



# NRC Export/Import Licensing 10 CFR Part 110

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July 12, 2016

# NRC Jurisdiction

## ▶ Legal Basis:

- Atomic Energy Act of 1954
- Nuclear Non-Proliferation Act of 1978
- Treaties, Conventions and Agreements

▶ Exports: reactors; fuel cycle facilities; components; nuclear grade graphite for nuclear end use; deuterium; source, special nuclear and byproduct materials including when contained in spent fuel or radioactive waste

▶ Imports: reactors; fuel cycle facilities; source, special nuclear and byproduct materials including when contained in spent fuel or radioactive waste

# If Subject to NRC Jurisdiction

- ▶ All exports and imports of NRC–controlled commodities (materials and equipment) must be authorized by either:
  - An NRC **general** export or import license or
  - An NRC **specific** export or import license or
  - An exemption from NRC requirements for a specific or a general license which may be granted in response to an application requesting an exemption or issued on NRC’s initiative

# NRC Form 7

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<b>NRC FORM 7</b> <small>FORM 7-00</small>		<b>U. S. NUCLEAR REGULATORY COMMISSION</b>	
<b>APPLICATION FOR NRC EXPORT OR IMPORT LICENSE, AMENDMENT, RENEWAL, OR CONSENT REQUEST(S)</b> <small>(See instructions on Pages 4 and 5)</small>			
<b>PART A. FOR NRC USE ONLY</b>		<small>DEFINITIONS: EXPORT: Removal from NRC control of any article, material, or information. IMPORT: The placing in NRC control of any article, material, or information. AMENDMENT: A change to any license, agreement, or consent request. RENEWAL: A request to extend the term of a license, agreement, or consent request. CONSENT REQUEST: A request for NRC approval of an activity that is not covered by an existing license, agreement, or consent request.</small>	
<input type="checkbox"/> PUBLIC OR <input type="checkbox"/> NON-PUBLIC	LICENSING JURISDICTION: <input type="checkbox"/> FEDERAL <input type="checkbox"/> STATE <input type="checkbox"/> LOCAL		
LICENSE NUMBER: _____	LICENSE TITLE: _____	LICENSE CATEGORY NUMBER: _____	
<b>PART B. TO BE COMPLETED FOR ALL LICENSES, AMENDMENTS, RENEWALS, OR CONSENT REQUESTS</b> <small>(If more space is needed to complete it, refer to Form 7-00, Page 24-25, and then attach additional sheets, if necessary.)</small>			
1. NAME AND ADDRESS OF APPLICANT/REQUESTOR: _____ CITY AND STATE: _____		2. TYPE OF ACTION REQUESTED (check one): <input type="checkbox"/> EXPORT (Part A, C, E) <input type="checkbox"/> IMPORT (Part A, D, F) <input type="checkbox"/> AMENDMENT/RENEWAL (Part A, G, H) <input type="checkbox"/> CONSENT REQUEST (Part A, I, J)	
3. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		4. LICENSE CATEGORY NUMBER: _____	
<b>PART C. TO BE COMPLETED FOR EXPORT LICENSES, AMENDMENTS, OR RENEWALS</b> <small>(If more space is needed to complete any of the items, see Page 24 and then attach additional sheets, if necessary.)</small>			
5. NAME AND ADDRESS OF BUYER: _____ CITY AND STATE: _____		6. NAME AND ADDRESS OF EXPORTER: _____ CITY AND STATE: _____	
7. NAME AND ADDRESS OF END USER: _____ CITY AND STATE: _____		8. NAME AND ADDRESS OF EXPORTER'S AUTHORITY: _____ CITY AND STATE: _____	
9. TYPE OF BUYER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____		10. TYPE OF EXPORTER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____	
11. TYPE OF END USER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____		12. TYPE OF EXPORTER'S AUTHORITY: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____	
13. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		14. LICENSE CATEGORY NUMBER: _____	
15. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		16. LICENSE CATEGORY NUMBER: _____	

