

**Ministry of Natural Resources and Ecology of the Russian Federation**

**ORDER No. 262 of October 16, 2008**

**Approval of Administrative Regulations for the Federal Environmental,  
Industrial and Nuclear Supervision Service  
on execution its state function for licensing activities  
in the field of atomic energy use**

According to the Procedure for elaboration and approval of administrative regulations for execution of state functions and administrative regulations for rendering state services approved by Enactment of the Government of the Russian Federation No. 679 of November 11, 2005 (Corpus of Legislative Acts of the Russian Federation, 2005, N 47, Cl. 4933; 2007, N 50, Cl. 6285; 2008, N 18, Cl. 2063), hereby order:

1. To approve the enclosed Administrative Regulations for the Federal Environmental, Industrial and Nuclear Supervision Service on execution its state function for licensing the activities in the field of atomic energy use.

2. Order of the Federal Environmental, Industrial and Nuclear Supervision Service No. 1115 of December 22, 2006, "On approval and implementation of the requirements for the set and contents of the nuclear and radiation safety analysis documents related to nuclear facilities, radiation sources, nuclear material storage facilities, radioactive waste storage facilities and/or declared activity (for nuclear power plants)" (registered by the Justice Ministry of RF, March 5, 2007, Reg. No. 9012) shall be deemed to have lost force.

Minister  
Yu.P. TRUTNEV

**Administrative regulations for the Federal Environmental,  
Industrial and Nuclear Supervision Service on execution its state function  
for licensing the activities in the field of atomic energy use**

I. General

1. The Administrative Regulations establish the order for execution of the state function on licensing activities in the field of atomic energy use (hereinafter, Regulation).

2. The state function for licensing activities in the field of atomic energy use is performed by the Central Office of the Federal Environmental, Industrial and Nuclear Supervision Service of Russia (hereinafter, Rostekhnadzor):

Volga Interregional Territorial Department for supervision over nuclear and radiation safety;

Far Eastern Interregional Territorial Department for Supervision over Nuclear and Radiation Safety;

Don Interregional Territorial Department for Supervision over Nuclear and Radiation Safety;

North European Interregional Territorial Department for Supervision over Nuclear and Radiation Safety;

Siberian Interregional Territorial Department for Supervision over Nuclear and Radiation Safety;

Ural Interregional Territorial Department for Supervision over Nuclear and Radiation Safety;

Central Interregional Territorial Department for Supervision over Nuclear and Radiation Safety.

3. The state function on licensing activities in the field of atomic energy use is performed in accordance with:

Convention on Nuclear Safety as of June 17, 1994 (signed in Vienna on 21st September, 1994, accepted by the Government Decree of the Russian Federation as of April 3, 1996, No. 377 Corpus of legislative acts of the Russian Federation, 08.04.1996, N 15, Cl. 1622; 14.02.2005, N 7, Cl. 560);

Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management as of September 5, 1997 (signed on behalf of the Russian Federation in Vienna on 27th January, 1999, ratified by the Federal Law "On ratification of the Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management" as of November 4, 2005, No. 139-FZ (Corpus of Legislative Acts of the Russian Federation, 07.11.2005, N 45, Cl. 4587);

Federal law as of 21.11.1995 No. 170-FZ, "On atomic energy use" (Corpus of Legislative Acts of the Russian Federation, 27.11.1995, N 48, Cl. 4552; Russian Newspaper (Rossiyskaya Gazeta), N 30, 13.02.1997, Parliament Newspaper, No. 129 13-19.07.2001; Russian Newspaper, N 256, 31.12.2001; Corpus of Legislative Acts of the Russian Federation, 01.04.2002, N 13, Cl. 1180; Parliament Newspaper, N 211, 14.11.2003; Corpus of Legislative Acts of the Russian Federation, No. 35, 30.08.2004, Cl. 3607; Parliament Newspaper N 214-215, 21.12.2006; Parliament Newspaper N 20, 08.02.2007; Corpus of Legislative Acts of the Russian Federation, 03.12.2007, No, 49, Cl. 6079) (hereinafter referred to as Federal Law "On atomic energy use");

Federal Law No. 3-FZ as of 09.01.1996 (Rev. of 22.08.2004) "On Radiation Safety of Population" Corpus of Legislative Acts of the Russian Federation of 15.01.1996, N 3, Cl. 141);

Federal Law No. 174-FZ as of 23.11.1995 (Rev. of 18.12.2006) "Concerning Ecological Examinations" (Corpus of Legislative Acts of the Russian Federation, 27.11.1995, N 48, Cl. 4556; 20.04.1998, N 16, Cl. 1800; 30.08.2004, N 35, Cl. 3607; 27.12.2004, N 52 (Part I), Cl. 5276; 02.01.2006, N 1, Cl. 10; 11.12.2006, N 50, Cl. 5279; 25.12.2006, N 52 (Part I), Cl. 5498);

Federal Law No. 94-FZ of 21.07.2005 "On placement of Orders for Goods Supply, Performance of Work and Services for State and Municipal Needs" (Corpus of legislative

acts of the Russian Federation, No. 30 of 2005 (Part I), Cl. 3105; Russian Newspaper, N 297, 31.12.2005; N 165, 29.07.2006; Corpus of legislative acts of the Russian Federation, 2007, N 17, Cl. 1929; 2007, N 31, Cl. 4015; 2007, N 46, Cl. 5553) (hereinafter referred to as Federal Law - "On placement of Orders for Goods Supply, Performance of Work and Services for State and Municipal Needs");

Code of the Russian Federation on Administrative Violations No. 195-FZ of December 30, 2001 (Corpus of legislative acts of the Russian Federation, 2002, N 1, Cl. 1);

Tax Code of the Russian Federation (Corpus of legislative acts of the Russian Federation, 1998, N 31, Cl. 3824; 2000, N 32, Cl. 3340);

Government Decree of the Russian Federation No. 412 of July 3, 2006, "On the Federal Executive Authorities performing State Management of Atomic Energy Use and State Regulation of Safety in Atomic Energy Use" (Corpus of legislative acts of the Russian Federation, 10.07.2006, N 28, Cl. 3079; 19.03.2007, N 12, Cl. 1424);

Government Decree of the Russian Federation No. 865 of July 14, 1997, "On Endorsing the Regulations on Licensing Activities in the Field of Atomic Energy Use" (Corpus of legislative acts of the Russian Federation, 1997, N 29, Cl. 3528; 2002, N 41, Cl. 3983; 2005, N 7, Cl. 560; Russian Newspaper, N 22, 02.02.2007) (hereinafter, Regulations on Licensing);

Government Decree of the Russian Federation No. 401 of July 30, 2004, "On Federal Environmental, Industrial and Nuclear Supervision Service of Russia" (Corpus of legislative acts of the Russian Federation, 2004, N 32, Cl. 3348; 2006, N 5, Cl. 544; 2006, N 23, Cl. 2527; 2006, N 52 (Part III), Cl. 5587; 2008, N 22, Cl. 2581);

Government Decree of the Russian Federation No. 1511 of December 1997, "On Endorsing the Regulations on Development and Approval of Federal Rules and Regulations in the Field of Atomic Energy Use and List of Federal Rules and Regulations in the Field of Atomic Energy Use" (Corpus of legislative acts of the Russian Federation, 08.12.1997, N 49, Cl. 5600; 05.07.1999, N 27, Cl. 3380; 10.07.2000, N 28, Cl. 2981; 28.01.2002, N 4, Cl. 325; 04.11.2002, N 44, Cl. 4392; 06.10.2003, N 40, Cl. 3899;

06.06.2005, N 23, Cl. 2278; 11.12.2006, N 50, Cl. 5346; 02.04.2007, N 14, Cl. 1692; 12.11.2007, N 46, Cl. 5583);

Government Decree of the Russian Federation No. 240 of March 3, 1997, "On Endorsing the List of Nuclear Facility Employment Positions which require the Permit of the Federal Environmental, Industrial and Nuclear Supervision Service of Russia for Performing Activities in the Field of Atomic Energy Use," (Corpus of legislative acts of the Russian Federation, 10.03.1997, N 10, Cl. 1180; 14.02.2005, N 7, Cl. 560);

Government Decree of the Russian Federation No. 456 of July 19, 2007, "On Endorsing the Regulations for Physical Protection of Nuclear Material, Nuclear Facilities and Nuclear Material Storage Facilities," (Corpus of legislative acts of the Russian Federation, 2007, N 31, Cl. 4081);

Government Decree of the Russian Federation No. 746 of July 10, 1998, "On Endorsing the Regulations for Arrangement of State Nuclear Material Control and Accounting System" (Corpus of legislative acts of the Russian Federation, 20.07.1998, N 29, Cl. 3559);

Government Decree of the Russian Federation No. 1298 of October 11, 1997, "On Endorsing the Regulations for Arrangement of State Radioactive Substance and Radioactive Waste Control and Accounting System" (Corpus of legislative acts of the Russian Federation, N 42, 20.10.1997, Cl. 4782; 14.02.2005, N 7, Cl. 560);

Government Decree of the Russian Federation No. 962 of December 15, 2000, "On Procedure for State Nuclear Material Control and Accounting" (Corpus of legislative acts of the Russian Federation, 2000, N 52 (Part II), Cl. 5145; 2004, N 7, Cl. 529; 2005, N 7, Cl. 560);

Government Order of the Russian Federation No. 2237-r of December 17, 2005, "On Endorsing the Plan of Measures for the Second Stage of Implementation of the State Policy Fundamentals in the Field of Nuclear and Radiation Safety of the Russian Federation up to 2010 and Future Prospects," (Corpus of legislative acts of the Russian Federation, 16.01.2006, N 3, Cl. 308);

"Rules for Keeping the Unified State Register of Legal Persons and Submission of the Register's Information," approved by the Government Ordinance of the Russian Federation, No. 438 of June 19, 2002, "On the unified state register of legal entities" (Russian Newspaper, N 113, 26.06.2002; Corpus of legislative acts of the Russian Federation, 01.07.2002, N 26, Cl. 2585) (hereinafter, "Rules for Keeping the Unified State Register of Legal Persons and Submission of the Register's Information").

4. According to the licensing Provisions, the following types of activities in the field of atomic energy use shall be licensed:

- siting, construction, operation and decommissioning of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities;

- nuclear material and radioactive substance management, including uranium ores exploration and mining, production, use, processing, transport and storage of nuclear material and radioactive substance;

- radioactive waste management during the storage, processing, transportation and disposal;

- use of nuclear material and/or radioactive substances in research and development (R&D);

- design and construction of nuclear facilities, radioactive sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities;

- design and production of equipment for nuclear facilities, radioactive sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities;

- expert review of design, development and process documentation and documents substantiating nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities, activities on radioactive materials and radioactive waste management, radioactive substances and radioactive waste.

5. Delineation of responsibilities between the Rostekhnadzor Headquarters and its territorial offices in performing the state function on licensing activities in the field of atomic energy use as applied to facilities classified according to Clause 3 of the Federal Law "On atomic energy use", in relation to which the declared activity should be performed in accordance with 12 "b" of the Provision for licensing, which is given in Appendix 1 to this Regulation.

6. Territorial Offices of Rostekhnadzor perform the state function on licensing activities in the field of atomic energy use under their authorities in the entity territories of the Russian Federation and at nuclear facilities. Information about assignment of the Russian Federation entity territories and nuclear facilities to the Territorial Offices (Bodies) of Rostekhnadzor is given in Appendix 2 to this Regulation.

7. Results and methods of recording the execution of the state licensing function are reflected in Section III of this Regulation.

8. Legal facts of the implementation of administrative procedures in performing the state function on licensing activities in the field of atomic energy use are stipulated in Section III of this Regulation, which describes the administrative procedures.

9. According to It. 10 of the Licensing Provision, the licenses are issued to operating organizations, as well as organizations involved in the activities and services in the field of atomic energy use (hereinafter referred to as the "Applicants").

## **II. Requirements for the order of performance of the state function of licensing activities in the field of atomic energy use.**

10. Procedure for informing on the regulations for execution of the state function

10.1. The application and enclosed documents to obtain the license for activities in the field of atomic energy use from the applicant shall be transferred to the Rostekhnadzor' Headquarters or a Territorial Body according to a list, the copy of which including the date of receipt of the mentioned application and documents is sent to the license's applicant.

The applicant may send these documents by a registered mail (parcel) with a list of enclosures and acknowledgment of receipt.

10.1.1. When performing the state function on licensing activities in the field of atomic energy use by the Rostekhnadzor' Headquarters the application and enclosed documents shall be sent to the following address:

Moscow, 105066; A. Lukianova Str., 4, Bldg. 8.

Work days: Monday, Tuesday, Wednesday, Thursday, Friday

Working hours:

Monday, Tuesday, Wednesday, Thursday: 9.00 - 18.00;

Friday: 9.00 - 16.45;

Lunch break: 12.00 - 12.45.

Information Telephone Number of the business unit coordinating the performance of the state function on licensing activities in the field of atomic energy use by the Rostekhnadzor's Headquarters: (495) 911-60-35.

Rostekhnadzor official web-site: [www.gosnadzor.ru](http://www.gosnadzor.ru).

E-mail: [rostekhnadzor@gosnadzor.ru](mailto:rostekhnadzor@gosnadzor.ru).

10.1.2. For execution of the state function on licensing activities in the field of atomic energy use by the Rostekhnadzor's Territorial Bodies, the application and enclosed documents shall be sent to a relevant territorial body at an Applicant's location (registration).

Information about location of the Rostekhnadzor Territorial Bodies, information telephones of their business units, official web sites, e-mails, and Work Schedules are given in Appendix 2 to this Regulation.

10.2. Information about the procedure for execution of the state functions as specified in these Regulations shall be placed on a web site of the Rostekhnadzor Headquarters and web sites of its territorial bodies.

Information about the progress of the state function shall be placed and monthly updated on the Rostekhnadzor web site and Territorial Offices' web sites in the form given in Appendix 3 to this Regulation.



10.3. Consultations as regards the execution of the state function on licensing activities in the field of atomic energy use can be given as follows:

according to the written request;

- by telephone;

- by e-mail.

10.1.3. A written request received at Rostekhnadzor shall be considered during 30 days after the date of registration of the written request, after which the answer is sent to an Applicant by post.

10.3.2. When consulting by telephone the Rostekhnadzor's officials shall submit information related to:

- incoming numbers of an licensing application registered in the record keeping system of Rostekhnadzor;

- divisions involved in the state function of licensing activities in the field of atomic energy use;

- making decision on a particular application for licensing;

- regulatory legal acts of the Russian Federation as regards the performance of the state function (description, number, and date of the act);

- list of the documents required for obtaining a license;

- requirements for certifying documents enclosed to an application.

Other issues shall be considered by Rostekhnadzor only on the grounds of the relevant written request.

10.3.3. When consulting by electronic mail the answer to the written request shall be sent to an applicant's email within a period not exceeding two working days after the date of receipt of the written request. The list of questions is given in It. 10.3.2 of this Regulation.

In any other cases, the request shall be sent to an applicant's electronic mail within a period not exceeding 10 days after the date of receipt of the written request.

10.4. The following information is placed on the information stands in a room intended for the receipt of applications and documents and for the issue of licenses, as well as on the Rostechnadzor and its Territorial Bodies' web sites:

- provision for licensing activities in the field of atomic energy use;
- extracts from legislative and other regulatory legal acts that regulate the activity on performing the state function;
- text of these Regulations including the Appendices enclosed;
- list of the documents to be submitted by an applicant to obtain a license;
- examples of the applications required to obtain licenses;
- work schedule;
- procedure for consultations and previous appointment;
- bank details for payment of the state dues;
- procedure for appeal against decisions, actions (inaction) of officials performing the state function.

#### 11. Periods for execution of the state function

11.1. The maximum period for performance of the state function on licensing activities in the field of atomic energy use without regard to the periods for expert review of the applicant's (licensee) documents substantiating the nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substances storage facilities, radioactive waste storage facilities and/or declared activity, shall not exceed 95 days (with regard to the parallel performance of administrative procedures, the performance periods of which are given in Section III of this Regulation). The maximum periods for the expert review with due consideration of facility categories are given in Appendix to this Regulation.

11.2. The maximum periods for implementation of individual administrative procedures within the state function on licensing activities in the field of atomic energy use:

- fulfillment of the administrative procedure for processing of the license application and for preliminary review of the documents - 15 days;

- fulfillment of the administrative procedure for review of the licensing documents - 30 days without regard to the periods for the review of the applicant's (licensee) documents substantiating the nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities and/or declared activity;

- fulfillment of the administrative procedure for making decision on issuance or refusal of the license - 30 days;

- fulfillment of the administrative procedure for issuance of the license including the establishment of validity conditions - 20 days;

- fulfillment of the administrative procedure for maintenance of the license by inspections to assess the implementation of the license validity conditions - 30 days;

- fulfillment of the administrative procedure for follow-up of the issued license by making required amendments in the license validity conditions - 80 days without regard to the periods for the expert review of the applicant's (licensee) documents substantiating the nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities and/or declared activity;

- fulfillment of the administrative procedure for suspension or termination of the license validity - 15 days;

- fulfillment of the administrative procedure for license renewal - 25 days;

- fulfillment of the administrative procedure for issuance of the duplicate license - 20 days;

12. Grounds for making decision on the refusal of consideration of the applicant's documents or refusal of the license.

12.1. The grounds for making decision on the refusal of consideration of the applicant's documents are the applicant's violations related to complete set and rules of document execution, as specified in It. 14.1 and 14.2 of this Regulation, revealed during the preliminary review.

12.2. According to requirements of It. 23 of the licensing Provision the grounds for license refusal are:

- a) availability of invalid or distorted information in the license documents;
- b) expert review report on the insufficient substantiation of the nuclear and radiation safety of nuclear facility, radiation source, storage facility and/or declared activity;
- c) nonconformity of a declared activity with the nuclear and radiation safety requirements.

13. Requirements for places of execution of the state function on licensing activities in the field of atomic energy use.

13.1. The place for the receipt of applications and license documents related to performance of activities in the field of atomic energy use, as well as for the issuance of licenses shall be equipped with tables, chairs, ventilation and air conditioning systems, computers and printing facilities, Internet, and printed information documents.

13.2. Requirements for placement and presentation of the visual and text information are stipulated in It. 10.4 of this Regulation.

13.3. Admission of applicant' representatives to Rostekhnadzor and Territorial Bodies' buildings is permitted only by passes and by submission of identity documents. The passes shall be ordered through the coordinating division a day before the scheduled visit.

The decision on granting the parking spaces to applicants (if required) shall be made by the General Affairs Department (in the Rostekhnadzor Headquarters) or by a relevant coordinating division (in the territorial body of Rostekhnadzor) using the parking spaces of service vehicles of Rostekhnadzor.

14. Information about the list of documents required from an Applicant for execution of the state function on licensing activities in the field of atomic energy use.

14.1. To obtain the license an applicant shall submit the below documents to Rostekhnadzor or its territorial body authorized to obtain the license for individual types of activities in the field of atomic energy use according to the requirements of It. 11 and 12 of the licensing Provision:

a) application for license including name, legal form, legal address, numbers of settlement account and respectful bank, type and field of activity, as well as license validity terms;

b) copies of constituent documents (including the originals, if they are not notarized);

c) copy of the document certifying an entry about the legal entity in the Unified State Register of Legal Entities;

d) registration certificate from a tax authority;

e) copy of the duly executed document confirming the applicant right to own or to use nuclear materials, nuclear facilities, radiation sources, radioactive substance and radioactive waste storage facilities;

f) copies of the decisions on siting, construction, decommissioning of nuclear facilities, radiation sources or storage facilities made by respectful federal executive bodies, public authority of the entities of the Russian Federation or local authorities;

g) three sets of the documents substantiating the nuclear and radiation safety of nuclear facility, radiation source, nuclear and/or radioactive substance storage facility, radioactive waste storage facility (hereinafter, storage facilities) and/or declared activity (requirements for composition of the set of documents are determined by Rostekhnadzor and given in Appendix 4 to this Regulation);

h) document confirming payment of the state dues for application processing (consideration).

14.2. If an applicant is an operating organization, the following documents shall be submitted except the documents specified in It. 14.1 "a", "b", "c", "d", "e", "f", "g", "h" of this Regulation:

a) document confirming that a corresponding nuclear supervision authority recognized the license applicant as capable of operating a nuclear facility, a radiation source or a storage facility and performing, on its own or through the involvement of other organizations, activities on siting, design, construction, operation and decommissioning of

the nuclear installation, the radiation source or the storage facility as well as activities on managing nuclear materials and radioactive substances;

b) document assigning a facility, where or in relation to which the declared activity is to be performed, to the categories specified in Clause 3 of the Federal Law "On atomic energy use";

c) conclusion of the State Environmental Impact Assessment;

d) copy of a permissive document issued by the sanitary epidemiological supervisory body for the right to perform the activities related to radiation sources;

e) documents confirming the Applicant's civil liability for loss and damage caused radiation effect as provided by the legislation of the Russian Federation;

f) document confirming the possibility for the further transfer of radioactive waste formed or placed in the temporary storage facilities to waste disposal;

g) report on fire protection of a nuclear facility under operation - for nuclear power plants and other facilities defined by the federal codes and regulations in the field of atomic energy use;

h) documents confirming the availability of Applicant's funding sources for decommissioning of nuclear facilities, radiation sources or storage facilities including the special fund for financing of the costs associated with decommissioning of the specified facilities and for financing of the research and development activities on the substantiation and improvement of safety of these facilities.

