reported in accordance with § 50.73 of this chapter need not be reported by a duplicate report under paragraph (a) of this section.

(d) All licensees, other than those holding an operating license for a nuclear power plant, who make reports under paragraph (a) of this section shall submit the report in writing to the U.S. Nuclear Regulatory Commission, Document Control Desk, Washington, DC 20555, with a copy to the appropriate NRC Regional Office listed in appendix D to part 20.

§ 20.2206 Reports of individual monitoring.

(a) This section applies to each person licensed by the Commission to—
(1) Operate a nuclear reactor designed to produce electrical or heat energy pursuant to §50.21(b) or §50.22 of this chapter or a testing facility as defined in §50.2 of this chapter; or
(2) Possess or use byproduct material for purposes of radiography pursuant to parts 30 and 34 of this chapter; or
(3) Possess or use at any one time, for purposes of fuel processing, fabricating, or reprocessing, special nuclear material in a quantity exceeding 5,000 grams of contained uranium-235, uranium-233, or plutonium, or any combination thereof pursuant to part 70 of this chapter; or
(4) Possess high-level radioactive waste at a geologic repository operations area pursuant to part 60 of this chapter; or
(5) Possess spent fuel in an independent spent fuel storage installation (ISFSI) pursuant to part 72 of this chapter; or
(6) Receive radioactive waste from other persons for disposal under part 61 of this chapter; or
(7) Possess or use at any time, for processing or manufacturing for distribution pursuant to parts 30, 32, 33 or 35 of this chapter, byproduct material in quantities exceeding any one of the following quantitites:

<table>
<thead>
<tr>
<th>Radionuclide</th>
<th>Quantity of radionuclide 1 in curies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cesium-137</td>
<td>1</td>
</tr>
<tr>
<td>Cobalt-60</td>
<td>1</td>
</tr>
<tr>
<td>Gold-198</td>
<td>10</td>
</tr>
<tr>
<td>Iodine-131</td>
<td>1</td>
</tr>
<tr>
<td>Iridium-192</td>
<td>10</td>
</tr>
<tr>
<td>Krypton-85</td>
<td>1,000</td>
</tr>
<tr>
<td>Promethium-147</td>
<td>10</td>
</tr>
</tbody>
</table>

The Commission may require as a license condition, or by rule, regulation, or order pursuant to §20.2302, reports from licensees who are licensed to use radionuclides not on this list, in quantities sufficient to cause comparable radiation levels.

(b) Each licensee in a category listed in paragraph (a) of this section shall submit an annual report of the results of individual monitoring carried out by the licensee for each individual for whom monitoring was required by §20.1502 during that year. The licensee may include additional data for individuals for whom monitoring was provided but not required. The licensee shall use Form NRC 5 or electronic media containing all the information required by Form NRC 5.

(c) The licensee shall file the report required by §20.2206(b), covering the preceding year, on or before April 30 of each year. The licensee shall submit the report to the REIRS Project Manager, Office of Nuclear Regulatory Research, U.S. Nuclear Regulatory Commission, Washington, DC 20555.


Subpart N—Exemptions and Additional Requirements

§ 20.2301 Applications for exemptions.

The Commission may, upon application by a licensee or upon its own initiative, grant an exemption from the requirements of the regulations in this part if it determines the exemption is authorized by law and would not result in undue hazard to life or property.

§ 20.2302 Additional requirements.

The Commission may, by rule, regulation, or order, impose requirements on a licensee, in addition to those established in the regulations in this part, as it deems appropriate or necessary to protect health or to minimize danger to life or property.