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<b>NRC FORM 7</b> <small>FORM 7-00</small>		<b>U. S. NUCLEAR REGULATORY COMMISSION</b>	
<b>APPLICATION FOR NRC EXPORT OR IMPORT LICENSE, AMENDMENT, RENEWAL, OR CONSENT REQUEST(S) (Continued)</b>			
PUBLIC OR NON-PUBLIC: <input type="checkbox"/> PUBLIC <input type="checkbox"/> NON-PUBLIC	LICENSING JURISDICTION: <input type="checkbox"/> FEDERAL <input type="checkbox"/> STATE <input type="checkbox"/> LOCAL		
<b>PART D. TO BE COMPLETED FOR IMPORT LICENSES, AMENDMENTS, OR RENEWALS</b> <small>(If more space is needed to complete any of the items, see Page 24-25, and then attach additional sheets, if necessary.)</small>			
17. NAME AND ADDRESS OF BUYER: _____ CITY AND STATE: _____		18. NAME AND ADDRESS OF EXPORTER: _____ CITY AND STATE: _____	
19. NAME AND ADDRESS OF END USER: _____ CITY AND STATE: _____		20. NAME AND ADDRESS OF EXPORTER'S AUTHORITY: _____ CITY AND STATE: _____	
21. TYPE OF BUYER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____		22. TYPE OF EXPORTER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____	
23. TYPE OF END USER: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____		24. TYPE OF EXPORTER'S AUTHORITY: <input type="checkbox"/> GOVERNMENT <input type="checkbox"/> PRIVATE <input type="checkbox"/> OTHER _____	
25. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		26. LICENSE CATEGORY NUMBER: _____	
27. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		28. LICENSE CATEGORY NUMBER: _____	
29. TYPE OF LICENSE: <input type="checkbox"/> GENERAL <input type="checkbox"/> SPECIAL <input type="checkbox"/> LIMITED <input type="checkbox"/> OTHER _____		30. LICENSE CATEGORY NUMBER: _____	
<b>PART E. TO BE COMPLETED FOR ALL LICENSES, AMENDMENTS, RENEWALS OR CONSENT REQUEST(S)</b>			
31. ADDITIONAL INFORMATION ON EXPORT OR IMPORT: YES <input type="checkbox"/> NO <input type="checkbox"/>		32. CONSENT OR RENEWAL AUTHORITY: YES <input type="checkbox"/> NO <input type="checkbox"/>	
15. CERTIFICATION: I, the applicant's authorized officer, hereby certify that this application is prepared in conformity with Title 10, Code of Federal Regulations, and that all information provided is correct to the best of my knowledge.			
16. PRINT NAME AND TITLE OF AUTHORIZED OFFICER: _____		17. SIGNATURE (AUTHORIZED OFFICER): _____	
18. DATE: _____			

NRC FORM 7-00 (Rev. 12-2006)

## NRC Form 7 Tips To Remember

- ▶ Application may be sent through regular mail, but not advisable.
- ▶ Review process does not start, until full fee is received.
- ▶ A succinct cover letter or email explaining application is helpful.
- ▶ If needed, you may contact NRC licensing staff early, for clarity with information needed for license application.
- ▶ Pay special attention to listing obligations for material and equipment (e.g. EURATOM, Canada, Australia, and the United States).
- ▶ Be cognizant of and accurately reflect the information requested in the blocks.

## NRC Form 7 Tips To Remember (cont.)

- ▶ Include specific and accurate information for intermediate and end use(s). Block 13
- ▶ Be realistic about expiration date requested.
- ▶ Describe accurately and succinctly, the equipment, sealed source, or radioactive material to be exported – especially enrichment levels, weight quantity, and minor components.

# Criteria for “Major” Exports (XSNM, XSOU, XR)

- ▶ Agreement for Cooperation (123 Agreement)
- ▶ Full-scope IAEA safeguards in recipient non-nuclear weapon states (NNWS)
- ▶ USG must obtain assurances from the foreign government on case-by-case basis that material or equipment will be made subject to 123 Agreement with respect to:
  - No nuclear explosive use or R&D on any nuclear explosive device
  - Adequate physical security will be maintained
  - No retransfer or alteration in form (reprocessing) without prior USG consent
- ▶ Not inimical to common defense and security
- ▶ For XR, not an unreasonable risk to the public health and safety of the U.S.

# Criteria for “Minor” Exports (XCOM, XMAT)

- ▶ USG must obtain assurances from the foreign government on case-by-case basis that:
  - IAEA (full-scope) safeguards will apply in NNWS
  - No nuclear explosive use or R&D on such device
  - No retransfer without prior USG consent
- ▶ Not inimical to common defense and security