14.3. List of the documents specified in 14.1 and 14.2 of these Regulations is comprehensive. Rostekhnadzor is not entitled to require from an applicant the submission of the documents not specified in these section.

14.4. Forms of written requests, applications and other documents to be submitted by an applicant in licensing the activities in the field of atomic energy use are not provided by the legislation of the Russian Federation. The application shall be submitted in an arbitrary form and include information given in 14.1 "a" of this Regulation.

15. State dues shall be paid in accordance with the procedure and in amounts established by the tax and fee legislation of the Russian Federation, for processing of license application and for issuance of the license:

- processing of the license application - 300 Rubles;
- license issue - 1000 Rubles.

No dues are collected for processing of the request for amendment of the license validity conditions, issuance of the duplicate license in case of its loss by an applicant, as well as issue of the amendment to license validity conditions, duplicate license and license renewal.

### **III. Administrative procedures**

16. According to the licensing Provision, the procedure of licensing the activities in the field of atomic energy use includes the following:

- consideration (processing) of the license application and preliminary review of the documents submitted for licensing;
- consideration of the license documents, including a set of documents substantiating the nuclear and radiation safety of nuclear facility, radiation source, storage facility and/or declared activity;
- making decision on the issuance or refusal of the license;
- issuance of the license including establishment of the validity conditions;
- follow-up of the issued license by inspections to examine the fulfillment of the license validity conditions, and by making required amendments in the license validity conditions;
- amendment (extension) of the license validity conditions;
- re-issuance, suspension or termination (canceling) of the license;
- license renewal;
- issuance of a duplicate license if lost by a licensee.

17. Consideration (processing) of the license application and preliminary review of the documents submitted for licensing.

17.1. A legal fact being the grounds for implementation of the administrative procedure for consideration (processing) of the license application and preliminary review of the license documents is the delivery of the application and enclosed documents to the coordinating division.

17.2. An official responsible for processing of the application and preliminary review of the licensing documents is the Head of the coordinating division or an Acting Officer.

17.3. The Head of the coordinating division (or an Acting Officer) shall appoint the persons for consideration of the application and preliminary review of the license documents.

17.4. Upon receipt of an application, the coordinating division shall assign a registration number in accordance with the numbering procedure established in Rostekhnadzor.

Officers shall consider the applications and perform the preliminary expert review of the document nomenclature. Therewith, according to the requirements of the Licensing Provision, It. 16, the duration of the application consideration and preliminary review of the document nomenclature shall not exceed 15 days after the date of the application registration.

17.5. The conformance of the nomenclature of the submitted documents with requirements of It. 14.1 and 14.2 of these Regulations shall be assessed during the preliminary review of the documents.

17.6. The grounds for making decision on the refusal of consideration of the applicant's documents are the applicant's violations of the requirements specified in It. 14.1 and 14.2 of these Regulations revealed during the preliminary review of the document nomenclature.

17.7. Criteria for making decision on the refusal of applicant document consideration are:

a) absence of one or more documents among those specified in this Regulation, It. 14.1 and 14.2, to obtain the license;



b) submission of less than 3 sets of documents substantiating the nuclear and radiation safety of a nuclear facility, radiation source, storage facility and/or declared activity (provided by 14.1 "g" of this Regulation);

c) availability of one or more documents (among the documents provided by 14.1 "g" of this Regulation) submitted for obtaining the license, which was not certified by the signature of an Applicant's authorized representative;

d) absence of the information on one or several items listed below, in the license application:

- full name of the company;
- organizational legal form;
- company address;
- settlement account and respective bank;
- declared type of activity and scope of its application;
- declared license validity terms;

e) non-conformance of the declared type of activity to the types of activity specified in It. 4 of this Regulation;

f) non-conformity of a declared activity plant with plants/facilities specified in the facility categories according to Clause 3 of the Federal Law "On atomic energy use";

g) failure to submit copies of the constituent documents duly certified;

h) submission of a document copy not duly executed, which confirms the applicant's right to own or to use nuclear materials, nuclear facilities, radiation sources, storage facilities, radioactive substances, and radioactive waste.

17.8. The administrative procedure for consideration (processing) of applications and preliminary review of license documents shall be resulted in the approved decision on acceptance of the licensing documents or on refusal of the document review. For Rostechnadzor Headquarters the decision shall be approved by the head of the coordinating division (or an acting officer), whereas for territorial bodies the decisions shall be approved by an official authorized by the Head of a Territorial Body.

17.9. Results of implementation of the administrative procedure for consideration of applications and preliminary review of license documents shall be recorded by registration of the approved decision on the acceptance for consideration (or on the refusal of consideration) of the documents submitted for obtaining the license.

17.10. Upon approval of the decision on the acceptance for consideration of the license documents, the coordinating division shall prepare a letter within three-day period after the decision approval:

- to a responsible division (including the registration number assigned to an application);
- to an applicant (with the notice about the decision made and about the responsible division, where the applicant's documents are transferred to).

The letter shall be signed by the head of the coordinating division (or by an acting officer) and sent with the applicant's documents to a responsible division (except the document confirming the payment of the state dues for processing of the license application).

The letter with the notice to an applicant related to the decision made shall be signed by the Head of a Territorial Body (or an authorized official), if the state licensing function is fulfilled by a respective territorial body of Rostekhnadzor.

17.11. The coordinating division shall ensure the storage of

- the decision on the acceptance of the applicant's license documents, application copy, as well as the document confirming the payment of the state dues for processing of the license application, within one year (in case of the issuance of the license - within the license validity terms);
- the decision on the refusal of the applicant's documents, the application original, the document confirming payment of the state dues for processing of the license application, the decision on the refusal and written notice given to an applicant, and the rest applicant's documents - within one year.

17.12. The flow diagram of the administrative procedure specified in It. 17 of these Regulations is given in Appendix 5 thereto.

18. Consideration of the documents submitted for obtaining the license, including a set of documents substantiating the nuclear and radiation safety of nuclear facility, radiation source, storage facility and/or declared activity.

18.1. The legal fact being the grounds for commencement of the administrative procedure for consideration of the license documents is the receipt of the applicant's documents with the cover letter by the responsible department from the coordinating department.

18.2. An official responsible for consideration of the license documents is the head of the responsible department (or an acting officer), who assigns persons responsible for consideration of the specified documents.

18.3. When considering the license documents the employees of the responsible department shall verify the reliability of information given in the license application documents.

18.3.1. Verification of the information contained in the applicant's documents shall be conducted during the inspection of the applicant and facility, where and in relation to which it is planned to perform the declared activity. Such verification is also conducted in the course of review of the license application documents.

18.3.1.1. The inspection shall be conducted to verify the conformity of the information given in the license application documents with the actual condition of the plant/facility (the absence of incorrect or distorted information in the license application documents) and to examine the applicant capability of performing the declared activity.

18.3.1.2. The review shall be conducted to check the adequacy of nuclear and radiation safety assurance justified by the applicant for a nuclear facility, radiation source, storage facility and (or) activity applied for, including:

a) compliance of the design, development and process solutions with the federal codes and regulations in the field of atomic energy use, as well as the conformity of the employees skills with the established requirements and the conditions for skill maintaining at the required level, as well as availability and conformity of the radioactive waste

collection, storage, processing and disposal system with the established requirements during the activity applied for;

b) completeness of technical and organizational measures to ensure nuclear and radiation safety during the activity applied for;

c) availability of the relevant storage conditions, nuclear material and radioactive waste accounting and control, physical protection of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, plans of protective measures for nuclear facility personnel in case of an accident, readiness for emergency response, as well as quality assurance system and required engineering and technical support of the declared activity;

d) the applicant capability of ensuring the conditions for safe termination of the declared activity and decommissioning of a nuclear facility, as well as availability of the relevant design materials.

18.3.1.3. Data reliability shall be verified within the periods established for the inspection and review of the license application documents.

#### 18.3.2. Inspection

18.3.2.1. Inspection of an applicant (licensee) shall be conducted if necessary.

No inspection is conducted:

- if an applicant has already the license for a declared activity and if within the license validity period there were no violation of the validity conditions;

- if in the primary application the inspection was conducted without comments, and the applicant refused according to the review results repeatedly submit the license application;

- if the applicant data was changed (rename, change of ownership, legal succession, etc.), but a facility/plant was not changed;

- if in the primary application the applicant was refused according to the inspection results, but submitted the comprehensive information about rectification of the revealed drawbacks in the repeated application.

In all other cases, the inspection shall be mandatory.

Inspection shall be arranged by the head of a responsible department (or an acting officer) of a relevant territorial body of Rostekhnadzor.

For execution of the state function on licensing by the Rostekhnadzor Headquarters, the responsible division of the Headquarters shall send one set of the license application documents among those specified in 14.1 g thereof, to a respective territorial body of Rostekhnadzor and issue an inspection order.

18.3.2.2. Prior to the inspection the responsible department (within 15 days upon the receipt of the applicant's documents from the coordinating department) shall prepare the commission membership offer and approve the inspection program including dates of inspection, and shall give an inspection notice to the applicant (no later than 5 days before the beginning) with the inspection program. The inspection program shall be approved by the head of the responsible department (or an acting officer).

18.3.2.3. For execution of the state function on licensing by the Rostekhnadzor Headquarters, the commission shall be created in concert with the responsible department of Rostekhnadzor Headquarters and responsible department of a relevant territorial body.

18.3.2.4. Considering the specifics of the licensed type of activity, the commission members shall include:

representatives of relevant structural divisions of a territorial office involved in the inspection activity;

representatives of a responsible division of a territorial office.

18.3.2.5. The commission and its Chairman shall be appointed according to the order of:

- deputy head of Rostekhnadzor who arranges and coordinates the activities of the responsible department (hereinafter, Deputy Head of Rostekhnadzor), and for execution of the state function on licensing - by Rostekhnadzor Headquarters;

- deputy head of a territorial body - in case of execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

18.3.2.6. The inspection shall be conducted in the presence of officials authorized by an applicant.

18.3.2.7. The inspection results shall be presented in the report (3 copies). The report shall include:

- date and registration number of the report;
- name of a respectful Rostekhnadzor territorial body;
- date and number of the order based on which the inspection was conducted;
- names and positions of the commission members;
- full name of an applicant organization;
- names and positions of applicant representatives attended the inspection;
- declared type of activity, facility and declared license validity;
- results of the inspection program implementation with the indication of revealed drawbacks;
- commission's conclusion about the applicant preparedness for performing the declared activity and about reliability of the information contained in the applicant's documents in accordance with the actual status;
- signatures of the commission members involved in the inspection.

18.3.2.8. Within the day from the inspection report date the Commission shall transfer one copy of the inspection report to an applicant (against signed receipt) or send by post with the delivery notification, which is to be enclosed to the second copy of the report to be forwarded to a relevant responsible department. The third copy of the report shall be sent to a relevant territorial body of Rostekhnadzor.

Information about rectification of the drawbacks revealed in the inspection can be submitted by an applicant to a relevant responsible department for further consideration in making the decision on the issuance or refusal of the license.

18.3.2.9. The maximal inspection period including the time required for preparing the inspection report shall be 20 days since the Commission has started its work at the applicant company.

18.3.3. Review of the license application documents and interaction with an applicant for corrective actions

18.3.3.1. The review of the license application related documents shall be conducted by the review companies licensed by Rostekhnadzor for the right of conducting reviews of the design, development, process documentation, as well as documents justifying nuclear and radiation safety of nuclear facilities, radiation sources, nuclear materials and radioactive substance storages, radioactive waste storage facilities, management of nuclear materials, radioactive substances and radioactive waste.

Information about expert review companies duly licensed by Rostekhnadzor shall be placed in the Internet ([www.gosnadzor.ru](http://www.gosnadzor.ru)) by the coordinating division of Rostekhnadzor's Headquarters.

18.3.3.2. Review of the license application documents containing state secret information shall be conducted by expert review organizations entitled to handle such documents.

18.3.3.3. For fulfillment of the state function on licensing activities in the field of atomic energy use, Rostekhnadzor shall act as the State Customer of the nuclear facility safety review within the funds allocated from the State federal budget and make the government contract in accordance with the procedure established by the Federal Law "On placement of Orders for Goods Supply, Performance of Work and Services for State and Municipal Needs".

18.3.3.4. The review of the applicant's license-related documents justifying the nuclear and radiation safety of a nuclear safety, radiation source, storage facility and/or declared activity shall be conducted according to the Statement of Work for the expert review, approved by:

Head of responsible department or an acting officer - in case of fulfillment of the state licensing function by Rostekhnadzor Headquarters;

Head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

18.3.3.5. The expert review requirements specification shall be developed and approved within 30 days upon the applicant's document receipt in a responsible department.

The specified Requirements Specification shall include the review topics and dates.

18.3.3.6. The expert review dates shall be established (see Appendix 1 to this Regulation) depending on the scope of the license application related documents as specified in 14.1 "g" thereto, based on the potential nuclear and radiation hazard of application of a declared activity.

18.3.3.7. Within three days after the approval of the expert review requirements specification the responsible department shall send it to an expert organization selected by an applicant (or an expert organization which Rostekhnadzor have made a government contract with) including the set of the applicant's documents justifying the nuclear and radiation safety of a nuclear facility, radiation source, storage facility and/or declared activity (as specified in 14.1 "g" of this Regulation).

18.3.3.8. If the experts have any questions related to the nuclear and radiation safety analysis contained in the applicant's documents, the expert review organization is entitled to discuss these questions with the applicant.

18.3.3.9. Following the review, the review organization shall make a review report on the analysis of nuclear and radiation safety of nuclear facility, radiation source, storage facility and/or declared activity, to be approved either by head of the review organization or by duly authorized person.

18.3.3.10. The expert organization shall send the approved expert report to a responsible department, which assesses it in terms of the compliance with requirements of the expert review specification within 20 days upon the receipt of the expert review report and notify in writing the expert organization about the acceptance (or refusal) of the expert review report.

18.3.3.11. When assessing the compliance of the expert report with the expert review requirements specification the responsible department shall pay attention to the conclusions and unambiguous opinions related to each topic of the review according to the requirements specification.

18.3.3.12. If an expert report is not accepted due to its non-compliance with the expert review requirements specification, the responsible department shall return the



expert report to the expert organization for rework, and define all the non-compliances in the cover letter.

18.3.3.13. Date of the review completion is the date of the written notice given by the expert organization about the acceptance of the expert review report.

18.4. Results of fulfillment of the administrative procedure for processing of the license application documents shall be:

- completion of the inspection and drawing up of the inspection report (if any);
- completion of the expert review and drawing up of the expert review report.

18.5. Results of the administrative procedure shall be recorded as follows:

- registration of the inspection report by a relevant territorial office (if the inspection was conducted);
- responsible department's written notice given to the expert organization about the acceptance of the expert review report.

18.6. For consideration of the license application documents, a responsible department shall interact with an applicant as regards the corrective measures.

18.7. The flow diagram of the administrative procedure specified in It. 18 of these Regulations is given in Appendix 6 thereto.

19. Decision on the license issuance or refusal

19.1. A legal fact being the grounds for commencement of the administrative procedure for making decision on the license issuance or refusal is the receipt of the duly made expert report and inspection report by the responsible department (if the inspection was conducted).

19.2. An official responsible for making the decision on the license issuance or refusal shall be:

- deputy head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;
- deputy head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

19.3. An official responsible for making the decision on the license issuance or refusal shall be the head of a responsible department (or an acting officer), who assigns the persons for elaboration of the draft decision.

19.4. The draft decision on the license issuance or refusal shall be made in two copies, one of which is to be initialed by the originators on the last page, and be signed by the head of a responsible department (or an acting officer).

The example of the license issuance or refusal decision is given in Appendix 7 thereto.

19.5. When preparing a draft decision on issuing the license the responsible division shall prepare at the same time the following documents:

- draft license to be made in one copy and initialed by the originators and head of a responsible department (or an acting officer). The license example is given in Appendix 8 hereunder.

- license validity conditions to be made in two copies and signed by the head of a responsible department (or an acting officer), whereas one copy of the license validity conditions shall be initialed by the originators on the last page.

19.5.1. According to requirements of the second paragraph, It. 24 of the licensing Provision the license validity conditions including Rostechnadzor's requirements for safety of the licensed type of activity with due consideration of its specifics shall be an integral part of the license. If necessary, the license shall establish the conditions for the transition from one work stage to the other, and if a licensed activity includes the nuclear material management - the requirements for the availability of the licensee's contract with an authorized state body for dedication of nuclear material to the licensee by the time of such activity.

19.5.2. The license validity conditions shall include:

a) information related to:

- work to be performed under the declared type of activity;
- nuclear materials, radioactive substances, products on their basis and radioactive waste, which should be managed under the licensed type of activity;

- nuclear facilities where (or in relation to which) the licensed type of activity should be performed;

- b) requirements binding the applicant:

- to have a set (sets) of regulatory documents, according to which the design, engineering and process solutions have been made in the development of the nuclear facility project, the safety of the nuclear facility and/or type of activity has been substantiated, the design, process, engineering documents and safety analysis documents have been elaborated;

- to have a set (sets) of design, engineering, process and operation documentation, according to which a type of activity should be performed;

- to have a set of documents substantiating safety of a nuclear facility and/or type of activity;

- to ensure that design, engineering, process and operation documentation and safety analysis documents related to a nuclear facility and/or type of activity comply with the requirements of the effective regulatory documents;

- to ensure the conformity of the safety analysis documents related to a nuclear facility and/or type of activity with the contents of the design, engineering and process documentation;

- to ensure the conformity of the operating documents with the design, engineering, process documentation and safety analysis documents related to a nuclear facility and/or a type of activity;

- to keep the design, engineering and process documentation, which serves as a basis for siting (construction, operation, decommissioning) of a nuclear facility, and documentation reflecting changes and amendments thereto, which were made throughout the life cycle stages till the specified final state of a facility during its decommissioning;

- to ensure the conformity of the design, engineering and process solutions with the requirements of regulatory documents;

- to ensure the conformity of the condition of nuclear facility and/or type of activity with the design, engineering, process documentation and safety analysis documents related to a nuclear facility and/or a type of activity;

- to ensure that reconstructed (upgraded) systems (components) important to safety are commissioned after the required changes have been made in the license validity conditions, as well as relevant changes and/or amendments have been made in all the copies of the operating documentation, and the personnel have been duly familiarized with them;

- to ensure the fulfillment of the requirements of the quality assurance system in force in the company, as well as the requirements of the quality assurance programs;

- to ensure the fulfillment of the requirements of the regulatory and operating documents including the limits and conditions of safe operation;

- to ensure the work quality control of the organizations involved in the activities and services (for operating organizations);

if the requirements of the effective regulatory documents are changed, or new regulatory documents are implemented, it is necessary to analyze how the revealed deviations from the new requirements may affect safety, to elaborate and implement measures (work programs) to remove and (or) compensate for the deviations affecting safety;

- to ensure that the employees skills meet the established requirements and there are conditions for skill maintaining at the required level;

- to establish and maintain the number and skills of the personnel adequate for safe performance of the type of activity;

- when new regulatory documents are made effective and the effective documents are changed, it is necessary that the personnel should be duly familiarized with them and examined in terms of knowledge of new codes and regulations;

- to notify the Rostekhnadzor licensing authority and representatives of a Rostekhnadzor territorial body about new data or changes of information submitted at the licensing stage, which are related to safety of the licensed type of activity;

- prior to commencing the nuclear and radiation hazardous activities at a nuclear facility, to notify the representatives of Rostekhnadzor territorial body about the work commencement and end dates;

- when Rostekhnadzor exercises its powers, to ensure that Rostekhnadzor officers have access to the organization's territory, nuclear facility, buildings and structures, and to provide them with the necessary documented information related to nuclear and (or) radiation safety of the nuclear facility and/or type of activity;

- to observe particular process regulations, techniques, instructions, programs, sequence and procedure of specific nuclear and radiation hazardous works under the licensed activity to be performed at a particular facility;

- to elaborate and take measures for elimination of and/or compensation for revealed non-conformities of the nuclear facility and/or type of activity, design, engineering and process documentation, equipment and systems with the requirements of the regulatory documents including the due dates of these measures and submission of the completion report documents to Rostekhnadzor;

- to ensure the implementation of the particular quality assurance programs for particular nuclear and radiation hazardous work to be performed at nuclear facility, radiation source and storage facility with specific nuclear material, radioactive substance, items based on them, and radioactive waste;

- to ensure management (also in transportation) of such nuclear materials, radioactive substances, products on their basis and in such quantities as meet the limitations established in the design and safety analysis documents related to a nuclear facility and/or type of activity;

- to ensure management of radioactive waste so that their quantitative and qualitative characteristics meet the limitations established in the design and safety analysis documents related to a nuclear facility and/or type of activity, including the quantitative and qualitative characteristics (if they are not confidential);

- to establish a procedure for extension of the specified service life of particular systems and/or components of nuclear facility;

- to define and ensure the implementation of specific requirements for nuclear, radiation, fire and technical safety at the interfaces between different work stages during the construction, operation, decommissioning and reconstruction (upgrading) of a nuclear facility;

- to ensure safe conditions for reconstruction (upgrading) of a nuclear facility;

- to ensure physical protection of nuclear facilities with specific nuclear material, radioactive substances, products on their basis and radioactive waste, control and accounting of specific nuclear materials, radioactive substances, products on their basis, and radioactive waste;

- to monitor the site characteristics and to consider the results for design and construction of a nuclear facility, as well as for development, manufacture, installation and adjustment of safety-related systems (components), during their normal operation throughout the specified operation life and decommissioning;

- to arrange the inspection of preparedness for pre-commissioning activities and their acceptance before the commencement of the pre-commissioning activities;

- prior to delivering nuclear materials (nuclear fuel), radioactive substances and radioactive waste to a nuclear facility site, to ensure that the operating documentation is prepared, personnel is recruited and trained, workplaces are available, measures for physical protection of nuclear materials, as well as control and accounting of nuclear materials, radioactive substances and radioactive waste are taken; the action plan for personnel and public protection is available and ready to be implemented; a nuclear facility is ready for operating modes;

- to ensure that training programs and advanced training programs for specific categories of employees (personnel) are updated and implemented;

- to revise the safety analysis report and probabilistic safety analysis, considering the failures of systems (items) important to safety and human errors, and to use these reports for investigation of operational events at a nuclear facility and for development of measures on improving its safety prioritizing them and defining their effectiveness.

19.5.3. List of license validity conditions and requirements can be added and amended by Rostekhnadzor when the unknown circumstances related to safety of the licensed activity are revealed, the new federal codes and regulations in the field of atomic energy use are implemented, and a licensee files an application for amendment of the license validity conditions.

19.6. Decision on the license issuance or refusal shall be approved by:

- deputy head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;

- deputy head of a territorial body or an acting officer - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

19.7. To approve the decision of license issuance by a responsible department the following documents shall be submitted:

- draft decision on the license issuance (two copies);

- draft license (one copy);

- license validity conditions (one copy);

- expert review report of an expert organization;

- inspection report (if the inspection was conducted).

19.8. To approve the decision of license refusal by a responsible department the following documents shall be submitted:

- draft decision on the license refusal (two copies);

- expert review report of an expert organization;

- inspection report (if the inspection was conducted).

19.9. The grounds for refusal of the license according to It. 23 of the licensing Provision shall be:

a) availability of invalid or distorted information in the license application documents;

b) expert review report on the insufficient substantiation of the nuclear and radiation safety of nuclear facility, radiation source, storage facility and/or declared activity;

c) non-conformity of a declared activity with the nuclear and radiation safety requirements.

19.10. Criteria for making decision on the license refusal shall be identification of one or more facts:

a) invalid or distorted and contradictory data in the license application documents, which is significant in terms of safety assurance,

b) safety important non-conformity of the information given in the license application documents with an actual situation of an applicant;

c) significant error or bad mistake made by the applicant in the substantiation of nuclear or radiation safety of a nuclear safety, radiation source, storage facility and/or declared type of activity (in particular, incorrect selection of initial data, boundary conditions, test conditions, etc., use of non-certified software tools, calculation methods, test procedures, etc.; wrong selection of conditions, medium, test parameters, etc.; erroneous use of calculating formulas, approximations, closing relations, etc.) in the license application documents;

d) deviation, which is significant for safety assurance, from the safety requirements (safety principles, limits, conditions, criteria, etc.) established by the codes and regulations in the field of atomic energy use, in the safety analysis documents of the declared activity.

19.11. According to requirements of It. 22 of the licensing Provision, the decision on the license issuance or refusal shall be taken within 30 days after the completion of the review of the documents substantiating the nuclear and radiation safety of a nuclear facility, radiation source, storage facility and/or declared activity.

An applicant shall be notified about the decision made within 3 days after the decision date.

19.12. The result of the administrative procedure for making decision on the license issuance or refusal is the approved decision on the license issuance or refusal.

19.13. Procedure for communicating the result of the administrative procedure for making the license issuance or refusal decision.

19.13.1. Decision on the license issuance



19.13.1.1. Within three days after the approval of the license issuance decision, the responsible department shall:

- give a written notice to an applicant about the license issuance decision;
- send to the coordinating department (in the cover letter) the approved decision on the license issuance (two copies); draft license; license validity conditions (two copies).

At the same time, the responsible department shall hand over the electronic copies of the specified document to the coordinating department.

#### 19.13.2. Decision on the license refusal

19.13.2.1. Within three days after approval of the license refusal decision, the responsible department shall:

- give a written notice to an applicant about the license refusal decision (according to requirements of It. 23 of the licensing Provision where the reason of refusal is defined);
- send the approved initialed copy of the license refusal decision with the covering letter to the coordinating department (at the same time the responsible department shall also send an electronic copy of the specified document to the coordinating department).

19.13.2.2. Within one year after the approval of the license refusal decision the responsible department shall keep:

- one copy of the approved license refusal decision;
- license application documents submitted by an applicant;
- expert review report of an expert organization;
- inspection report (if the inspection was conducted).

19.14. The results of the administrative procedure for making decision on the license issuance or refusal shall be documented by registration of the approved decision on the license issuance or refusal in the coordinating department.

19.15. The flow diagram of the administrative procedure specified in It. 19 of these Regulations is given in Appendix 9 thereto.

#### 20. License issuance and establishment of the validity conditions

20.1. A legal fact being the grounds for commencing the administrative procedure for license issuance and establishment of the validity conditions, including its registration

and execution is the receipt of the following duly executed documents by the coordinating department (with the cover letter from the responsible department):

- approved decision on the license issuance (two copies);
- draft license;
- license validity conditions (two copies).

20.2. An official responsible for management of the license issuance with the specified validity conditions including its registration and execution is the Head of the coordinating department (or an acting officer), who appoints the persons for fulfillment of this administrative procedure.

20.3. The persons assigned shall ensure the fulfillment of the following administrative actions.

20.3.1. Assignment of the registration number to the approved decision and license

20.3.2. The license shall be made on the standard strict reporting forms including the copies (the license copy shall be endorsed (initialed) by originators).

20.3.3. The license copies shall be initialed by:

- head of the coordinating department (or an acting officer);
- head of the responsible department (or an acting officer);
- deputy head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;
- deputy head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

20.3.4. The license and initialed copy shall be signed by:

- head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;
- head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

When transferring the license and initialed copy for signature, the license validity conditions and license issuance decision shall be enclosed to.

20.3.5. Authenticating the signed license and its copy:

- by the official stamp of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;

- by the official stamp of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

The license and its copy shall be stamped by an employee of a structural division, to which the official stamp has been handed over for safekeeping.

20.4. Notice to an Applicant about the time and place of license granting shall be given by:

- head of the coordinating department (or an acting officer) for execution of the state function on licensing by Rostekhnadzor Headquarters;

- head of a relevant territorial body of Rostekhnadzor (or its acting officer) - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

Time of license issuance shall be determined so that the applicants' representatives do not wait or stand in line. Duration of the license issuance shall not exceed 20 min.

List of the documents to be submitted by an applicant for license is given in It. 20.7 hereunder.

20.5. According to requirements of It. 24 of the licensing provision, the license shall be executed by Rostekhnadzor within 20 days after the date of the license issuance decision.

ConsultantPlus: Note.

Item 14 is void due to making changes in Government Decree No. 438 of 19.06.2002 according to Government Decree No. 1092 of 22.12.2011. Government Decree of the Russian Federation No. 1092 of 22.12.2011 approves the Regulations for submission the electronic information to a registering authority by other government authorities as required for the state registration of legal entities and private entrepreneurs, as well as for keeping the Unified State Register of Legal Entities and Individual

Entrepreneurs.

20.5.1. According to requirements of It. 14 of the "Rules for Keeping the Unified State Register of Legal Persons and Submission of the Register's Information", within five working days after the decision of the license issuance (re-issue of documents confirming the license availability, or license termination, renewal, canceling) the coordinating department shall communicate information about the license issuance to a relevant tax authority at the applicant's location according to a form agreed by the parties.

20.6. Results of the administrative procedure specified in It. 20 of these Regulations shall be recorded in the database, and the license with the specified validity conditions shall be executed (assignment of the registration number to the license, execution of the license on the standard strict reporting form, signing of the license and its copy, and certification of the license and copy by the official stamp).

20.7. License (with the enclosed validity conditions) shall be issued by the coordinating department to an applicant's representative after the submission of the following documents:

- document confirming the payment of the state dues for the license issue;
- document confirming the applicant's representative right for obtaining the license.

20.8. For fulfillment of the state licensing function by Rostekhnadzor's Headquarters, the coordinating department shall issue the license (with the validity conditions) to an applicant's representative with the covering letter to be signed by head of the coordinating department.

After the license issue the coordinating department shall sent the covering letter including:

- copy of the license issuance decision, copy of the license and validity conditions to the responsible department;

- copies of the license and validity conditions to a territorial body of Rostekhnadzor (applicants' place of registration according to Appendix 2 of this Regulation) to arrange the state control over observance of the license validity conditions.

20.9. For execution of the state function on licensing by Rostekhnadzor's Territorial Body the coordinating department shall issue the license (with the validity conditions) to an applicant's representative with the covering letter to be signed by head of a territorial body (or its acting officer).

After the license issue, the license copies and validity conditions shall be sent:

- to the responsible department by the coordinating department;
- to the respectful structural division of a territorial body by head of the territorial body (or its acting officer) to arrange the state control over observance of the license validity conditions.

20.10. Within the license validity period the coordinating department shall keep:

- the approved initialed copy of the license issuance decision;
- the initialed license copy;
- the initialed copy of the license validity conditions;
- the document confirming the payment of the state dues for the license issue;
- the document confirming the applicant's representative right for obtaining the license.

20.11. Within the license validity period the responsible department shall keep:

- copy of the license issuance decision;
- license xerox copy;
- copy of the license validity conditions;
- statement of the license issuance together with the applicant's documents for obtaining the license;
- expert review report of an expert organization;
- inspection report (if the inspection was conducted).

20.12. The flow diagram of the administrative procedure specified in It. 20 of these Regulations is given in Appendix 10 thereto.

21. Follow-up of the issued license by inspections to examine the fulfillment of the license validity conditions, and by introduction of the required changes in the license validity conditions.

A legal fact being the grounds for commencing this administrative procedure is the license issue including the specified validity conditions to an applicant.

21.1. Follow-up of the issued license is carried out by a respective territorial body of Rostekhnadzor through the scheduled and unscheduled inspections to verify the implementation of the license validity conditions.

21.1.1. Scheduled inspections shall be conducted according to the annual work plan to be approved by head of a Rostekhnadzor territorial body, at intervals:

- at least once a year - for performance of the nuclear and radiation hazardous activities by the licensee;

- no more than once a year - for licensee's performance of the activities not related to nuclear and radiation hazard.

21.1.2. Unscheduled inspections shall be conducted in the following cases:

- a) to verify the fulfillment of the instruction to rectify violations found during the scheduled inspection;

- b) in case of occurrences and accidents on the site, in relation to which the declared activity is conducted;

- c) if information is received from physical entities concerning the licensee's violations of the procedure for technical investigation of the cause of occurrences, accidents and incidents on the site;

- d) upon receipt of the information from legal entities or individuals that the licensee has provided knowingly false information on the facility safety status in respect of which the declared activity is conducted.

Notifications, which prevent from identifying a legal or physical person applying to Rostekhnadzor, cannot be the grounds for the unscheduled inspection.

21.1.3. Scheduled and unscheduled inspections shall be conducted according to the order of the Head of a Rostekhnadzor Territorial Body. The Order shall include:

- name and position of a person(s) authorized to conduct the inspection;
- name of a legal person subject to the inspection;
- purposes, objectives, and subject of the inspection;
- legal grounds for the inspection, including regulatory legal acts, the mandatory requirements of which are to be inspected;
- date of inspection commencement and end.

A relevant territorial body of Rostekhnadzor shall give a notice about the inspection to an Applicant (no later than 5 days before the commencement).

The order of inspection (or its copy affixed with the seal) shall be shown to a licensee by the inspector with the service certificate.

21.1.4. Duration of scheduled and unscheduled inspections shall not exceed one month. In extraordinary circumstances connected with the need for special investigations (tests), based on the grounded proposal of an inspecting officer, the period of inspection can be extended to no more than 1 month by head of a Rostekhnadzor Territorial Body.

21.1.5. Based on the inspection results the Inspection report shall be drawn up in two copies.

The inspection report shall specify:

- date and registration number of the report;
- name of a respectful territorial office of Rostekhnadzor;
- date and number of the order based on which the inspection was conducted;
- names and positions of the persons conducted the inspection;
- full name of an applicant organization;
- names and positions of applicant representatives attended the inspection;
- type of activity, facility and specified license validity;
- information on inspection results including the identified violations, their nature and persons who made such violations;
- inspectors' signatures.

The documents related to the inspection or their copies shall be enclosed to the inspection report (if necessary).

Within the day from the inspection report date, one copy of the inspection report shall be transferred to an applicant (against signed receipt) or send by post with the delivery notification. The second copy of the report shall be stored in a relevant territorial office of Rostekhnadzor. If the inspection was conducted to verify whether the validity conditions of the license issued by Rostekhnadzor Headquarters were fulfilled, the inspection report should be sent to the responsible department of Rostekhnadzor's Headquarters. If an administrative violation is identified in the inspection, the report should be made in accordance with the procedure established by the legislation of the Russian Federation about administrative violations, and the instructions for rectification of the identified violations shall be given.

21.1.6. The inspecting officials of a Rostekhnadzor's Territorial Body shall be obliged:

- to fulfill timely and completely the functions on prevention, identification and restraint of violations of the license validity conditions in accordance with the legislation of the Russian Federation;
- to observe the legislation of the Russian Federation, the rights and legal interests of licensees;
- to take the control measures based on and in strict compliance with the inspection order;
- to visit the licensee's sites (territories and premises) for the inspection only during the official duty performance upon presentation of the service certificate and the inspection order given by a Rostekhnadzor Territorial Body;
- not to preclude the licensee's representatives from attendance of the inspection, to give explanations on the issues related to the inspection subject;
- to submit the required inspection-related information to licensee official or their representatives attending the inspection;
- to familiarize the license officials or their representative with the inspection results;



- when identifying measures to be taken in response to the revealed violations, to consider the compliance of the specified measures with the violation severity, their potential hazard to people life and health, environment and property, as well as to avoid unwarranted restrictions of the licensee's rights and legitimate interests;

- to prove legitimacy of its actions appealed by licensee in accordance with the procedure established by the legislation of the Russian Federation.

21.1.7. The flow diagram of the administrative procedure specified in It. 21.1 of these Regulations is given in Appendix 11 thereto.

21.2. Follow-up of the granted license through introduction of the necessary changes in the license conditions.

21.2.1. Follow-up of the licenses by making required changes in the license validity conditions shall be arranged by the head of a responsible department of Rostekhnadzor, who assigns the responsible persons among the subordinated civil officers, for follow-up of particular licenses.

21.2.2. The employees responsible for follow-up of particular licenses shall analyze the following materials as far as they are received by the responsible department (in accordance with the international conventions):

- information about the events occurred at foreign nuclear facilities, including the technical and human factor causes, about the investigation of accidents and incidents, conclusions and lessons learned;

- results of the investigation of occurrences at domestic nuclear facilities;

- results of the periodical safety assessment of nuclear facilities performed by operating organizations;

- reports on the inspections conducted to verify the fulfillment of the license validity conditions by a licensee,

21.2.3. According to requirements of the licensing Provision, It. 28, a licensee shall constantly inform Rostekhnadzor about new data or changes in the information submitted at the licensing stage, which are related to safety of the licensed activity.

This information implemented as the changes in the documents, based on which the license has been issued, or new documents substantiating the nuclear and radiation safety of a nuclear facility, radiation source, storage facility and/or licensed activity, shall be submitted to Rostekhnadzor by a licensee in accordance with the request for amendment of the license validity conditions,

21.2.4. According to the licensing Provision, It. 27, the grounds for amendment of the license validity conditions shall be:

a) discovery of previously unknown circumstances related to safety of the licensed type of activity;

b) introduction of new federal codes and regulations in the field of atomic energy use;

c) licensee filing an application for changing the license conditions.

Therewith, for "a" and "b" the decision on changing the license validity conditions shall be taken by a responsible department of Rostekhnadzor. Besides, in all the listed cases the responsible department of Rostekhnadzor shall:

- determine the need for request of any additional documents substantiating nuclear and radiation safety of the licensed activity from an applicant due to suggested amendment of the license validity conditions;

- send the request to an applicant, if necessary, for any additional documents substantiating nuclear and radiation safety of the licensed activity.

Upon receipt of the Licensee's request for amendment of the license validity conditions the coordinating department shall assign a registration number to the request in accordance with the numbering procedure established by Rostekhnadzor and transfer it to a responsible department.

21.2.5. Upon receipt and registration of the applicant's additional documents substantiating nuclear and radiation safety of the licensed activity the responsible department shall:

- arrange the validity check of the information contained in the specified documents (according to requirements of It. 18.3.1 of this Regulation);

- arrange, if necessary, the inspection (according to requirements of It. 18.3.2 of this Regulation);

- arrange the review of the specified documents (the due dates for preparation of the expert review requirements specification, maximum period of the expert review, procedure for selection of an expert organization, procedure for acceptance of the expert review report meet the requirements for fulfillment of the administrative procedure for processing of the license application documents).

#### 21.2.6. Decision on the amendment of the license validity conditions

21.2.6.1. The grounds for the decision on the amendment of the license validity conditions is the receipt of the inspection report ( if any) and expert review report by the responsible department.

21.2.6.2. An official responsible for amendments of the license validity conditions shall be:

- deputy head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;

- deputy head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

21.2.6.3. An official responsible for making the decision on amendment of the license validity conditions shall be the head of a responsible department (or an acting officer), who assigns the persons for elaboration of the draft decision.

21.2.6.4. Within 20 days upon completion of the expert review, the responsible persons shall draw up:

- draft decision on amendment of the license validity conditions in two copies, one of which is to be initialed by originators on the last page, and be signed by the head of a responsible department or an acting officer (the example of the decision on amendment of the license validity conditions is given in Appendix 12 to this Regulation);

- draft amendment of the license validity conditions with the assignment of a registration number (the example of amendment of the license validity conditions is given in Appendix 13 to this Regulation).

21.2.6.5. Decision on the amendment or refusal of amendment of the license validity conditions shall be approved by:

- deputy head of Rostechnadzor - for execution of the state function on licensing by Rostechnadzor Headquarters;

- deputy head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostechnadzor.

21.2.6.6. When previously unknown circumstances associated with safety of the licensed activity are revealed, new federal codes and regulations are effective in the field of atomic energy use or a licensee requests for amendment of the license validity conditions, the responsible department shall submit the following documents to approve the decision on changing the license validity conditions:

- draft decision on amendment of the license validity conditions to be signed by the head of a responsible department or an acting officer (in two copies);

- draft amendment of the license validity conditions to be signed by the head of a responsible department or an acting officer (in two copies);

- expert review report of an expert organization;

- inspection report (if the inspection was conducted).

21.2.6.7. To approve the decision on refusal of amendment of the license validity conditions (on actual basis of the license request for amendment of the license validity conditions) the responsible department shall submit:

- draft decision on refusal of amendment of the license validity conditions (in one copy);

- expert review report of an expert organization;

- inspection report (if the inspection was conducted).

21.2.6.8. Within three days after the approval of the decision on amendment of the license validity conditions, the responsible department shall give a written notice to an applicant about the decision on amendment of the license validity conditions.

21.2.6.9. Within three days after the approval of decision on refusal of amendment of the license validity conditions (based on the license's request for amendment of the license validity conditions) the responsible department shall:

- give a written notice to an applicant about the decision on refusal of amendment of the license validity conditions (according to requirements of It. 23 of the licensing Provision where the justified reason of refusal is defined);

- send the approved initialed copy of the decision on refusal of amendment of the license validity conditions with the covering letter to the coordinating department (at the same time the responsible department shall also send an electronic copy of the specified document to the coordinating department).

21.2.6.10. The grounds and criteria for the decision on refusal of amendment of the license validity conditions, as well as the decision on refusal of license issuance (see 19.9 and 19.10 of this Regulation).

21.2.6.11. The responsible department shall keep:

- decision counterpart on refusal of amendment of the license validity conditions;
- documents submitted by an applicant for amendment of the license validity conditions;
- expert review report of an expert organization;
- inspection report (if the inspection was conducted).

These documents shall be kept within a validity period of a particular license.

22. License re-issuance, validity condition amendment (extension), suspension or termination (cancellation).

22.1. License renewal

22.1.1. License renewal for reconstruction or rename of the licensee's legal entity

22.1.1.1. According to the licensing Provision, It. 35, the license re-issue due to reconstruction or rename of a licensee's legal entity shall be carried out pursuant to the procedure established for obtaining the license, It. 17-20 of this Regulation.

22.1.2. License re-issuance due to amendments in the license validity conditions

22.1.2.1. The responsible department shall transfer the draft amendment of the license validity conditions (two copies with the enclosed approved decision on amendment of the license validity conditions) for approval of:

- head of Rostekhnadzor - for execution of the state function on licensing by Rostekhnadzor Headquarters;
- head of a territorial body - for execution of the state function on licensing by a respective territorial body of Rostekhnadzor.

22.1.2.2. When the state function of licensing is executed by Rostekhnadzor Headquarters the responsible department shall arrange for:

- approval of the amendments of the license validity conditions in two copies by the Head of Rostekhnadzor;
- certification of the license validity condition amendment in two copies by the official stamp of Rostekhnadzor.