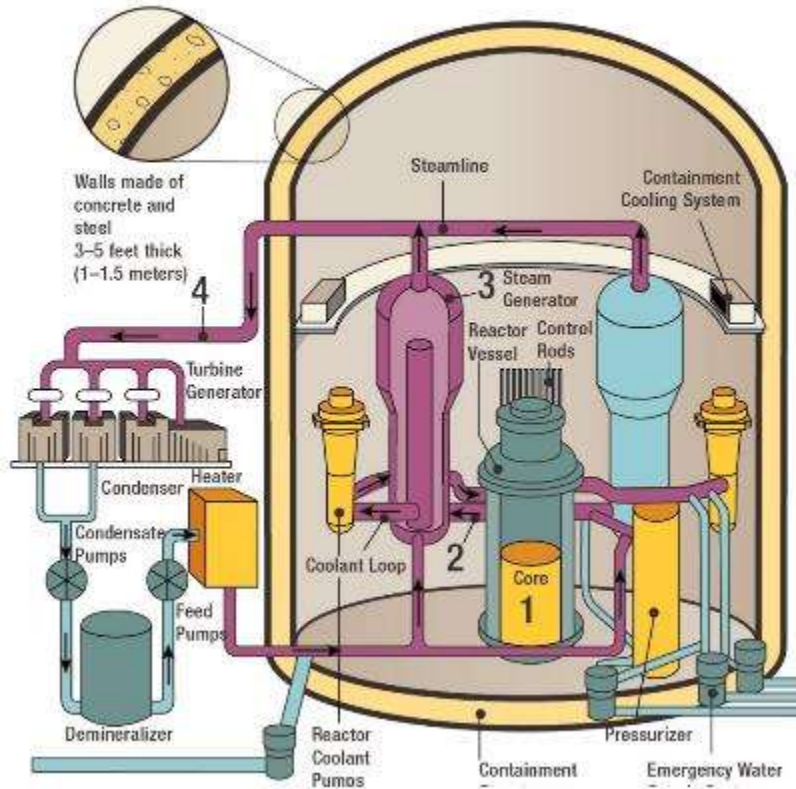


# Illustrative Lists in Part 110 Appendices

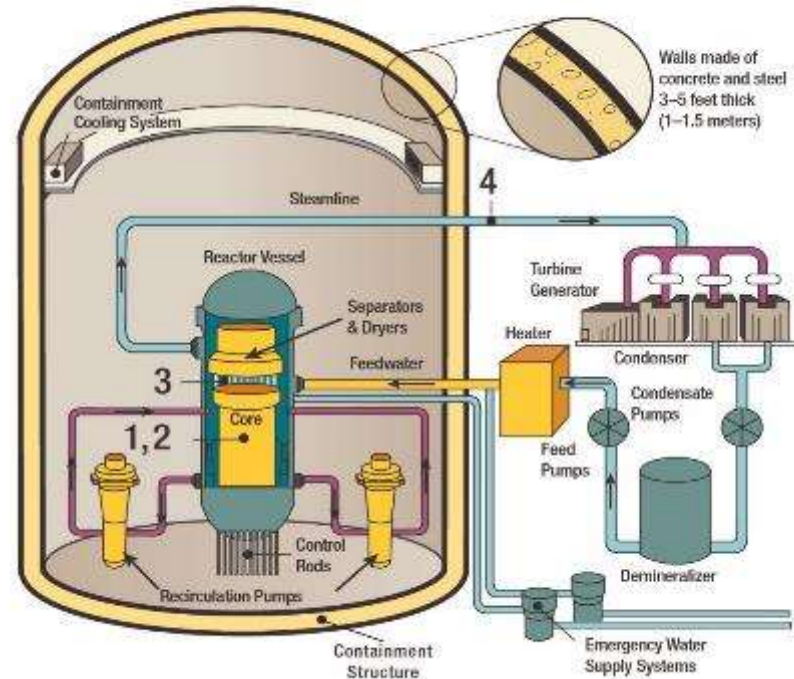
- ▶ Appendix A – Nuclear Reactor Equipment
- ▶ Appendix B – Gas Centrifuge Enrichment
- ▶ Appendix C – Gaseous Diffusion Enrichment
- ▶ Appendix D – Aerodynamic Enrichment
- ▶ Appendix E – Chemical or Ion Exchange Enrichment
- ▶ Appendix F – Laser-Based Enrichment
- ▶ Appendix G – Plasma Separation Enrichment
- ▶ Appendix H – Electromagnetic Enrichment
- ▶ Appendix I – Reprocessing
- ▶ Appendix J – Uranium Conversion
- ▶ Appendix K – Plants for the Production of Heavy Water, Deuterium and Deuterium Compounds
- ▶ Appendix N – Lithium Isotope Separation
- ▶ Appendix O – Fuel Fabrication

# Nuclear Reactors & Especially Designed or Prepared Equipment

**Typical Pressurized-Water Reactor**



**Typical Boiling-Water Reactor**



# Part 110 Appendix A

## Illustrative List of Reactor Equipment

- ▶ Especially Designed or Prepared Equipment
- ▶ Definition of “Nuclear Reactor:”
  - Items within or attached directly to the reactor vessel
  - Equipment which controls the level of power in the core
  - Components which normally contain or come in direct with or control the primary coolant of the reactor core

# Part 110 Appendix P Radioactive Materials

- ▶ In 2005, Part 110 was amended to address the IAEA Code of Conduct on the Safety and Security of Radioactive Sources and its Import/ Export Guidance
- ▶ 16 radionuclides previously authorized for export or import under general license became subject to specific licensing
- ▶ In 2010, Part 110 was amended to allow U.S. parties to import under general license if they are appropriately authorized domestically

# Part 110 Appendix P Radioactive Materials

- ▶ If a device or a source for use in a device contains Appendix P radionuclides (Am-241, Am-241/Be, Cf-252, Cm-244, Co-60, Cs-137, Gd-153, Ir-192, Pu-238, Pu-239/Be, Pm-147, Ra-226, Se-75, Sr-90, Tm-170 or Yb-169) a specific NRC export license may be required





To contact the NRC  
Office of International  
Programs

301-415-1780

THANK YOU!!!

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