22.1.2.3. When the state function of licensing is executed by a territorial body of Rostekhnadzor the responsible department shall arrange for:

- approval of the license validity conditions amendment in two copies by the Head of a Rostekhnadzor Territorial Body;
- certification of the license validity conditions amendment in two copies by the official stamp of a Rostekhnadzor Territorial Body.

22.1.2.4. After approval of the license validity conditions amendment the responsible department shall send the following documents including the covering letter to the coordinating department:

- approved decision on the license validity conditions amendment (in two copies);
- approved amendment to the license validity conditions (two copies).

At the same time, the responsible department shall hand over the electronic copies of the specified document to the coordinating department. Then the coordinating department shall inform an applicant about the time and place of issue of the license validity conditions amendment, as well as about the documents to be shown to obtain the amendment in the license validity conditions.

22.1.2.5. Administrative actions provided by 22.1.2.1 - 22.1.2.4 of these Regulations shall be performed within 20 days after the approval of the decision on the amendment to the license validity conditions.

22.1.2.6. The result of the administrative procedure for making amendments in the license validity conditions is the approved amendment to the license validity conditions. This result shall be documented by the assignment of the registration number to the license validity conditions.

22.1.2.7. The approved amendment of the license validity conditions shall be issued by the coordinating department to an applicant representative, including the covering letter to be signed by the head of the coordinating department, which notifies the applicant about the issue of the license validity conditions amendment based on a document to be shown by the applicant representative for the right to obtain the amendment of the license validity conditions.

22.1.2.8. When the state function of licensing is fulfilled by Rostekhnadzor Headquarters, the coordinating department shall send the following documents (with the covering letter) after granting the amendment of the license validity conditions to an applicant representative:

- copy of the decision on the license validity condition amendment and xerox copy of the license validity conditions amendment - to a responsible department;
- xerox copy of the license validity conditions amendment - to a territorial body of Rostekhnadzor (to an applicants' place of registration according to Appendix 2 of this Regulation) for consideration during the state control over observance of the license validity conditions.

22.1.2.9. When the state functions of licensing is executed by a territorial body of Rostekhnadzor, the xerox copies of the license validity condition amendment shall be sent:

- to a responsible department by the coordinating department;
- to a respectful structural division of a territorial body by the head of the territorial body (or its acting officer) to arrange the state control over observance of the license validity conditions.

22.1.2.10. Within the license validity period the coordinating department shall keep:

- the approved initialed counterpart of the decision on the amendment to the license validity conditions;

- the approved initialed counterpart of the license validity conditions amendment;

- a document confirming the applicant's representative right for obtaining the license validity conditions amendment.

22.1.2.11. Within the license validity period the responsible department shall keep:

- decision counterpart of the amendment of the license validity conditions;

- xerox copy of the license validity conditions;

- request for amendment of the license validity conditions together with the applicant's documents for amendment of the license validity conditions;

- expert review report of an expert organization;

- inspection report (if the inspection was conducted).

22.1.2.12. The flow diagram of the administrative procedure specified in It. 22.1.2 of these Regulations is given in Appendix 14 thereto.

22.2. Change (extension) of the license validity

Change (extension) of the license validity shall be carried out by execution of the license with the new validity period pursuant to the procedure established for licensing in It. 17 - 20 of this Regulation.

22.3. Suspension or termination (canceling) of license

22.3.1. Based on the analysis of the supervisory activities over fulfillment of the federal codes and regulations in the field of atomic energy use and validity conditions of the issued license by means of the scheduled and unscheduled inspections of the licensed activities performed by the licensee, as well as based on the nature of the identified violations of the requirements for nuclear and radiation safety, cause of failures and occurrences of nuclear facility equipment and systems, results of investigations of the accidents at nuclear facility, the responsible department can draw up a draft decision on the suspension of the license or its cancellation.



22.3.2. According to requirements of It. 29 of the licensing Provision, Rostekhnadzor may suspend or cancel a license.

22.3.2.1. The grounds for the license suspension are:

a) licensee's violation of the federal codes and other regulatory legal acts of the Russian Federation in the field of atomic energy use;

b) licensee's violation of the license validity conditions;

c) licensee's failure to fulfill orders of Rostekhnadzor or other safety regulatory authorities in the field of atomic energy use;

d) licensee's failure to fulfill orders or instructions of the state authorities or termination of the licensee's activity by such authorities in accordance with the legislation of the Russian Federation.

22.3.2.2. The reason for license cancellation is the licensee's failure to clear the violations resulted in the license suspension.

22.3.2.3. According to It. 29 of the licensing Provision, a license can be canceled based on the licensee's request.

22.3.2.3.1. A legal act being the grounds for commencing the administrative actions related to consideration of the licensee's request for license cancellation is the receipt of the request for license cancellation by the coordinating department.

22.3.2.3.2. An official responsible for consideration of the license cancellation request is the Head of the coordinating department or an Acting Officer.

22.3.2.3.3. The Head of the coordinating department (or its Acting Officer) shall appoint the persons responsible for consideration of the license cancellation request.

22.3.2.3.4. The responsible persons shall assign a registration number to the request in accordance with the numbering procedure established in Rostekhnadzor, and within three days after the receipt of the licensee's request for license cancellation by the coordinating department including the covering letter (with the indication of the registration number assigned to the request) signed by the head of the coordinating department (or its acting officer).

22.3.2.3.5. The further procedure for fulfillment of the administrative actions related to the licensee's request for license cancellation is given in It. 22.3.3 - 22.3.8 and agreed with the procedure for license validity termination or cancellation.

22.3.3. An official responsible for fulfillment of the administrative procedure for license suspension or cancellation is the head of a responsible department.

22.3.4. After one or more facts of violations have been revealed as specified in It. 22.3.2 "a", "b", "c", "d" hereunder, or if a license submits a relevant request, the responsible department shall draw up a draft decision on the license suspension or termination (cancellation) within 7 days.

The example of the decision on the license suspension or termination (cancellation) is given in Appendix 15 thereto. The decision shall include the justified reason and date of the license suspension or termination (considering requirements of this Regulation).

22.3.5. The draft decision on the license suspension or termination (cancellation) shall be drawn up in two copies, one of which, the last page, is initialed by originators, head of the responsible department, and is signed by the deputy head of Rostekhnadzor (or deputy head of a relevant territorial body of Rostekhnadzor) and referred to approval:

- in the Headquarters - by the head of Rostekhnadzor;
- in a territorial body - by the head of a territorial body of Rostekhnadzor;

The responsible department shall ensure:

the approval of the decision on the license validity suspension or cancellation:

- in the Headquarters - by the head of Rostekhnadzor;
- in a territorial body - by the head of a territorial body of Rostekhnadzor;

certification of the approved decision on the license suspension or termination (cancellation) by the official stamp of Rostekhnadzor or its relevant territorial body.

22.3.6. The responsible department shall send two copies of the approved decision on the license suspension or termination (cancellation) with the covering letter to the coordinating department.

22.3.7. The coordinating department shall assign a registration number to the approved decision on the license suspension or termination (cancellation) and according to

It. 30 of the licensing Provision shall send the specified decision to a licensee by registered mail with delivery notification no later than the date after which the license is suspended or canceled.

At the same time, the coordinating department shall give notice about the specified decision to a relevant territorial body of Rostekhnadzor (if the state function of licensing is executed by Rostekhnadzor Headquarters) or to a relevant structural division of a Rostekhnadzor territorial body (if the state function of licensing is fulfilled by a Rostekhnadzor territorial body).

22.3.8. The coordinating department shall notify about the decision taken:

- a respective government authority confirming the licensee's right to own or use nuclear material, nuclear facilities, radiation sources, storage facilities, radioactive substances, radioactive waste, - within three working days after the date of the decision on the license suspension or termination (cancellation);

- a respective tax authority - within five working days after the date of the decision on the license suspension or termination (cancellation) (see It. 20.5.1).

If a licensee is an operating organization, the coordinating department shall also give notice about the taken decision to a corresponding nuclear supervision authority recognized the organization as capable of operating a nuclear facility, a radiation source or a storage facility and performing, on its own or through the involvement of other organizations, activities on siting, design, construction, operation and decommissioning of the nuclear facility, radiation source or storage facility as well as activities on handling nuclear materials and radioactive substances.

22.3.9. Upon receipt of the decision:

- related to the license suspension, the licensee shall suspend the licensed type of activity according to requirements of It. 32 of the Provision for licensing;

- related to the license termination (cancellation), the licensee shall terminate the licensed type of activity and return the license to Rostekhnadzor according to requirements of It. 33 of the Provision for licensing.

22.3.10. The result of fulfillment of the administrative procedure for suspension or termination (cancellation) of the license validity is the approved decision on the license suspension or termination.

The result of the administrative procedure is recorded by assigning a registration number to the specified decision.

22.3.11. The flow diagram of the administrative procedure for license suspension or termination (cancellation) specified in Appendix 16 thereto.

### 23. License renewal

23.1. In case of change in the circumstances that lead to suspension of the license, the license can be renewed. Revalidation is based on the licensee's application for license renewal and a written notification that the licensee removed the violation of license requirements and conditions.

23.2. A legal fact being the grounds for commencing the administrative procedure for license renewal is the licensee request for the license renewal.

23.3. Within 3 days after receipt of the request, the coordinating department shall assign a registration number pursuant to the numbering procedure established in Rostekhnadzor and send the request with the covering letter to a responsible department.

23.4. An official responsible for making decision on the license renewal is the head of the responsible department (or its acting officer), who entrusts a respective territorial body of Rostekhnadzor to conduct the unscheduled inspection to verify the information related to rectification of violations by a licensee, which caused the license suspension, and assigns employees responsible for consideration of the request.

23.5. The grounds for making the license renewal decision is the receipt of the following documents by the responsible department:

- licensee's request for the license renewal and written notice about the rectification of the violations that caused the license suspension;
- unscheduled inspection report confirming the rectification of the violations caused the license suspension.

23.6. Within 20 days the responsible persons shall draw up a draft decision on the license renewal to be made in two copies, one of which is initialed on the last page by originators and head of the responsible department (of an acting officer).

The specified draft decision shall be signed by the deputy head of Rostekhnadzor (or deputy head of a respective territorial body of Rostekhnadzor).

The example of the decision on the license renewal is given in Appendix 17 thereto. The decision shall include a type of renewed activity and field of its application.

23.7. When the state function of licensing is fulfilled by Rostekhnadzor Headquarters the responsible department shall arrange for:

- approval of the license renewal decision by the head of Rostekhnadzor (two copies);
- certification of the approved decision on the license renewal by the official stamp of Rostekhnadzor;
- transfer of two copies of the approved decision to the coordinating department within a day after the decision approval.

When the state function of licensing is fulfilled by a territorial body of Rostekhnadzor the responsible department shall arrange for:

- approval of the license renewal decision by the head of a Rostekhnadzor territorial body;
- certification of the approved decision on the license renewal by the official stamp of a Rostekhnadzor territorial body;
- transfer of two copies of the approved decision to the coordinating department within on the day of the decision approval.

23.8. Result of the administrative procedure for license renewal is the approval of the license renewal decision.

The result of the administrative procedure is recorded by assigning a registration number to the specified decision.

23.9. License shall be deemed renewed upon approval of the license renewal decision, whereof the coordinating department, within three days after the date of the license renewal decision, shall give notice to:

- licensee - within three days after the decision on the license renewal;
- bodies whereto the information about the license suspension or termination (cancellation) is sent, pursuant to requirements of It. 22.3.8 of this Regulation.

23.10. The flow diagram of the administrative procedure for the license renewal is given in Appendix 18 of this Regulation.

#### 24. Issuing duplicate license

24.1. In case the license is lost, according to requirements of It. 36 of the Provision for licensing, within 5 days after the loss the licensee shall apply for a duplicate license addressed to the head of Rostechnadzor or head of a respective territorial body of Rostechnadzor who issued the license, with the indication of the organization name, its legal form, legal address, type of activity and field of application, registered number and validity of the lost license.

24.2. The request made in accordance with requirements of It. 24.1 thereto shall be signed by the head and certified by the company stamp.

24.3. A legal fact being the grounds for initiating the administrative procedure for issuing duplicate license is the receipt of the application for a duplicate license by the coordinating department.

24.4. An official responsible for fulfillment of the administrative procedure for issuing duplicate license is the head of the coordinating department (or its acting officer), who assigns a responsible person for consideration of the duplicate license applications.

24.5. Within 15 days upon registration of the application, a responsible person of the coordinating department shall:

- examine the observance of the application rules established in It. 24.1 of this Regulation;
- draw up a draft decision on the duplicate license issuance or refusal, in three copies.

The draft decision on the duplicate license issuance or refusal shall be initialed by the responsible person (originator), signed by the head of the coordinating department or an acting officer. The decision shall be approved by the deputy head of a Rostekhnadzor body who issued the license.

24.6. The grounds for making decision on the duplicate license refusal are:

- absence of any information specified in It. 24.1 hereunder in the application for the duplicate license;
- failure to fulfill the requirements specified in It. 24.2 of this Regulation;
- loss of the previously duplicate license (pursuant to requirements of It. 36 of the Provision for licensing a duplicate license is issued by Rostekhnadzor once).

24.7. Upon approval of the decision on the duplicate license refusal, the coordinating department shall give a notice within three days after the approval to a licensee. The written notice shall include a justified reason of the refusal.

24.8. Upon approval of the decision on the duplicate license issuance, within 5 days after the date of approval the coordinating department shall:

- fill a license form based on the license xerox copy to be kept in the coordinating department;
- stamp the filled license form as "duplicate";
- provide for signing of the duplicate license the head of a Rostekhnadzor body who issued the license;
- certify the duplicate license by the official stamp of a Rostekhnadzor body issued the license.

24.9. The coordinating department shall issue the duplicate license in due form to a licensee's representative, including the covering letter notifying the licensee about the issuance of the duplicate license upon presentation of a document confirming the licensee's representative right to acquire the duplicate license.

24.10. When the state function of licensing is fulfilled by Rostekhnadzor Headquarters, the coordinating department, upon the issuance of the duplicate license to a

licensee's representative, shall send a copy of the decision on the duplicate license issue (with the covering letter) to:

- a responsible department;
- a territorial body of Rostekhnadzor (at the applicants' place of registration according to Appendix 2 of this Regulation) arranging the state control over observance of the license validity conditions.

24.11. When the state functions of licensing is fulfilled by a territorial body of Rostekhnadzor, the copy of the decision on the duplicate license issuance shall be sent:

- by the coordinating department - to a responsible department;
- by the head of a territorial body (or authorized official) to a respectful structural division of a territorial body responsible for state control over observance of the license validity conditions.

24.12. Result of the administrative procedure for issuance of the duplicate license is the issuance of the duplicate license to a licensee including entry of duplicate license issue information into the database.

24.13. The flow diagram of the administrative procedure for the license duplicate issue is given in Appendix 19 to this Regulation.

#### **IV. Procedure and forms of control over state function**

25. Procedure for routine inspection of the state function and decision-making by state civil employees

25.1. The routine inspection to be arranged in the coordinating and responsible departments to check for observance of the administrative procedures, due dates of the administrative procedures, and reasonableness of the decisions made by subordinate state civil employees during the fulfillment of the state function on licensing the activities in the field of atomic energy use, shall be conducted by heads of respective departments.

25.2. The routine inspection in Rostekhnadzor Headquarters and territorial bodies to check the observance of the specified periods of the administrative procedures for fulfillment of the state function on licensing activities in the field of atomic energy use,



shall be conducted by respective coordinating departments. Therewith, the coordinating departments shall:

a) analyze the information submitted every week by a responsible department about the progress in implementing the state function on licensing activities in the field of atomic energy use;

b) generalize the information submitted by a responsible department about the progress of implementing the state function on licensing activities in the field of atomic energy use and inform every week at the routine meetings of the head of Rostekhnadzor or head of a territorial body;

c) update and place the information about the progress in consideration of the license applications every month on the official Internet sites.

25.3. The routine control over justification and eligibility of the license issuance (refusal) decision prepared by responsible department shall be carried out by the head of Rostekhnadzor and deputy heads of territorial bodies for approval of the decisions.

26. The procedure and period for scheduled and unscheduled inspections of completeness and quality of fulfillment of the state function

26.1. Scheduled inspections of completeness and quality of fulfillment of the state function on licensing the activities in the field of atomic energy use by territorial bodies shall be conducted in accordance with the comprehensive work plan of Rostekhnadzor approved every year, during the complex inspections of territorial bodies' activities with the interval no less than once every three years.

26.2. Scheduled inspections shall be conducted to establish:

a) conformity of implementation of these Regulations by territorial bodies;

b) reasonableness of the decision on license issuance (refusal), suspension and termination;

c) possibility for optimization of the administrative procedures, reduction of terms of the administrative procedures and administrative actions;

d) excessive administrative actions;

e) conformity of the job descriptions of the state civil employees involved in the fulfillment of the state function on licensing activities in the field of atomic energy use with these Regulations as regards the presence of respectful administrative actions;

f) sufficiency of the organizational and technical support for execution of this Regulation.

g) need for making changes in this Regulation.

26.3. Unscheduled inspections of completeness and quality of the fulfillment of the state function by territorial bodies shall be conducted upon the decision of the head of Rostekhnadzor, in cases:

complaints of fulfillment of the state function on licensing activities in the field of atomic energy use;

violations of the sequence and terms of the administrative procedures established by this Regulation, revealed during the scheduled inspection of a territorial body.

26.4. To examine the completeness and quality of fulfillment of the state function by a territorial body, the commission shall include representatives of coordinating and responsible departments of Rostekhnadzor Headquarters, as well as representatives of coordinating and responsible departments of other territorial bodies. Commission membership shall be approved by the Order of the Head of Rostekhnadzor.

26.5. The inspection shall be conducted by selective review of the documents (applications, inspection reports, expert review reports, decisions taken after the review of applications and justification documents, issued licenses) as regards the conformity of fulfillment of the state functions with the procedure and terms established in this Regulation.

26.6. Results of fulfillment of the state function shall be inspected as regards at least ten licenses issued during the inspected period.

Such licenses shall be selected by the commission, therewith:

a) the composition of the licenses selected for inspection shall include the licenses issued by a territorial body for the right to perform various types of activities in the field of atomic energy use;

b) when violations of administrative procedures during issue of licenses for performance of at least one type of activities in the field of atomic energy use, are revealed in the course of inspection, the licenses for such type of activity shall be additionally examined with the double scope;

c) in addition to completeness and quality of fulfillment of the state functions for issue of licenses, the commission shall check for eligibility and justification of the decision on license refusal, suspension and termination taken within an inspected period.

26.7. Inspection results are documented in a report. The report shall be made in an arbitrary form, in two copies. It shall include the following information:

a) elimination of drawbacks revealed during the previous inspection;

b) quantity of licenses for performance of the activities in the field of atomic energy use issued by a territorial office within a period inspected;

c) licenses, the procedure of issuance of which was inspected by the commission;

d) drawbacks and violations of the completion periods of administrative procedures established by this Regulation, including officials who made such violations;

e) eligibility and justification of the decision on license issuance (refusal);

f) conformity of the job descriptions of the state civil employees involved in the fulfillment of the state function on licensing activities in the field of atomic energy use with this Regulation, as regards the respective administrative actions;

g) sufficiency of the organizational and technical support for implementation of this Regulation.

h) commission's conclusions based on the inspection of completeness and quality of the fulfillment of the state function by a territorial body as regards issue of licenses in the field of atomic energy use;

i) measures offered by the commission for elimination of the revealed drawbacks, as well as offers (if any) for optimization of administrative procedures, reductions of the completion periods of administrative procedures and administrative actions and exception of excessive administrative actions.

26.8. The inspection report shall be signed by all the commission members. If individual members of the commission disagree with the conclusions given in the report, the special opinions of the specified members shall be enclosed to the report.

One copy of the report shall be handed in against receipt to the head (deputy head) of a territorial body, the second copy (with the office memo) shall be sent to the coordinating department of Rostekhnadzor Headquarters.

26.9. Results of the scheduled inspections of the completeness and quality of the fulfillment of the state function shall be generalized and systematized by the coordinating department of Rostekhnadzor Headquarters, which analyzes the practical application of these Regulations every three years and place the analysis results on the official web sites of Rostekhnadzor.

27. State civil employees involved in the fulfillment of the state functions shall not bear responsibility for ineligibility of their actions (inaction) as established by the legislation of the Russian Federation.

28. Organizations applied for a license for the performance of activities in the field of atomic energy use can control the fulfillment of the state function:

a) directly by phone to a respectful coordinating department; Telephone numbers of the coordinating department of Rostekhnadzor Headquarters and coordinating departments of territorial offices are given in Appendix 2 to these Regulations and shall be available on the web sites of the Headquarters and territorial bodies;

b) analyzing the information about the progress in consideration of the license applications, which is monthly updated and placed by coordinating departments on the official web sites.

28.1. When the particulars of violation of the administrative procedure periods established by these Regulations are revealed, and if an applicant disagrees with a taken decision, he/she has the right to complain against some actions (inactions) of the officials as well as against the decision taken during the fulfillment of the state function on licensing the activities in the field of atomic energy use by a pre-judicial or judicial process.

**V. Procedure for appeal of official's actions (inactions), decision taken during execution of the state function on licensing activities in the field of atomic energy use**

29. A licensee or an applicant is entitled to make a complaint against actions (inactions), as well as decision taken during the fulfillment of the state functions on licensing the activities in the field of atomic energy use by officials, as well as territorial bodies and structural division of Rostechnadzor.

30. The subject of pre-judicial appeal is the decisions, actions (inactions) of Rostechnadzor and its Territorial Bodies' officials, which have been taken (performed) during fulfillment of the state function on licensing the activities in the field of atomic energy use.

31. Reply to a complaint shall not be given subject to availability of the following circumstances:

- no name of an applicant or an organization, who lodged a complaint and postal address, whereto the reply should be sent, are available in the written request;
- foul and abusive language, threat to life, health and property of an official, as well as members of its family are contained in the complaint;
- words of the written request (complaint) is illegible;
- written request (complaint) contains a question, to which written answers were given many times, in essence, due to previously sent written complaints, but the current complaint gives new cases or circumstances;
- answer to the written request (complaint) cannot be given without disclosure of the information classified as state secret or secret guarded according to the federal legislation.

32. The grounds for initiating the procedure for pre-judicial appeals are the violations made by officials of structural divisions of Rostechnadzor as regards the provisions of this Regulation, or impairment of anybody rights and restriction of liberty of an licensee or applicant as ensured by other legislative acts of the Russian Federation.

33. A licensee or an applicant has the right to acquire information about the terms and results of complaint consideration, as well as to obtain the document required for justification of the complaint.

34. A licensee or an applicant may lodge a written complaint through the pre-judicial process against:

- actions (inactions) of officials and/or structural divisions of a Rostekhnadzor territorial body - to the head of a Rostekhnadzor territorial body at the licensee's (applicant) registration place;

- actions of officials and/or structural divisions of a Rostekhnadzor Territorial body - to the address of the deputy head of Rostekhnadzor;

- actions of officials and/or structural divisions of Rostekhnadzor Headquarters divisions - to the address of the deputy head of Rostekhnadzor;

If a licensee (applicant) is not satisfied with the decision taken during consideration of the request, he/she may refer to Rostekhnadzor Headquarters for clarifications, to the address: 105066, Moscow, B-66, Luk'yanova Str., 4, Bldg. 8.

35. Complaint of a decision, action (inaction) of Rostekhnadzor officials shall be given in writing. In confirmation of the grounds, an applicant may enclose the case justifying documents to the complaint.

36. Submission of a complaint against action (inaction) of an official does not suspend the fulfillment of the state function on licensing the activities in the field of atomic energy use.

37. A complaint shall be considered during 15 calendar days after the date of registration.

38. The period of complaint consideration may be extended to no more than 30 calendar days in the following cases:

- if the head of a Rostekhnadzor body take a decision on the need for investigation, examination or survey; therewith, the complaint consideration period may be extended to no more than 30 calendar days, whereof a person who submitted the complaint should be duly notified in writing including the reasons of extension;

- need for obtaining additional documents from an applicant;
- suspension of the complaint consideration by mutual consent.

39. Consideration of complaint shall provide for the following administrative actions:

- receipt and registration of complaint;
- assignment of a responsible official;
- making decision on the possibility for complaint consideration;
- consideration of an applicant's complaint;
- making decision on a complaint;
- presentation of the decision on a complaint;
- transfer of the decision on a complaint;
- implementing measures based on the decision made;
- entry of information about the complaint related decision into a relevant information resource (log, database).

40. A complaint submitted by an applicant shall be recorded pursuant to the procedure established by Rostekhnadzor, no later than a working day after the day of receipt.

41. Decision related to a complaint shall be made by the head of a Rostekhnadzor respectful department or an authorized official, who assigns the persons responsible for consideration of the complaint.

Consideration of the complaint cannot be assigned to a person:

- a) who received a disputable decision;
- b) who made disputable actions (inactions);
- c) who is subordinated to an official, whose decisions, actions (inactions) are being appealed.

42. When considering complaint the following documents shall be taken into account:

- documents submitted by an applicant;

- documents and clarifications given by an official, whose decisions, actions (inactions) are being appealed;
- applicant's data stored in the information resources (register, logs, data banks);
- documents previously submitted by an applicant for the license for performance of the activities in the field of atomic energy use;
- results of investigations, inspections and examinations conducted by Rostekhnadzor.

43. If necessary, Rostekhnadzor may send a request to an applicant for additional documents.

44. Based on the complaint consideration results one of the following decisions shall be made:

a) It is recognized that the official's decision, action (inaction) meets the Regulations, and the complaint is dismissed;

b) it is recognized that the official's decision, action (inaction) does not meet the Regulations, and the decision on settlement of the complaint in whole or in part is made;

c) It is recognized that the official's decision, action (inaction) meets the Regulations, and the complaint is dismissed.

If criteria of making the disputable decision allow for ambiguous interpretation, a complaint-related decision shall be made in favor of a complainer.

Decision on the complaint shall be made in writing, signed by the head of Rostekhnadzor respectful body or an authorized official and be sent to a complainer by registered mail with notification of delivery or by personal service under receipt.

45. If a complaint is settled completely or partly, a Rostekhnadzor respectful body shall recognize an official's action (inaction) as ineligible and determine measures to be taken for elimination of the violations.

46. Actions for fulfillment of the decision taken by a respective Rostekhnadzor body on the settlement of the complaint shall be taken within 10 days after the complaint-related decision, if other period is not established in the decision.



47. When any signs of fault are revealed as regards failure to fulfill or improper fulfillment of obligations by Rostekhnadzor officials, measures established by the legislation of the Russian Federation shall be implemented.

48. If a licensee or an applicant is not satisfied with the results of pre-judicial appeal, he/she has the right to go to the arbitration court pursuant to the procedure established by the legislation of the Russian Federation.

**DELINEATION OF RESPONSIBILITIES BETWEEN ROSTECHNADZOR'S  
HEADQUARTERS AND ITS TERRITORIAL BODIES FOR EXECUTION OF  
THE STATE FUNCTION ON LICENSING THE ACTIVITIES IN THE FIELD OF  
ATOMIC ENERGY USE AND MAXIMAL TERMS FOR EXPERT REVIEW OF  
DOCUMENTS SUBMITTED FOR LICENSE APPLICATION.**

Abbreviations:

NF - Nuclear Facility

RS - Radioactive Source

SF - Storage Facility

NM - Nuclear Material

RS - Radioactive Substances

RW – Radioactive Waste

<b>Project category</b>	<b>Licensed types of activities with respect to facilities</b>	<b>Competence of Rostechнадзор headquarters</b>	<b>Competence of interregional territorial districts of Rostechнадзор</b>	<b>Maximum review time for the documents submitted for licensing</b>
Nuclear facility	Siting, construction, operation, decommissioning of:			
	- nuclear power plants (units of nuclear power plants);	Issuance of licenses for type of activities	-	12 months
	- structures and facilities with commercial nuclear reactors;			12 months

	- transport and vehicles with nuclear reactors;			10 months
	- structures and systems with experimental nuclear reactors including bench prototype marine nuclear reactors;			10 months
	- structures and systems with research nuclear reactors, critical nuclear benches;			10 months
	- structures and facilities with subcritical nuclear benches;	-	Issue of licenses for types of activities	6 months
	- structures, systems, installations with nuclear materials designed for fabrication, reprocessing, transportation of nuclear fuel and nuclear materials (including uranium ore mining, refining, sublimate production, metallurgical production, separation of uranium isotopes, radiochemical treatment of nuclear fuel).	Issue of licenses for types of activities	-	12 months
	Construction, operation, decommissioning of:			
	- sea vessels and other water crafts with nuclear reactors;	Issue of licenses for types of activities	-	8 months

RS	Siting, construction, operation, decommissioning of:			
	- systems and plants containing radioactive substances located in the territory of a nuclear facility and not provided by the nuclear facility design.	Issue of licenses for type of activities	-	10 months
	- systems containing radioactive substances located beyond a nuclear facility.	-	Issue of licenses for types of activities	6 months
	Construction, operation, decommissioning of:			
	- plants, devices, equipment and items containing radioactive substances;	-	Issue of licenses for type of activities	4 months
	Operation and decommissioning of vessels and other floating crafts with nuclear material moved into category of radioactive sources.	-	Issue of licenses for types of activities	6 months
SF	Siting, construction, operation, decommissioning of:			

	- stationary facilities and structures designed for storage of nuclear materials an radioactive waste containing nuclear material;	Issue of licenses for type of activities	-	12 months
	- stationary facilities and structures of interregional scale designed for storage of radioactive substances and radioactive waste;			
	- stationary facilities and structures of regional scale designed for storage of radioactive substances and radioactive waste;	-	Issue of licenses for types of activities	10 months
	- stationary facilities and structures designed for radioactive waste disposal.	Issue of licenses for type of activities	-	12 months
NM	Nuclear material management, including uranium ores exploration and mining, production, use, processing, transport and storage of nuclear material.	Issue of licenses for type of activities	-	6 months
RW	Nuclear substance management, including uranium ores exploration and mining, production, use, processing, transport and storage of radioactive substance.	Issue of licenses for types of activities (for NPPs)	Issue of licenses for types of activities (except NPPs)	4 months

RW	Radioactive waste management during its storage, reprocessing, transportation and disposal;			
	- containing nuclear material;	Issue of licenses for type of activities	-	6 months
	- containing nuclear material;	Issue of licenses for types of activities (for NPP)	Issue of licenses for type of activities (except NPPs)	4 months
NF RS SF	Design and construction of nuclear facilities, radioactive sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities.	Issue of licenses for types of activities	-	4 months
NF RS SF	Design and production of equipment for nuclear facilities, radioactive sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities.	Issue of licenses for types of activities with due consideration of Notes 1-3 to this Table.		3 months
NM	Use of nuclear material in research and development (R&D).	Issue of licenses for type of activities	-	6 months

RW	Use of radioactive substances in research and development (R&D).	Issue of licenses for types of activities (for NPP)	Issue of licenses for types of activities (except NPP)	4 months
NF RS SF	Expert review of design, development and process documentation and documents substantiating nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities, management of nuclear material, radioactive substances and radioactive waste.	Issue of licenses for type of activities	-	4 months

Notes.

1. Issue of licenses for design and manufacture of fuel assemblies, fuel elements and transfer packing casks for nuclear material and radioactive waste containing nuclear materials, falls within the authority of Rostekhnadzor Headquarters.

2. Issue of licenses for design of facilities and systems, engineering of systems and equipment (products) for nuclear power plants to the companies - designers of the facilities and systems and chief designers of the systems and equipment, falls within the authority of Rostekhnadzor Headquarters.

JSC Diacont, St. Petersburg;

JSC ZIOMAR, Podolsk, the Moscow Region;

JSC Izhora Plants, Kolpino of the Leningrad Region;

JSC SverdNIICHIMMASH, Yekaterinburg;

JSC VNIIAES, Moscow;

JSC VNIKP, Moscow;  
JSC OPTIMA, Moscow;  
ALSTOM Atomenergomash LLC, Moscow;  
NTP INKOR LLC, Moscow;  
OKSAT NIKIET LLC, Moscow;  
FSUE Atomenergoproekt, Moscow;  
FSUE Nizhegorodsky Institute Atomenergoproekt, Nizhny Novgorod;  
FSUE NIKIET, Moscow;  
FSUE OKB Gydropress, Podolsk, the Moscow Region;  
FSUE OKBM, Nizhny Novgorod;  
FSUE St. Petersburg Institute Atomenergoproekt, St. Petersburg;

3. Issue of licenses for manufacture of equipment for nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities to manufacturers falls within the authority of Rostekhnadzor Headquarters.

JSC Diacont, St. Petersburg;  
JSC Atomenergo, DO JSC Kirovsky Zavod, St. Petersburg;  
JSC NPO Znamya Truda after I.I. Lapse, St. Petersburg  
JSC Energomash-Belgorod, Belgorod;  
JSC POZIT, twp. Pravda, the Moscow Region;  
JSC Izhora Plants, Kolpino of the Leningrad Region;  
JSC Corporation Splav, Veliky Novgorod;  
JSC Machine-Building Plant ZiO Podolsk, Podolsk, the Moscow Region;  
JSC Moscow Plant of Polymetals, Moscow;  
JSC NPO Saturn. Rybinsk, the Yaroslav Region  
JSC Chekhov power engineering machine-building plant, Chekhov, the Moscow Region;  
JSC SverdNIICHIMMASH, Yekaterinburg;  
JSC Nizhegorodsky machine-building plant, Nizhny Novgorod;



ALSTOM Atomenergomash LLC, Moscow;

FSUE OKB Gydropress, Podolsk, the Moscow Region;

FSUE OKBM, Nizhny Novgorod;

FSUE EZAN, Chernogolovka, the Moscow Region.

4. Licenses for types of activities mentioned in the Appendix to the Provisions for licensing the activities in the field of atomic energy use as regards the performance of work and services to operating organization, shall be issued by respectful territorial offices of Rostekhnadzor.

5. Delineation of responsibilities between Rostekhnadzor Headquarters and territorial bodies for execution of the state functions on licensing the activities in the field of atomic energy use can be amended according to the Rostekhnadzor Order; therewith, consideration of the license application documents sent by a legal entity to a respective territorial body of Rostekhnadzor shall be completed as appropriate, before changes of the specified responsibilities (authorities).

6. Licenses for activities related to management of radioactive waste during storage, treatment, transport and disposal, as applied to stationary facilities and structures of the interregional scale, which are designed for radioactive substance and radioactive waste storage shall be issued by Rostekhnadzor Headquarters.

**LIST OF ENTITIES OF THE RUSSIAN FEDERATION, WHERE THE  
ROSTECHNADZOR TERRITORIAL BODIES PERFORM THE STATE  
FUNCTION ON LICENSING THE ACTIVITIES IN THE FIELD OF ATOMIC  
ENERGY USE**

<b>Name of Rostechnadzor territorial body</b>	<b>Details of Rostechnadzor territorial body</b>	<b>Entities of the Russian Federation, where the Rostechnadzor Territorial Bodies perform the state function on licensing the activities in the field of atomic energy use</b>
Volga interregional territorial department for supervision over nuclear and radiation safety	<p>Address: 413864, Balakovo-24, Saratov Region, P/O Box 19, Ul. 30 let Pobedy, 57.</p> <p>Working hours (local time): Monday - Thursday 8.00 - 17.45</p> <p>Break: 12.00 - 12.45</p> <p>Friday 8.00 - 16.00</p> <p>Fax: (8453) 33-75-84.</p> <p>E-mail: volga@vgan.ru.</p> <p>Coordinating Department, Telephone: (8453) 37-50-91.</p>	<p>the Republic of Bashkortostan, the Republic of Marij El, the Republic of Mordovia, the Republic of Tatarstan, the Udmurt Republic, the Chuvashi Republic,</p> <p>the Nizhni Novgorod Region (except lega; entities performing the activities in the territory of ZATO, Sarov town), the Kirov Region, the Orenburg Region, the Penza Region, the Perm Territory, the Samara Region, the Saratov Region, the Ulyanovsk Region, the Tver Region (only as regards legal entities performing the activities within the Kalinin NPP)</p>

<p>Far Eastern interregional territorial department for supervision over nuclear and radiation safety</p>	<p>Address: 680000, Khabarovsk, Ul. Kim Yu. Chena, 45  Working hours (local time):  Monday – Friday  8.30 - 17.15,  Break:  12.00 - 12.45  Fax: (4212) 21-02-55.  Official web-site:  www.atomnadzor-dv.ru,  E-mail:  dvo@3atom34.khv.ru  Coordinating Department,  Telephone:  (4212) 21-03-51.</p>	<p>the Republic of Sakha (Yakutia), the Primorye Territory, the Khabarovsk Territory, the Amur Region, the Kamchatka Region, the Magadan Region, the Sakhalin Region, the Jewish Autonomous Region, the Chukotka Autonomous District (except legal entities performing the activities in the territory of the Bilibino NPP)</p>
<p>Don Interregional Territorial Department for supervision of nuclear and radiation safety</p>	<p>Address: 396072, Novovoronezh, the Voronezh Region, Ul. Yuzhnoye shosse, 1  Working hours (local time):  Monday - Friday  8.00 - 16.30,  Break 12.00 - 12.30  Fax: (47364) 2-07-57.  Official web-site:  www.atomug.ru  E-mail:</p>	<p>the Republic of Adygeya, the Republic of Daghestan, the Republic of Kalmykia, the Republic of North Ossetia-Alania, the Republic of Ingushetia, the Kabardino-Balkarian Republic, the Karachayevo-Cherkessian Republic, the Chechen Republic, the Krasnodar Territory, the Stavropol Territory, the Astrakhan Region, the Volgograd Region, the Voronezh Region, the Rostov Region, the Murmansk</p>

	<p>postmaster@gosatom.vrm.ru.  Coordinating Department,  Telephone:  (47364) 2-98-26.</p>	<p>Region (only in relation to legal entities performing the activities in the territory of the Kola NPP)</p>
<p>North European interregional territorial department for supervision over nuclear and radiation safety</p>	<p>Address: 197101, St. Petersburg, Ul. Malaya Monetnaya, 2a  Working hours (local time):  Monday - Thursday 8.30 - 17.15,  Friday: 8.30 - 16.00  Break:  12.00 - 12.45  Fax: (812) 346-03-51  E-mail:  seogan@infopro.spb.su.  Coordinating Department,  Telephone:  (812) 234-69-94.</p>	<p>the Republic of Karelia, the Komi Republic, the Arkhangelsk Region, the Vologda Region, the Kaliningrad Region, the Kursk Region (only in relation to legal entities performing the activities in the territory of the Kursk NPP), the Leningrad Region, the Murmansk Region (except legal entities performing the activities in the territory of the Kola NPP), the Novgorod Region, the Pskov Region, the Smolensk Region (only in relation to legal entities performing the activities in the territory of the Smolensk NPP), St. Petersburg, the Nenets Autonomous District</p>
<p>Siberian interregional territorial department for supervision over nuclear and radiation safety</p>	<p>Address: 630075, Novosibirsk, Ul. B. Khmel'nitskogo, 2  Working hours (local time):  Monday - Friday 8.00 - 17.30  Break: 12.00 - 12.45</p>	<p>the Republic of Altai, the Republic of Buryatia, the Republic of Tuva, the Republic of Khakassia, the Altai Territory, the Krasnoyarsk Territory, the Irkutsk Region, the Kemerovo Region, the Novosibirsk Region, the Omsk Region, the Tomsk Region, the Chita Region, the Aginsk Buryat</p>

	<p>Fax: (3832) 76-00-61.</p> <p>Official web site: www.sibatomnadzor.ru</p> <p>E-mail: atomnd@online.sib.ru.</p> <p>Coordinating Department, Telephone: (383) 276-00-61</p>	<p>Autonomous District, the Ust-Ordyn Buryat Autonomous District</p>
<p>Ural interregional territorial department for supervision over nuclear and radiation safety</p>	<p>Address: 620062, Yekaterinburg, Pr. Lenina, 60-A. Working hours: (local time): Monday - Thursday 8.00 - 17.15 Friday: 8.00 - 16.00, Break: 12.00 - 13.00 Fax: (343) 262-32-66. E-mail: umto@uralgan.ru. Coordinating Department, Telephone: (343) 262-55-05.</p>	<p>the Sverdlovsk Region, the Kurgan Region, the Tyumen Region, the Chelyabinsk Region, the Khanty- Mansijsk Autonomous District - Yugra, the Yamalo-Nenets Autonomous District</p>
<p>Central interregional territorial department for supervision over nuclear and radiation</p>	<p>Address: 115409, Moscow Ul. Koshkina, 4 Working hours (local time): Monday - Thursday 9.00 - 18.00 Friday: 9.00 - 16.30</p>	<p>the Belgorod Region, the Bryansk Region, the Vladimir Region, the Ivanovo Region, the Kaluga Region, the Kostroma Region, the Kursk Region (except legal entities performing the activities in the territory of the Kursk NPP), the</p>

safety	Break: 12.00 - 12.45 Fax: (495) 324-30-95. Official web site: www.cmtto.hut2.ru E-mail: cmtoyrb@mail.ru. Coordinating Department, Telephone: (495) 324-74-24.	Lipetsk Region, Moscow, the Moscow Region, the Oryol Region, the Ryazan Region, the Smolensk Region (except legal entities performing the activities in the territory of the Smolensk NPP), the Tambov Region, the Tver Region (except legal entities performing the activities in the territory of the Kalinin NPP), the Tula Region, the Yaroslav Region, the Nizhni Novgorod Region (only in relation to legal entities performing the activities in territory of ZATO, Savor), the Chukotka Autonomous District (only in relation to legal entities performing the activities in the territory of the Bilibino NPP).
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Notes: 1. Legal persons registered in a respectful constituent entity of the Russian Federation shall file an application to a respectful territorial office for licenses to perform the activities the licensing of which relates to powers and authorities of territorial offices in accordance with delineation of responsibilities.

2. Licenses issued by a territorial office shall be valid over the whole territory of the Russian Federation, therewith prior to commencing the activities a licensee shall give a written notice thereof to a respectful territorial office, which exercises the state control over observance of the license validity conditions.

**Summarized information on the progress  
in consideration of license applications**

No.	Applicant, applied activity, licensed facility	Reg. No. of applicati on	Closing date of expert review, number and date of review report	Closing date of inspection, number and date of inspection report	Decision approval date, number and date of decision	License date

**REQUIREMENTS FOR COMPOSITION OF THE SET OF DOCUMENTS  
SUBSTANTIATING NUCLEAR AND RADIATION SAFETY OF NUCLEAR  
FACILITY, RADIATION SOURCE, STORAGE FACILITY AND/OR DECLARED  
ACTIVITY AS SPECIFIED BY THE FEDERAL ENVIRONMENTAL,  
INDUSTRIAL AND NUCLEAR SUPERVISION SERVICE ACCORDING TO  
PARA. 11"G" OF THE LICENSING PROVISION FOR ACTIVITIES IN THE  
FIELD OF ATOMIC ENERGY USE**

1. Requirements for the set of documents substantiating nuclear and radiation safety of nuclear facility, radiation source, storage facility of nuclear materials, radioactive waste storage (for NPP Unit)

Requirements for the set of documents substantiating nuclear and radiation safety for siting of nuclear facility, radiation source, storage facility of nuclear materials, radioactive waste storage (for NPP Unit)

Feasibility report materials related to project site analysis

Safety analysis report (within the scope containing all the substantiations of the selected site required by the applicable regulatory documentation, including safety-related aspects, general description of a nuclear facility and its safety for the environment and public, as well as preliminary safety and physical protection analysis report made in accordance with the applicable regulatory documents <\*>.

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<\*> Safety analysis report on nuclear material storage facilities (nuclear fuel storage), radioactive waste storage facilities, and radiation sources shall be drawn up according to applicable requirements for the composition of safety analysis reports related to NPP with relevant types of reactors.

General quality assurance program.



Quality assurance program for project siting.

Requirements for the composition of the set of documents substantiating nuclear and radiation safety for construction of nuclear facility (NPP unit).

Preliminary safety analysis report (NPP PSAR).

General quality assurance program QAP (G)

Quality assurance program for construction QAP(C) <\*>

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<\*> QAP (C) may be submitted after the application for NPP construction license, and an Applicant shall indicate the submission date of the QAP(C).

Design documents (including designs of reactor facility, safety important systems, as well as physical protection), reports on research and development and testing reports, which NPP PSAR refers to <\*>.

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<\*> To be submitted upon the Rostechnadzor's request after the application for NPP Unit construction license.

Probabilistic safety analysis of the NPP Unit first level.

Requirements for the composition of the set of documents substantiating nuclear and radiation safety for construction of nuclear facility (NPP Unit developed according to the basic design of NPP Unit).

NPP PSAR <\*>.

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<\*> NPP PSAR shall include the NPP Unit safety analysis within the scope of unalterable part of the NPP PSAR developed pursuant to the basic design, and safety analysis of the NPP Unit considering specifics of a particular site.

As an unalterable part of the NPP PSAR it is necessary to use sections of the NPP PSAR developed in terms of the basic design, according to which the decision has been made and executed pursuant to a respective Rostekhnadzor Order.

QAP (G)

QAP (C) <\*>

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<\*> QAP (C) may be submitted after the application for NPP construction license, and an Applicant shall indicate the submission date of the QAP(C).

Design documents (designs of reactor facility, safety important systems, as well as physical protection), reports on research and development and testing reports, which NPP PSAR refers to <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for NPP Unit construction license.

PSA of the NPP Unit first level

Requirements for composition of the set of documents substantiating nuclear and radiation safety for construction of nuclear facility (NPP Unit the construction of which has not been completed by the implementation of this Regulation).

NPP PSAR.

PSA of the NPP Unit first level

QAP (G)

QAP (C) <\*>

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<\*> QAP (C) may be submitted after the application for NPP construction license, and an Applicant shall indicate the submission date of the QAP(C).

Operating organization's conclusions on the surveys of structural units, installed equipment and pipelines, performed mounting work, as well as information about the organizations involved in the surveys of this equipment.

Operating organization's conclusion on the equipment condition of the safety systems and safety important systems stored by the operating organization, as well as information about organizations involved in the survey of this equipment.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Summary results of the ground water level measurements (over the whole period of observations up to the time of the application inclusive).

Analysis of the conformity of the mounted and stored equipment, instruments and other items with requirements of the applicable safety regulatory documents <\*>.

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<\*> Requirements of this item refer to equipment, instruments and other products of the safety important systems.

Certificate for conformity of the physical protection engineered features with the design documentation.

Requirements for the set of documents substantiating nuclear and radiation safety during construction of the nuclear material storage facility (nuclear fuel storage facility).

Nuclear fuel safety analysis report.

General quality assurance program QAP (G).

Quality assurance program for construction of nuclear fuel storage facility - QAP (C) <\*>.

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<\*> QAP (C) may be submitted after the application for project construction license, and an Applicant shall indicate the submission date of the QAP(C).

Design documents (including the designs of the safety important systems), reports on the research and development, and testing reports, to which a reference is given in the nuclear and radiation safety analysis report on the nuclear fuel storage facility.

<\*> To be submitted upon the Rostekhnadzor's request after the application for project construction license.

Requirements for the set of documents substantiating the radiation safety for construction of the radioactive waste storage facility.

Safety analysis report on the radioactive waste storage facility.

General quality assurance program QAP (G).

Quality assurance program for construction of the radioactive waste storage facility - QAP (C) <\*>.

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<\*> QAP (C) may be submitted after the application for radioactive waste storage facility construction license, and an Applicant shall indicate the submission date of the QAP(C).

Design documents (including the designs of the safety important systems, as well as physical protection), reports on the research and development, to which a reference is given in the Safety analysis report of the radioactive waste storage facility <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the radioactive waste storage facility construction license.

Requirements for the set of documents substantiating the radiation safety for construction of the radiation source.

Safety analysis report on the radiation source.

General quality assurance program QAP (G).

Quality assurance program for construction of the radiation source - QAP (C) <\*>.

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<\*> QAP (C) may be submitted after the application for radiation source construction license, and an Applicant shall indicate the submission date of the QAP(C).

Design documents (including the designs of the safety important systems, as well as physical protection), reports on the research and development, to which a reference is given in the Safety analysis report of the radiation source <\*>.

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<\*> To be submitted upon the Rostechnadzor's request after the application for radiation source construction license.

Requirements for the set of documents substantiating nuclear and radiation safety for nuclear facility operation (as regards the NPP Unit to be commissioned after the construction).

Final safety analysis report (preliminary revision) on the NPP power unit.

Reports on the physical and power start-ups and trial operation of the NPP power unit.

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<\*> The documents may be submitted upon the Rostechnadzor's request after the application for NPP Unit operation license. The application shall include the submission dates including a period required for consideration of the documents by Rostechnadzor.

Final safety analysis report (final revision) for NPP Unit revised considering results of the physical and power start-up and trial operation <\*>.

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<\*> The documents may be submitted upon the Rostechnadzor's request after the application for NPP Unit operation license. The application shall include the submission dates including a period required for consideration of the documents by Rostechnadzor.

Quality Assurance Program for operation - QAP(O).

Process regulations for NPP Unit operation.

PSA Level 1 for the NPP Unit revised with due consideration of the commissioning results <\*>.

<\*> The documents may be submitted upon the Rostekhnadzor's request after the application for NPP Unit operation license. The application shall include the submission dates including a period required for consideration of the documents by Rostekhnadzor.

Technical passport for reactor plant of the NPP Unit.

NPP Unit emergency response instructions.

Beyond design basis accident management manual for the NPP power unit.

Action plan for personnel protection in case of NPP accidents.

Information on recruitment, training, skill maintaining of NPP Unit personnel and granting them permits for independent work.

Information note about the fulfillment of the license validity conditions related to NPP Unit construction.

Quality Assurance Program for NPP commissioning (QAP(CM)).

Instructions, programs and schedules for maintenance, repairs, testing and inspection of the safety important systems <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for NPP Unit construction license.

NPP Unit commissioning program

Pre-commissioning program.

NPP power unit physical start up program.

Procedure for experiments during physical start up.

NPP Unit physical start up program.

NPP Unit trial operation program.

Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling;

Measures compensating for deviations from the requirements of codes and regulations in the field of atomic energy use.

Program of elimination of the deviations from requirements of the codes and regulations in the field of atomic energy use.

Accounting and control information notes (according to It. 12 and 14 of this Appendix).

Physical protection information note (according to It. 13 of this Appendix).

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Operational regulations for radioactive waste management systems <\*>.

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<\*> To be submitted upon the Rostechndzor's request after the application for NPP Unit operation license.

Requirements for the set of documents substantiating nuclear and radiation safety during operation of the nuclear material storage facility (nuclear fuel storage facilities to be put into operation after the construction).

Nuclear fuel storage safety analysis report.

Quality Assurance Program for operation of the nuclear fuel storage facility.

Information on recruitment, training, skill maintaining of storage facility personnel and granting them permits for independent work.

Information note about the fulfillment of the license validity conditions related to the nuclear fuel storage facility.

Emergency response instruction for the nuclear fuel storage facility.

Beyond-design-basis accident management manual for nuclear fuel storage facility.

Action plan for personnel protection in case of NPP accidents.

Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling;

Accounting and control information notes (according to It. 12 and 14 of this Appendix).

Physical protection information note (according to It. 13 of this Appendix).

Nuclear fuel storage facility commissioning program.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Process Regulations for nuclear fuel storage facility.

Requirements for the set of documents substantiating the radiation safety during operation of the radioactive waste storage facility (commissioned after the construction).

Safety analysis report on the radioactive waste storage facility.

Quality Assurance Program for operation of radioactive waste storage facility.

Information on recruitment, training, skill maintaining of radioactive waste storage facility personnel and granting them permits for independent work.

Information note about the fulfillment of the license validity conditions related to the radioactive waste storage facility.

Accounting and control information note (according to It. 14 of this Appendix).

Operating instruction for the main process systems of the radioactive waste storage facility <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the radioactive waste storage facility operation license.

Emergency response instruction for the radioactive waste storage facility.

Beyond-design-basis accident management manual for radioactive waste storage facility.

Action plan for personnel protection in case of NPP accidents.



Physical protection information note (according to It. 15 of this Appendix).

Storage facility commissioning program.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Process Regulations for radioactive waste storage facility.

Requirements for the documents substantiating the radiation safety during operation of the radiation source (commissioned after the construction).

Safety analysis report on the radiation source.

Detailed design documents of radiation source <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the radiation source operation license.

Radiation source operating manual.

Emergency response instruction for radiation source.

Beyond-the-design-basis accident management manual for radiation source.

Action plan for personnel protection in case of NPP accidents.

Accounting and control information note (according to It. 14 of this Appendix).

Information on recruitment, training, skill maintaining of radiation source personnel and granting the independent work permits to the personnel involved in the operation of the radiation source.

Information note about the fulfillment of the license validity conditions related to radiation source construction.

Physical protection information note (according to It. 15 of this Appendix).

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Requirements for the set of documents substantiating nuclear and radiation safety for operation of nuclear facility (NPP unit).

Final safety analysis report or equivalent documents (NPP Unit safety analysis report and Reactor plant safety analysis report, Report on the in-depth safety assessment).

Process Regulations for NPP Unit operation.

First-level PSA.

Technical passport for reactor plant of the NPP Unit.

NPP Unit emergency response instructions.

Beyond-design-basis accident management manual for the NPP power unit.

Action plan for personnel protection in case of NPP accidents.

Quality Assurance Program for NPP Unit operation.

Measures compensating for deviations from the requirements of codes and regulations in the field of atomic energy use.

Work program for elimination of the deviations from requirements of the codes and regulations in the field of atomic energy use.

Information on recruitment, training, skill maintaining of NPP Unit personnel and granting the independent work permits to them.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling.

Instructions, programs and schedules for maintenance, repairs, testing and inspection of the safety important systems <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for NPP Unit construction license.

Accounting and control information notes (according to It. 12 and 14 of this Appendix).

Physical protection information note (according to It. 13 of this Appendix).

Operation regulations for radioactive waste management systems <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the nuclear fuel storage facility operation license.

Program of the NPP Unit preparation for service life extension and information note on the work progress (to be submitted when applying for the operation license of the available NPP Unit within the extension period).

Report on the comprehensive examination of the NPP Unit (to be submitted when applying for the operation license of the available NPP Unit within the extension period).

Requirements for the set of documents substantiating nuclear and radiation safety during operation of nuclear material storage facility (operational nuclear fuel storage facility).

Nuclear fuel storage safety analysis report.

Emergency response instruction for the nuclear fuel storage facility.

Beyond-design-basis accident management manual for nuclear fuel storage facility.

Action plan for personnel protection in case of NPP accidents.

Measures compensating for deviations from requirements of the codes and regulations in the field of atomic energy use.

Work program for elimination of the deviations from requirements of the codes and regulations in the field of atomic energy use.

Operating instruction for the main process systems of the nuclear fuel storage facility <\*>.

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<\*> To be submitted upon the Rostechnadzor's request after the application for the nuclear fuel storage facility operation license.

Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling.

Quality assurance program for operation of nuclear fuel storage facility - QAP (O).

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Information on recruitment, training, skill maintaining of storage facility personnel and granting them permits for independent work.

Accounting and control information notes (according to It. 12 and 14 of this Appendix).

Information note on the physical protection (according to It. 13 of this Appendix).

Process Regulations for nuclear fuel storage facility.

Requirements for the set of documents substantiating the radiation safety for operation of the available radioactive waste storage facility.

Safety analysis report on the radioactive waste storage facility.

Emergency response instruction for the radioactive waste storage facility.

Beyond-design-basis accident management manual for radioactive waste storage facility.

Action plan for personnel protection in case of NPP accidents.

Measures compensating for deviations from requirements of the codes and regulations in the field of atomic energy use.

Work program for elimination of the deviations from requirements of the codes and regulations in the field of atomic energy use.

Operating instruction for the main process systems of the radioactive waste storage facility <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the radioactive waste operation license.

Quality Assurance Program for operation of radioactive waste storage facility.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Information on recruitment, training, skill maintaining of radioactive waste storage facility personnel and granting them permits for independent work.

Information note on the physical protection of the radioactive waste storage facility (according to It. 15 of this Appendix).

Information note on the accounting and control of radioactive substances and radioactive waste (according to It. 14 of this Appendix).

Process Regulations for radioactive waste storage facility.

Requirements for the set of documents substantiating the radiation safety for operation of the available radiation source.

Safety analysis report on the radiation source.

Detailed design of the radiation source <\*>.

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<\*> To be submitted upon the Rostekhnadzor's request after the application for the radiation source operation license.

Process Regulations for radiation source.

Emergency response instruction for radiation source.

Beyond-the-design-basis accident management manual for radiation source.

Action plan for personnel protection in case of NPP accidents.

Measures compensating for deviations from requirements of the codes and regulations in the field of atomic energy use.

Work program for elimination of the deviations from requirements of the codes and regulations in the field of atomic energy use.

Quality Assurance Program for radiation source operation.

Information note on the accounting and control of radioactive substances and radioactive waste (according to It. 14 of this Appendix).

Information on recruitment, training, skill maintaining of radiation source personnel and granting the independent work permits to the personnel involved in the operation of the radiation source.

Information note on the physical protection of the radiation source (according to It. 15 of this Appendix).

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Requirements for the composition of the set of documents substantiating nuclear and radiation safety for operation of nuclear facility (NPP Unit shut down for decommissioning).

Nuclear and radiation safety analysis report for NPP Unit shut down for decommissioning <\*>.

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<\*> A revised NPP safety analysis report may be submitted instead of the nuclear and radiation safety analysis report.

Process Regulations for NPP Unit operation.

NPP Unit emergency response instructions.

Quality assurance program for operation.

Action plan for personnel protection in case of NPP accidents.

Information on recruitment, training, skill maintaining of NPP Unit personnel and granting the independent work permits to them.

Operating Organization's Order for NPP Unit shutdown for decommissioning.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).

Information note on the accounting and control (according to It. 12 and 14 of this Appendix).

Information note on the physical protection of NPP Unit (according to It. 13 of this Appendix).

Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling.

Report on the comprehensive examination of the current condition of the shutdown unit at the time before the application for operation license.

Conclusion of the Operating Organization on the results of the comprehensive examination of the current condition of the shutdown unit at the time before the application for operation license.

Plan of remedial measures as regards the deficiencies revealed in the comprehensive examination of the actual condition of the Unit shut down.

Schedule of development of the NPP Unit decommissioning project and safety analysis report during NPP Unit decommissioning.

NPP Unit decommissioning program.

Process Regulations for radioactive waste management systems <\*>.

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<\*> The documents shall be submitted upon the Rostekhnadzor's request after the application for nuclear facility operation license (NPP Unit shut down for decommissioning).

Requirements for the set of documents substantiating nuclear and radiation safety for decommissioning of nuclear facility (NPP unit).

Safety analysis report on decommissioning of NPP Unit.

Report on the NPP Unit comprehensive examination.

NPP Unit decommissioning program.

Program and schedule for NPP Unit equipment and system dismantling activities.

Quality Assurance Program for decommissioning - QAP(DC).

NPP Unit emergency response instructions during decommissioning activities.

Action plan for personnel protection in case of NPP accidents.

Operating instructions for equipment and systems considering the equipment and system dismantling stages according to the dismantling program.

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<\*> The documents shall be submitted upon the Rostekhnadzor's request after the application for NPP Unit decommissioning license.

Information note on the accounting and control of radioactive waste formed during NPP Unit decommissioning (according to It. 14 of this Appendix).

Information note on the physical protection during NPP Unit decommissioning (according to It. 15 of this Appendix).

A document confirming the absence of nuclear material at the NPP Unit, including the time of nuclear material removal.

NPP Unit decommissioning project.

Results of the observations over buildings and structures related to the first and secondary categories by their safety impact during the whole period of observation (subsidence, tilts, etc.).



Process Regulations for radioactive waste management systems <\*>.

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<\*> Safety analysis report on nuclear material storage facilities (nuclear fuel storage), radioactive waste storage facilities, and radiation sources shall be drawn up according to applicable requirements for the composition of safety analysis reports related to NPP with relevant types of reactors.

Information on recruitment, training, skill maintaining of NPP Unit personnel and granting the independent work permits to them.

Requirements for the set of documents substantiating nuclear and radiation safety for nuclear material management during their transport and storage.

Safety analysis for nuclear material management during their transport and storage.

Quality assurance program for transport and storage of nuclear material.

Statements of acceptance of transfer packing casks, transport vehicles and nuclear material storage facilities.

Information on recruitment, training, skill maintaining of the personnel and granting the independent work permits to the employees involved in nuclear material management. Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling.

Emergency response instructions for transport and storage of nuclear materials.

Beyond-design-basis accident management manual related to transport and storage of nuclear materials.

Plan of measures for personnel protection at the NPP.

Operating instruction for transfer packing casks, transport vehicles and storage facilities designed for transport and storage of nuclear material <\*>.

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<\*> The documents shall be submitted upon the Rostekhnadzor's request after the license application for the nuclear material management during transport and storage.

Information note on the accounting and control of nuclear material in the storage facility (according to It. 12 of this Appendix).

Information note on the physical protection (according to It. 13 of this Appendix) as regards management of nuclear materials during their transport and storage.

Information note on the accounting and control of radioactive substances and radioactive waste, if any (according to It. 14 of this Appendix).

Requirements for the set of documents substantiating radiation safety for management of radioactive waste during their storage, treatment and transport.

Safety analysis report on radioactive waste management during storage, treatment and transportation.

Quality assurance programs for radioactive waste management during storage, treatment and transportation.

Information on recruitment, training, skill maintaining of the personnel and granting the independent work permits to the employees involved in radioactive waste management.

Emergency response instructions for storage, treatment and transport of radioactive waste.

Action plan for personnel protection in case of NPP accidents.

Information note on the accounting and control (according to It. 14 of this Appendix) as regards management of nuclear materials during the storage, treatment and transport.

Information note on the physical protection (according to It. 15 of this Appendix).

Process Regulations for radioactive waste management during storage, treatment and transportation.

Requirements for the set of documents substantiating radiation safety for management of radioactive waste during generation, treatment, transport and storage.

Safety analysis report on the radioactive substance management during generation, treatment, transport and storage.

Quality Assurance Program for NPP operation.

Information on recruitment, training, skill maintaining of the personnel and granting the independent work permits to the employees involved in radioactive substance management.

Emergency response instructions for the radioactive substance management during generation, treatment, transport and storage.

Action plan for personnel protection in case of NPP accidents.

Accounting and control information note (according to It. 14 of this Appendix).

Information note on the physical protection (according to It. 15 of this Appendix).

Requirements to the set of the documents for obtaining a license for the use of nuclear materials and radioactive substances in the R&D on the nuclear facility (NPP Unit).

Documents containing the description of the proposed research and development activities (R&D) including the location (NPP Unit, nuclear material storage facility (nuclear fuel storage facility), shielded cell, radioactive waste storage facility, etc.) and the reasons for the R&D being specified.

Nuclear and radiation safety analysis in the R&D made in compliance with the applicable regulatory requirements.

Set of documents on the modifications of the design, process and operating documentation for the use of nuclear materials and radioactive substances in the R&D at the NPP.

2. Requirements for the set of documents substantiating nuclear and radiation safety of nuclear research facility (research nuclear reactor, critical and subcritical nuclear stand).

Requirements for the set of documents substantiating nuclear and radiation safety for nuclear facility siting (research nuclear reactor, critical and subcritical nuclear stand).

Copies of the Resolutions of the Government of the Russian Federation for construction and site of the nuclear research facility (NRF) (according to Clause 28 of the Federal Law "On atomic energy use").

Investment justification.

NRF preliminary safety analysis report containing all the site safety analyses required by the regulatory documents, including the description of safety-related aspects, conceptual description of the nuclear research facility and its safety for the environment and public, as well as preliminary safety analysis.

General quality assurance program.

Quality Assurance Program for NRF siting.

List of organizations involved in the activities and services to be performed for the operating organization, including the scope of activities (services) and availability of relevant licenses.

Results of the NRF site radiation examination.

Requirements for the set of documents substantiating nuclear and radiation safety for construction of nuclear research facility (nuclear research reactor, critical and subcritical nuclear stand).

Copies of the Resolutions of the Government of the Russian Federation for construction and site of the nuclear research facility (NRF) (according to Clause 28 of the Federal Law "On atomic energy use").

Feasibility report on NRF siting.

NRF interim safety analysis report.

Design documents (including designs of the safety important systems), reports on the research and development, and testing reports, to which references are given in the

interim safety analysis report (the scope of information to be submitted is agreed with Rostechnadzor).

Information note on the conformity of the NRF project with requirements of the regulatory documents as regards physical protection of the NRF, nuclear material, radioactive substances, and radioactive waste.

General quality assurance program.

Quality Assurance Program for NRF construction.

List of design and development documents developed for the NRF construction.

Information note on the construction and pre-commissioning activities to be arranged during NRF construction.

Information note on the NRF equipment and pipeline metal control during NRF construction (only for nuclear research reactors).

Information note on the examination of the civil structure conditions, metal control of the installed equipment and pipelines, as well as conditions of equipment being stored (at the construction stage only for nuclear research reactors).

List of organizations involved in the activities and services to be performed during NRF construction, including the scope of activities (services) and availability of relevant licenses.

Requirements for the set of documents substantiating nuclear and radiation safety for operation of nuclear research facility (nuclear research reactor, critical and subcritical nuclear stand).

Copy of the NRF acceptance statement.

Safety analysis report related to NRF operation.

General quality assurance program.

Quality assurance program for NRF operation.

Technical passport for nuclear research facility.

Experimental work program.

List of experimental devices and their characteristics.

Information note on nuclear material use.

List of documents, including instructions, internal organizational and administrative documents, and other documents of the operating organization and documents of other organizations, the validity terms of which cover the NRF and shall be mandatory.

NRF Process Regulations (only for nuclear research reactors).

NRF operating instruction/manual.

List of nuclear and radiation hazardous activities and organizational and technical measures for safety assurance.

Information note on the availability of the certificates for technical equipment used at the NRF and to be certified.

Information note on the arrangement of technical examination and tests of safety important systems and components of the NRF (including vessels, pipelines, special cranes, etc.).

Information note on the NRF deviations from requirements of the regulatory documents, measures for removal of the deviations, and compensatory measures.

Information note on the arrangement of NRF failure recording and investigation.

Document related to conditions of the NRF civil structures and constructions (statement of the last inspection before the application).

Information notes on accounting and control of nuclear materials, radioactive substances and radioactive waste (according to Sections 12 and 14 of this Appendix).

Information notes on the arrangement of physical protection of NRF, nuclear materials, radioactive substances and radioactive waste (according to Sections 13 and 15 of this Appendix).

Information note on the staffing level, structure and skills, training and refresher training of NRF personnel, availability of the permits issued by Rostekhnadzor to NRF employees for the right to perform activities in the field of atomic energy use.

Documents identifying the safety liabilities and limits of responsibilities of:

- managerial personnel;
- personnel involved in the NRF processes.

Instructions for personnel actions in case of accident at NRF.

Action plan for personnel protection in case of accident at NRF.

Annual report on the assessment of the current condition of nuclear and radiation safety during operation of the NRF (the report before the license application).

List of organizations performing activities and services for an Applicant during NRF operation, including the scope of activities (services) and availability of relevant licenses.

Information note on the structure and composition of the nuclear and radiation safety services.

Information note on the radiation hazard category of the operating organization site.

Statement of the registration of equipment and pipelines.

Information note on the arrangement of works for service life extension of the NRF systems and components according to requirements of the regulatory documents (data on the NRF systems and components important to safety, including the specified service life).

Requirements for the set of documents substantiating nuclear and radiation safety for decommissioning of nuclear research facility (nuclear research reactor, critical and subcritical nuclear stand).

Copy of the NRF decommissioning Resolution issued by the federal executive body responsible for management of atomic energy use.

Potential program for NRF decommissioning.

Safety analysis report related to NRF decommissioning.

General quality assurance program.

Quality assurance program for NRF decommissioning.

Report on the comprehensive engineering and radiation examination of equipment and premises to be decommissioned.

Materials of the NRF decommissioning project (within the scope agreed with Rostekhnadzor).

List of design, development, operation and process documentation, including the instructions, internal organizational and administrative documents and other documents of the operating organization (including documents specially developed for NRF decommissioning) mandatory for use during the NRF decommissioning.

Action plan for personnel protection in case of accident at NRF.

Report on physical inventory of NRF equipment and premises to be decommissioned.

Information note on the staffing level, structure and skills, and availability of the permits issued by Rostechнадзор to NRF employees for the right to perform activities in the field of atomic energy use.

Document confirming the absence of nuclear materials at the NRF including the date of their removal.

Information note on the accounting and control of radioactive substances and radioactive waste (according to It. 14 of this Appendix).

Information note on the physical protection of radioactive substances and radioactive waste (according to It. 15 of this Appendix).

List of organizations performing activities and services for the operating organization during NRF decommissioning, including the scope of activities and services, and availability of relevant licenses.

Information on the service life extension of utility systems important to safety and being kept in operation during the NRF decommissioning, the service life of which exceeds the project life.

Annual report on the assessment of the safety condition during the NRF decommissioning (the last report before the license application).

3. Requirements for the set of documents substantiating nuclear and radiation safety for nuclear fuel cycle facility.

Requirements for the set of documents substantiating nuclear and radiation safety for siting of nuclear facilities, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities (nuclear fuel cycle facility).

Preliminary safety analysis report (within the scope containing all the substantiations of the selected site required by the applicable regulatory documentation, including safety-related aspects, general description of a nuclear facility and its safety for



the environment and public, as well as preliminary safety analysis and physical protection analysis report) made in accordance with the applicable regulatory documents <\*>.

Quality assurance program for project siting.

Requirements for the set of documents substantiating nuclear and radiation safety for construction of nuclear facilities, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities (nuclear fuel cycle facility).

3.2.1. Safety analysis report

3.2.2. Quality Assurance Program project construction

3.2.3. Design documents (including designs of safety important systems, as well as physical protection), reports on research and development and testing reports, to which a reference is given in the safety analysis report.

3.2.4 Statement of the project conformity with requirements of regulatory documents as regards the physical protection.

3.2.5 List of organizations performing the activities and services to an applicant with the indication of the scope of these activities (services).

3.2.6 For the plants, the construction of which is not completed, and the license validity has expired, the following documents shall be additionally submitted.

3.2.6.1. Operating organization's conclusions on the surveys of structural units, installed equipment and pipelines, performed mounting work, as well as information about the organizations involved in the surveys of this equipment.

3.2.6.2. Operating organization's conclusion on the equipment condition of the safety systems and safety important systems stored by the operating organization, as well as information about organizations involved in the survey of this equipment.

3.2.6.3. Summary results of the ground water level measurements (over the whole period of observations up to the time of the application inclusive).

3.2.6.4. Analysis of the conformity of the mounted and stored equipment, instruments and other items important to safety with requirements of the applicable safety regulatory documents.

Requirements for the set of documents substantiating nuclear and radiation safety during operation of the nuclear material storage facility (nuclear fuel storage facility), radioactive waste storage facility (fuel cycle facility).

3.3.1. Safety analysis report (SAR).

3.3.2. Quality Assurance Program for storage facility operation.

3.3.3. Information on recruitment, training, skill maintaining of the storage facility personnel and granting permits to them for independent work.

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<\*> If a relevant section is available in the SAR, the documents shall be submitted upon the Rostekhnadzor's request after the license application.

3.3.4. Information note of the fulfillment of the license validity conditions related to storage facility construction (as regards the storage facilities to be commissioned after the construction).

3.3.5. Emergency response instruction for storage facilities.

3.3.6. Beyond design basis accident management manual for storage facilities.

3.3.7. Action plan for personnel protection in case of accidents on the site.

3.3.8. Instruction for nuclear safety assurance during nuclear fuel storage, transportation and refueling.

3.3.9. Information note on the accounting and control (according to It. 12 and 14 of this Appendix) as regards nuclear material and/or radioactive waste.

3.3.10. Information note on the physical protection (according to It. 13 and 15 of this Appendix) as regards nuclear material storage facility and/or radioactive waste storage facility.

3.3.11. Program for storage facility commissioning (for storage facilities to be commissioned after the construction).

3.3.12. Measures compensating for deviations from the requirements of codes and regulations in the field of atomic energy use (as regards the existing storage facilities).

3.3.13. Program of work for elimination of deviations from the requirements of codes and regulations in the field of atomic energy use (as regards the existing storage facilities).

3.3.14. Operating instruction for the main process systems of the nuclear fuel storage facility.

Requirements for the set of documents substantiating nuclear and radiation safety assurance during operation of constructions, plants, nuclear material facilities designed for generation, treatment, and transport of nuclear fuel and nuclear materials (including uranium ore mining, hydrometallurgical processing, refining, sublimate production, metallurgical production, separation of uranium isotopes, radiochemical reprocessing of nuclear fuel).

3.4.1. Safety analysis report

3.4.2. Report on the plant commissioning results (for the plants to be commissioned after the construction).

3.4.3. Detailed project (to be submitted within the scope duly agreed with Rostekhnadzor) <\*>

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<\*> If a relevant section is available in the SAR, the documents shall be submitted upon the Rostekhnadzor's request after the license application.

3.4.4. Emergency response instructions for the site.

3.4.5. Beyond-design-basis accident management manual.

3.4.6. Action plan for personnel protection in case of accidents on the site.

3.4.7. Information on recruitment, training, skill maintaining, granting the independent work permits to the plant employees and availability of the Rostekhnadzor's permits for performing the activities in the field of atomic energy use.

3.4.8. Quality assurance program for project commissioning (as regards the projects to be commissioned after the construction).

3.4.9. Quality Assurance Program for operation.

3.4.10. List of process regulations.

3.4.11. List of instructions, programs and schedules for maintenance, repairs, testing and inspection of the systems important to safety.

3.4.12. Commissioning program (for projects to be commissioned after the construction).

3.4.13. Pre-commissioning program (for projects to be commissioned after the construction).

3.4.14. Trial commercial operation program (for projects to be commissioned after the construction).

3.4.15. Measures compensating for deviations from requirements of the nuclear and radiation safety codes and regulations.

3.4.16. Program of work for elimination of deviations from requirements of the nuclear and radiation safety codes and regulations.

3.4.17. Accounting and control information notes (according to It. 12 and 14 of this Appendix).

3.4.18. Nuclear facility physical protection information note (according to It. 12 of this Appendix).

3.4.19. Information on availability of the sanitary and epidemiological inspection report on conformity of the radioactive substance related working conditions on the plants with requirements of the sanitary regulations.

3.4.20. Information on availability of the document establishing the standards (limits - in respect to limit fixing) of permissible releases and discharges of radioactive substances.

3.4.21. Information about availability of the permits for releases and discharges of radioactive substances.

3.4.22. Plan for radioactive substance release and emission reduction.

3.4.23. List of organizations performing the activities and services to an applicant with the indication of the scope of these activities (services).

Requirements for the set of documents substantiating nuclear and radiation safety during operation of the industrial reactor.

3.5.1. Safety Analysis Report

3.5.2. General quality assurance program QAP (G).

3.5.3. Quality Assurance Program for operation (QAP(O));

3.5.4. Physical protection information note (according to It. 13 of this Appendix).

3.5.5. Accounting and control information notes (according to It. 12 and 14 of this Appendix).

3.5.6. List of organizations performing the activities and services, including the scope of such activities.

3.5.7. Reactor process regulations

3.5.8. Reactor plant passport.

3.5.9. Instruction (plan) for accidents elimination.

3.5.10. Beyond-design-basis accident management manual.

3.5.11. Action plan for personnel protection in case of reactor accidents.

3.5.12. Analysis of the reactor condition conformity with requirements of the applicable NPP safety codes and regulations.

3.5.13. Measures compensating for deviations from requirements of the nuclear and radiation safety codes and regulations.

3.5.14. Schedule of reactor technical re-equipping and modernization activities for the current period.

3.5.15. Information note on the modernizations performed over the past period.

3.5.16. Work program for elimination of deviations from requirements of the nuclear, radiation and technical safety codes and regulations.

3.5.17. Information note on the fulfillment of the work program over the past period as regards elimination of deviations from requirements of the nuclear, radiation and technical safety codes and regulations.

3.5.18. Information concerning the duly certification of the reactor personnel over the past period and availability of the Rostechndzor's permits.

3.5.19. Information note on the fulfillment of the license validity conditions related to the reactor operation over the past period.

3.5.20. Assessment of the basic indicators of the reactor safety conditions:

- reactor metalwork conditions in terms of strength and conservative forecast of the residual operation life;

- state and operation conditions of the graphite stack, including the value of curvature of the graphite stack columns, conservative forecast of its residual operation life (as regards uranium-graphite reactors);

- conditions of the primary circuit pipelines in terms of strength and conservative forecast of its residual operation life.

3.5.21. Instructions, programs and schedules for maintenance, repair, testing and inspection of the safety important systems.

3.5.22. List of nuclear safety assurance instructions during storage, transportation and refueling.

3.5.23. Information concerning availability of the sanitary and epidemiological inspection report on the conformity of the procedures, conditions and methods of collection, use, detoxification, transport, storage and disposal of radioactive waste with the sanitary regulations.

3.5.24. Information on availability of the document establishing the standards (limits - in respect to limit fixing) of permissible releases and discharges of radioactive substances.

3.5.25. Information about availability of the permits for releases and discharges of radioactive substances.

3.5.26. Plan for radioactive substance release and emission reduction.

Requirements for the set of documents substantiating nuclear and radiation safety for decommissioning of nuclear facilities, radiation sources, nuclear material and radioactive substances storage facilities, radioactive waste storage facilities (nuclear fuel cycle facilities).

Safety Analysis Report for project decommissioning.

Report on the NPP Unit comprehensive inspection.

Plant decommissioning program.

Program and schedule for plant equipment and system dismantling activities.

Quality assurance program for decommissioning - QAP(DC).

Instructions for emergency response during decommissioning activities.

Action plan for personnel protection in case of accidents on the site.

Operating instructions for equipment and systems considering the equipment and system dismantling stages according to the dismantling program <\*>.

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<\*> If a relevant section is available in the SAR, the documents shall be submitted upon the Rostekhnadzor's request after the license application.

Information note on the accounting and control (according to It. 14 of this Appendix).

Information note on the physical protection (according to It. 15 of this Appendix).

Document confirming the absence of nuclear material on the site, including the time of nuclear material removal (for nuclear facilities and nuclear material storage facilities).

Decommissioning project.

Requirements for the set of documents substantiating nuclear and radiation safety during management of nuclear materials and radioactive substances, including uranium ores exploration and mining, production, use, processing, and storage of nuclear material and radioactive substance.

Safety analysis report related to management of nuclear material and radioactive substances,

Quality assurance program for management of nuclear materials and radioactive substances - QAP (O).

Information on recruitment, training, skill maintaining and granting the independent work permits to the employees involved in the management of nuclear material and radioactive substances.

Instruction for nuclear safety assurance during nuclear material management.

Instructions for emergency response during nuclear material and radioactive substance management.

Beyond-design-basis accident management manual during nuclear material and radioactive substance management.

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<\*> If a relevant section is available in the SAR, the documents shall be submitted upon the Rostekhnadzor's request after the license application.

Plan of measures for personnel protection on the site.

Information notes on the accounting and control (according to It. 12 and 14 of this Appendix) as regards the management of nuclear material and/or radioactive substances.

Information note on the physical protection (according to It. 13 and/or 15 of this Appendix) as regards the management of nuclear material and/or radioactive substances.

The following documents shall be submitted for nuclear fuel (nuclear fuel, nuclear assembly) production.

List of nuclear fuel proposed by an applicant for production, where fuel name, type, purpose, and safety class are indicated.

List of documents establishing the requirements for nuclear fuel quality and reliability (federal codes and regulations, safety guide, governing documents of Rostekhnadzor, national standards, company standards, as well as applicant standards), the



requirements of which are to be observed in manufacturing nuclear fuel. Information about applicant's document availability and system of document recording and change.

Information about applicant's structural divisions involved in the nuclear fuel production activity, including information about availability of the Regulations on structural divisions and job descriptions.

Description of the available quality management system in the organization-applicant when performing the declared activity.

List of quality assurance programs for nuclear fuel manufacture. The programs shall be submitted upon Rostekhnadzor's request.

Information on the elaboration of the quality plans for nuclear fuel manufacture (as regards the organizations, which have had licenses before).

Information on the activities performed by the organization-applicant, which characterize its nuclear fuel manufacture experience.

Information on the procedure for recording, distribution, storage of design and process documentation, making changes and provision of workplaces with documentation.

Information on the procedure for elaboration, changes, recording, distribution, storage of process documentation for nuclear fuel manufacture and control, its implementation and availability at workplaces.

Information on the procedure for nuclear fuel launching into manufacture.

Information on the production metrological support.

Information on the applicant's provision with the process equipment, testing devices, appliances and tools, laboratory and measuring instruments.

Information on the supplier selection system, procurement conformity assessment, incoming inspection, identification, storage and launching of materials and component parts.

Information on the arrangement of non-destructive and destructive tests.

Information on the procedure for inspection of test equipment, test of nuclear fuel, interaction with foreign testing laboratories (if involved).

Information on the procedure for accounting and analysis of claims to nuclear fuel quality, the measures for elimination of revealed defects in manufacture and use, as well as measures for defect prevention in future.

Nomenclature of reporting and accounting documentation, procedure for presentation and storage.

Requirements for the set of documents substantiating nuclear and radiation safety for management of radioactive waste during their storage, treatment and disposal.

Safety analysis report on radioactive waste management during storage, treatment and disposal.

Quality assurance programs for radioactive waste management during storage, treatment and transportation.

Information on recruitment, training, skill maintaining and granting the independent work permits to the employees involved in radioactive waste management.

Instruction for emergency response during management of radioactive waste <\*>.

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<\*> If a relevant section is available in the SAR, the documents shall be submitted upon the Rostechнадзор's request after the license application.

Action plan for personnel protection in case of accidents on the site.

Information note on the accounting and control (according to It. 13 of this Appendix).

Information note on the physical protection (according to It. 15 of this Appendix).

Requirements for the set of documents substantiating nuclear and radiation safety in the use of nuclear material and/or radioactive substances during the research and development activities.

3.9.1. Documents containing the description of the proposed research and development (R&D) including the location (nuclear facility, nuclear material storage facility (nuclear fuel storage facility), shielded cell, radioactive waste storage facility, etc.) and the reasons for the work performance.

3.9.2. Safety Analysis Report for Research and Development

3.9.3. Set of documents on the amendments of the design, development, process, and operating documentation for the use of nuclear materials and radioactive substances in the R&D at the plant.

3.9.4. Instructions for emergency response during nuclear material and radioactive substance management.

3.9.5. Action plan for personnel protection in case of accidents on the site.

3.9.6. Information note on the accounting and control (according to It. 12 and 14 of this Appendix) as regards the use of nuclear material and/or radioactive substances.

3.9.7. Information note on the physical protection (according to It. 13 and 15 of this Appendix).

Requirements for the set of documents substantiating nuclear and radiation safety for management of nuclear material or radioactive substances or radioactive waste during their transport.

Safety analysis report

List of nuclear material, radioactive substances and radioactive waste to be transported.

List of documents for emergency response and prevention in the points of handling activities and in transport.

Quality assurance program.

Radiation protection program.

Information note on physical protection of nuclear material, radioactive substance, and radioactive waste, including:

Information on the conformity of the physical protection system with requirements of the legislation of the Russian Federation, Federal codes and regulations, industry-specific regulatory acts of physical protection (including their names);

Information on the vulnerability analysis, results of the assessment of the physical protection system efficiency (in transport of nuclear material);

Information on the security arrangement and measures for prevention of unauthorized actions in relation to the transport of nuclear material, radioactive substance and radioactive waste.

List of the documents regulating the transport of nuclear material radioactive substance and radioactive waste used by an applicant.

Personnel training programs (the document is not submitted for transport by air).

Information on the availability of the sanitary and epidemiological inspection report on special transport vehicles (the document is not submitted for transport by air).

Information on the availability of the sanitary and epidemiological inspection report on conformity of the procedure, conditions and methods of radioactive waste transportation with requirements of the sanitary regulations (the document is not submitted for transport by air).

For transport of nuclear material, radioactive substance and radioactive waste by air the following documents shall be also submitted:

Information note confirming the personnel training as regards transport of dangerous goods.

Information note confirming the possibility of maintenance and repair of air vessels.

Information on the availability of the air vessel certificate.

Information on the availability of the air vessel registration certificate.

Information on the accounting of nuclear material and/or radioactive substance and/or radioactive waste in transport.

4. Requirements for the set of documents substantiating nuclear and radiation safety of nuclear facilities - vessels and other water crafts, transport and transportable facilities with nuclear reactors; nuclear and process maintenance vessels designed for storage and

transport of nuclear materials, radiation sources - vessels with nuclear reactors transferred into the radiation source category; nuclear and process maintenance vessels designed for storage and transport of radioactive substances and radioactive waste, and storage facilities (onshore storage facilities) of nuclear material, radioactive substance, and radioactive waste.

Requirements for the set of documents substantiating nuclear and radiation safety during construction of nuclear facilities - vessels and other water crafts, transport and transportable facilities with nuclear reactors; nuclear and process maintenance vessels designed for storage and transport of nuclear materials, and radiation sources - nuclear and process maintenance vessels designed for storage and transport of radioactive substances and radioactive waste.

Safety analysis report on the declared activity at all the stages of construction and commissioning.

Description of the work package related to radioactive waste management at all the stages of construction and commissioning.

Description of the work package related to operation and storage of radiation sources used during the construction process.

Analysis of design accidents and beyond design basis accidents under the construction and commissioning conditions of the nuclear facility, and accident prevention measures.

Description of the structure and composition of the nuclear and radiation safety services.

Information note on the documents establishing general and special requirements for nuclear and radiation safety of productions (technologies) and products.

Description of recruitment, training, refresher training of an applicant personnel involved in the construction and commissioning of nuclear facility (radiation source) and nuclear radiation safety assurance, and granting them permits to independent work.

Information on the managerial personnel training, as well as training, structure, skills and certification of the personnel involved in the process, departmental control of nuclear and radiation safety, accounting and control of nuclear material and radioactive waste, and their physical protection.

Information on the permitted levels of releases and emissions of radionuclides into the environment.

Instruction for prevention from nuclear and radiation accident, fire and rectification of the consequences.

Information on the commissioning of nuclear material and radioactive waste storage facilities.

Information note on the certificates of equipment, items and technologies for nuclear facilities, radiation sources and storage facilities.

Information note on the organizations performing the activities and services during the construction and commissioning.

Information note on nuclear hazardous activities and organizational and technical measures for their performance.

Information note on the regulatory technical and administrative documentation for nuclear and radiation safety assurance during the activities to be performed at various construction stages, as well as safe management of nuclear material and radioactive waste.

Plan for rectification of the consequences of the nuclear and/or radiation accident, personnel and public protection in case of nuclear and radiation accident.

Instructions for nuclear and radiation safety assurance.

Information on the persons responsible for nuclear and radiation safety at the construction and commissioning stages.

Information note on the accounting and control of radioactive substances and radioactive waste (according to It. 12 and/or 14 of this Appendix).

Information note on the physical protection of nuclear material, nuclear facilities, and nuclear material storage facilities (radiation sources, radioactive waste storage facilities) (according to It. 13 and/or 15 of this Appendix).

Copies of the nuclear material control and accounting instructions in force in an Applicant's company.

Information note on the design, development, operating and process documentation for construction and commissioning.

Description of the comprehensive quality control system.

Description of the management system of the design, development, repair and operating documentation.

Information note on the structure of laboratories performing the quality analysis of the circuit coolant and high-pressure gas, as well as devices for assessment of the radiation environment at an applicant's facility and adjacent areas.

Requirements for the set of documents substantiating nuclear and radiation safety during operation of nuclear facilities - vessels and other water crafts, transport and transportable facilities with nuclear reactors; nuclear and process maintenance vessels designed for storage and transport of nuclear materials, radiation sources - vessels with nuclear reactors transferred into the radiation source category; nuclear and process maintenance vessels designed for storage and transport of radioactive substances and radioactive waste, and ground-based stands - prototypes with experimental transport nuclear reactors.

Safety analysis report.

List of nuclear and radiation hazardous facilities where and/or in relation to which the declared activity should be performed.

Description of the main technical solutions, systems and devices used for nuclear and radiation safety.

Description of the structure and composition of the nuclear and radiation safety services.

Information note on the documents establishing general and special requirements for nuclear and radiation safety assurance during operation, performance of activities and services.

Information on the managerial personnel training, as well as training, structure, skills and certification of the personnel involved in the process, departmental control of nuclear and radiation safety, accounting and control of nuclear material, radioactive substances and radioactive waste, and their physical protection.

Statement of the registration of nuclear facility equipment and pipelines.

Information on the permitted levels of releases and emissions of radionuclides into the environment.

Information note on the organizational and administrative documentation for nuclear and radiation safety assurance.

Instruction for prevention from nuclear and/or radiation accident, fire and rectification of the consequences.

Beyond-design-basis accident management manual (instruction) for operation of nuclear facility.

Information note on the organizations performing activities and services for operation of nuclear facilities and radiation sources, including type of activities (services) and information about the relevant licenses issued by Rostechнадзор.

Information note on the regulatory technical documentation and guidelines for arrangement and storage, accounting and control of nuclear materials, radioactive substances and radioactive waste.

Information note on the regulatory technical documentation and guidelines for arrangement and assurance of physical protection of nuclear facilities, radiation sources, nuclear materials, radioactive substances and radioactive waste.

Analysis of conformity of the nuclear facility and radiation source with requirements of the applicable regulatory technical documents related to nuclear and/or radiation safety and list of available deviations from requirements of the applicable regulatory technical documents.



Plan of measures compensating for deviations from requirements of the applicable nuclear and radiation safety regulatory technical documents, including the analysis of their need and sufficiency.

Information note on the results of the past technical examinations of nuclear facility equipment and pipelines.

Statement of nuclear facility, radiation source commissioning or its copy.

Information note on the nuclear and radiation hazardous activities and organizational and technical measures for their performance.

Information on the past physical inventory (over a reporting period) of nuclear material (if any).

Information note on the vessel classification and examination by the Federal government agency Russian Maritime Register of Shipping, which conducts activities pursuant to the Charter approved by the Order of the Federal Marine and River Transport Agency of the Ministry of Transport of the Russian Federation, No. 8 of 13.04.2005 (registered in the Ministry of Justice of the Russian Federation, No. 6574 of 05.05.2005).

Information note on the accounting and control of nuclear materials (if any).

Information note on the physical protection of nuclear materials, nuclear facilities and nuclear material storage facilities (if any).

Copies of the instruction for nuclear material (if any) control and accounting.

Analysis of conformity with requirements of the codes and regulations related to nuclear and radiation safety of nuclear fuel storage facilities.

Information note on the available conditions for storage and treatment of liquid and solid radioactive waste.

Plan for rectification of consequences of a nuclear and/or radiation accident, personnel and public protection.

Instructions for nuclear and radiation safety assurance.

Instruction for radioactive waste management.

Quality assurance program for operation.

Block diagram of the departments that conduct radiochemical, radiometric, and physico-chemical measurements, as well as description of the devices to control the radiation environment at workplaces and within the vessel premises, stand-prototype, and in the applicant's territory.

Description of an applicant personnel recruiting, training, retraining and granting work permits to the personnel involved in operation of nuclear facility or radiation source, and nuclear and radiation safety assurance.

List of employees responsible for nuclear and radiation safety during operation of a nuclear facility, for accounting and control of nuclear materials, radioactive substances, radioactive waste and radiation sources, for physical protection of nuclear materials, radioactive substances, radioactive waste and storage facilities, as well as nuclear facility and radiation sources.

Information note on the availability of the permits issued to employees to carry out activities in the field of atomic energy use.

Information note on the fulfillment of the license validity conditions over the past period.

Requirements for the set of documents substantiating nuclear and radiation safety during decommissioning of nuclear facilities - vessels and other water crafts, transport and transportable facilities with nuclear reactors; nuclear and process maintenance vessels designed for storage and transport of nuclear materials, radiation sources - vessels with nuclear reactors transferred into the radiation source category; nuclear and process maintenance vessels designed for storage and transport of radioactive substances and radioactive waste, and ground-based stands - prototypes with experimental transport nuclear reactors.

Decommissioning program.

Safety Analysis Report for decommissioning.

Quality assurance program for decommissioning.

Action plan for personnel protection in case of an accident during decommissioning.

Report on physical inventory of equipment and premises to be decommissioned (disassembly and utilization).

Report on radiation safety audit of equipment and premises to be decommissioned (disassembly and utilization).

List of organizations performing the decommissioning-related activities and services, information about availability of the respectful Rostechndadzor's licenses.

Copy of the administrative document of a relevant department, including the final condition of the nuclear facility (radiation source) being decommissioned.

Information note on the physical protection of radioactive substances, radiation sources, radioactive substance storage facilities, and radioactive waste storage facilities.

Certificate of accounting and control of radioactive substances and radioactive waste.

Requirements for the set of documents substantiating nuclear and radiation safety for operation and decommissioning of nuclear material and radioactive substance storage facilities (onshore storage), radioactive waste storage facilities.

#### Safety Analysis Report

Information note on the federal codes and regulations in the field of atomic energy use, other regulatory documents related to safety of storage facilities, the requirements of which are to be fulfilled in the operation and decommissioning, as well as information about availability of such documents at an applicant's organization.

Information note on the design, development, operating and process documentation for operation and decommissioning of storage facilities.

Quality assurance program.

Information note on the procedure for personnel training, assessment of knowledge of the nuclear and radiation safety codes and regulations, certification, briefings and granting permits to nuclear and radiation hazardous activities.

Block diagram of the nuclear and radiation safety control services.

Information note on the nuclear material, radioactive substance and radioactive waste management system.

Information note on the accounting and control of nuclear materials (radioactive substances and radioactive waste).

Information note on the physical protection of nuclear materials, nuclear facilities, and storage facilities of nuclear materials (radioactive substances, radiation sources, storage facilities of radioactive substances and radioactive waste).

Instructions for emergency response actions during operation and decommissioning of storage facilities.

Copy of the administrative document of a relevant department, including the final condition of a storage facility being decommissioned.

Storage facility decommissioning program.

Report on the inventory and radiation safety audit of storage facility equipment premises to be decommissioned.

List of organizations performing activities and services including the scope of these activities and services, and availability of relevant Rostekhnadzor's licenses.

Requirements for the set of documents substantiating nuclear and radiation safety for management of nuclear material and radioactive substances during their use, transport and storage.

List of facilities at which or in relation to which the declared activity should be performed, including the explanatory note related to the safety level of production complexes, process sections, departments, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities.

Safety Analysis Report

Information note on the federal codes and regulations in the field of atomic energy use, other safety regulatory technical documents, the requirements of which are to be

fulfilled during management of nuclear material and radioactive substances, and information about availability of such documents at an applicant's organization.

Information note on the design, development, operating and process documentation for management of nuclear materials and radioactive substances.

Quality assurance program.

Information note on the procedure for personnel training, assessment of knowledge of the nuclear and radiation safety codes and regulations, certification, briefings and granting permits to nuclear and radiation hazardous activities.

Block diagram of the nuclear and radiation safety control services.

Information note on the accounting and control of nuclear materials (radioactive substances and radioactive waste).

Information note on the physical protection of nuclear materials and storage facilities of nuclear materials (radioactive substances, radiation sources, storage facilities of radioactive substances and radioactive waste).

Instruction (schedule) for personnel actions in response to the "Radiation hazard" signal during the nuclear material and radioactive waste management.

List of organizations performing activities and services including the scope of these activities (services), and availability of respective licenses issued by Rostekhnadzor.

Copy of the document establishing the standards (limits - in respect to limit fixing) of permissible releases and emissions of radioactive substances.

Copy of the permits issued by authorized agencies in the field of environment protection, for emissions and releases of radioactive substances.

Plan of measures for reduction of emissions and releases of radioactive substances.

Requirements for the set of documents substantiating nuclear and radiation safety for radioactive waste management during their storage, treatment, transport and disposal.

List of facilities where and/or in relation to which the declared activity should be performed, including copies of the Statement of their acceptance for operation and

descriptions of safety levels of production complexes, process sections, departments, and radioactive waste storage facilities.

Safety analysis report

Information note on the federal codes and regulations in the field of atomic energy use, regulatory technical documents related to radioactive waste management, the requirements of which are to be fulfilled during management of radioactive waste, and information about availability of such documents at an applicant's organization.

Information note on the design, development, operating and process documentation for management of radioactive waste.

Quality assurance program for radioactive waste management.

Plan of measures compensating for deviations from requirements of the regulatory documents on radiation safety during radioactive waste management, including the analysis of their sufficiency.

Information note on the procedure for personnel training, assessment of knowledge of the radiation safety codes and regulations, certification, briefings and granting permits to radiation hazardous activities.

Block diagram of the radiation safety control service.

Information note on the accounting and control of radioactive waste (according to It. 14 of this Appendix).

Copy of the sanitary and epidemiological inspection report on the conformity of the procedure, conditions and methods of collection, transport, storage and disposal of radioactive waste with the sanitary regulations.

Information note on the physical protection of radioactive waste storage facility (according to It. 15 of this Appendix).

Instruction (schedule) for personnel actions in response to the "Radiation hazard" signal during the radioactive waste management.

List of organizations performing the work and services for the declared activity, including the scope of such works (services) and availability of relevant licenses issued by Rostekhnadzor.

5. Requirements for the set of documents substantiating radiation safety of radiation source, radioactive waste storage facility, radioactive waste storage facility (for radiation hazardous facilities in non-nuclear industries, medicine, science).

Requirements for the set of documents substantiating radiation safety for siting of radiation source, radioactive substance storage facility, radioactive waste storage facility.

Radiation safety analysis report on the nuclear facility siting.

Feasibility report materials related to substantiation of the nuclear facility site.

Quality assurance program for nuclear facility site.

Requirements for the set of documents substantiating radiation safety for construction of radiation source, radioactive substance storage facility. radioactive waste storage facility.

Radiation safety analysis report on the nuclear facility construction.

Information note on the design, development, operation and process documentation developed for construction of the nuclear facility (the documents shall be submitted upon the Rostekhnadzor's request).

Quality assurance program for nuclear facility construction.

Information about organizations involved in the engineering and technical support of the declared activity, as well as in the activities and services in the field of atomic energy use, including the scope of activities (services).

Requirements for the set of documents substantiating radiation safety during operation of radiation source, radioactive substance storage facility, radioactive waste storage facility, during management of radioactive substances and radioactive waste, use of radioactive substances for carrying out the research and development.

Report on the radiation safety analysis for operation of a nuclear facility.

Radiation safety instruction(s).

Instruction for accident and fire prevention and rectification of their consequences.

Information on the criteria for decision making in case of a radiation accident (they may be included in the instructions for accident and fire prevention and rectification of the consequences).

Plan of measures for personnel and public protection from the radiation accident and its consequences.

Instruction for the procedure of actions in case of road traffic incidents (to be submitted only for obtaining the licenses for management of radioactive substances and/or radioactive waste in transit).

Information note on the documents determining the procedure for radiation hazardous activities, including process regulations and instructions, operation, maintenance and repair instructions (to be submitted upon the Rostekhnadzor's request).

Information note on the accounting and control of radioactive substances and radioactive waste (according to It. 14 of this Appendix).

Information note on the physical protection (according to It. 15 of this Appendix).

Quality assurance program for performance of the declared activity.

Information about organizations involved in the engineering and technical support of the declared activity, as well as in the activities and services in the field of atomic energy use, including the scope of activities (services).

Requirements for the set of documents substantiating radiation safety for decommissioning of radiation source, radioactive substance storage facility, radioactive waste storage facility.

Radiation safety analysis report on a nuclear facility being decommissioned.

Work program for nuclear facility decommissioning.

Information note on the design, development, operation and process documentation developed for decommissioning of a nuclear facility (the documentation shall be submitted upon the Rostekhnadzor's request).

Instruction for radiation safety during decommissioning of a nuclear facility.

Instruction for accident and fire prevention and rectification of their consequences during decommissioning of a nuclear facility.



Information on the criteria for decision making in case of a radiation accident (they may be included in the instructions for accident and fire prevention and rectification of the consequences during decommissioning of a nuclear facility).

Plan of measures for personnel and public protection from radiation accident and its consequences during decommissioning of a nuclear facility.

Quality assurance program for decommissioning of a nuclear facility.

Information about organizations involved in the engineering and technical support of the declared activity, as well as in the associated activities and services in the field of atomic energy use, including the scope of activities (services).

6. Requirements for the set of documents to obtain licenses for design and development of nuclear facilities (NPP Units), radiation sources, storage facilities of nuclear material (nuclear fuel storage facilities), radioactive substances and radioactive waste.

Information note on the activities performed by the organization, which characterize its experience in the design and development work for the projects and productions or in other technical fields.

Information note on the skilled personnel level.

List (or lists) of safety regulatory documentation, the requirements of which the design and engineering documentation being elaborated should meet.

Information note on the availability of regulatory documentation at the organization, the requirements of which are to be considered during the design and development work to be performed.

Information note on the assessment of knowledge of requirements of the codes, standards and instructions related to nuclear and radiation safety; it refers to the employees involved in the design and development work.

Information note on the compliance assessment service.

Information note on the organizational structure of the departments involved in the design supervision during construction (including equipment manufacture, mounting), pre-commissioning, operation (including repair), and decommissioning (if any).

Information note on the company hardware and software allowing for proper performance of the scheduled scope of design and engineering work and required design and experimental justifications.

Information note on the arrangement of elaboration, approval, and change of the design and engineering documentation all the stages of its development and quality control, including information about the accounting and reporting documentation.

Information note on the arrangement of inspection of the company design and engineering activities by the operating organization, facility owner or customer.

Information note on the systems of information exchange with organizations that use the applicant's design and engineering documentation, including methods of identification, accounting, and analysis of the documentations drawbacks during the equipment manufacture, construction, mounting, commissioning and operation (including repair) of facilities, as well as arrangements for rectification of drawbacks.

Information confirming the availability of the company conditions to avoid any unauthorized distribution of the design documentation related to nuclear technology and physical protection.

Quality assurance programs for design and development of nuclear facilities, radiation sources, and storage facilities of nuclear material (nuclear fuel) and radioactive waste.

Copy of the document confirming that the organization has been recommended by a nuclear energy regulatory agency for bearing responsibility for project generation of a nuclear facility or a storage facility <\*>.

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<\*> The documents shall be submitted for newly developed nuclear plants or storage facilities.

Copy of the decision made by the nuclear energy use regulatory agency related to appointment of the Director of the organization responsible for project of nuclear plant or storage facility.

7. Requirements for the set of documents substantiating the capability of performing the declared activity on equipment engineering for nuclear facilities, radiation sources and storage facilities of nuclear material and radioactive substances, radioactive waste storage facilities (except fuel elements, fuel assemblies and transfer packing casks).

List of equipment to be engineered by an applicant, where the name of equipment, purpose, safety class should be indicated.

List of legislative and regulatory documents establishing requirements for equipment quality and reliability (federal laws, federal codes and regulations in the field of atomic energy use, safety guides, guidelines of Rostekhnadzor, national standards and corporate standards, building regulations, regulatory documents of an applicant, and other regulatory documents in the field of atomic energy use), the requirements of which are to be fulfilled in the equipment design engineering. Information on the applicant's availability of the specified regulatory documents duly accounted and actual by the time of the application, and information about the system of document accounting and amendment.

Documents including information about the applicant's structural divisions involved in the equipment design engineering, as well as information about availability of the regulations on structural divisions and job descriptions (of specialists).

Description of the quality management system available at the organization-applicant for performance of the declared activity.

List of quality assurance programs for equipment design engineering. The programs shall be submitted upon Rostekhnadzor's request.

Information on the activities previously performed by an applicant, which characterize its experience in the design of similar equipment.

Information on the company staffing of skilled employees involved in the design engineering of equipment and control of engineering documentation, level of their education and skills.

Information on the procedure for knowledge assessment of the executives and specialists involved in the equipment design engineering, as regards knowledge of the codes and regulations establishing the equipment requirements, observance of knowledge assessment dates, availability of documents confirming the knowledge assessment results. If the license application is issued first, and no assessment has been conducted before, the related organizational and administrative documents shall be submitted before the commencement of the design work.

Information on the arrangement of elaboration of the engineering documentation, its approval, implementation, change, including information on the procedure for analysis of the engineering documentation as regards its conformity with the codes and regulations.

Information on the engineering documentation recording and custody procedure accepted by an applicant.

Information on the examination of the compliance of the engineering documentation.

Information on the metrological examination of the engineering documentation.

Information on availability of the trial facilities and pilot production, test fields and stands for verification and refinement of engineering solutions.

Information on the arrangement of design supervision during equipment manufacture, operation and decommissioning at nuclear facilities.

Information on the hardware and software tools allowing to perform the scheduled scope of design work and to carry out the design and experimental justifications; information on the software certification.

Information on the arrangement of the information exchange with organizations using the elaborated engineering documentation, methods of identification, recording and analysis of drawbacks of such documentation, as well as taking measures for rectification of such drawbacks.

Information on the quantity and nature of claim letters to elaborated equipment from operating organizations and customers (except the organizations applying for license for the first time).

Information on the possibility of use of nuclear materials and radioactive substances during research and development (if it is suggested to perform such works), including information on availability of the required licenses.

Information on availability of the conditions to avoid any unauthorized distribution of nuclear technologies, equipment and materials, if the equipment to be designed by an applicant is included in the "List of nuclear materials, equipment, special non-nuclear materials and relevant technologies to be under export control" <\*>,

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<\*> Approved by Edict of the President of the Russian Federation No. 202 of 14.02.1996, No. 1318 of Rev. 14.11.2005.

Nomenclature of reporting and accounting documentation, procedure for presentation and storage.

8. Requirements for the set of documents to obtain the license for equipment design engineering for nuclear facilities, radiation sources, storage facilities of nuclear materials and radioactive substances, radioactive waste storage facilities (as regards the design of fuel elements, fuel assemblies and transfer packing casks).

List of engineered equipment, which includes its name, purpose and technical characteristics.

Materials for equipment safety assurance analysis for nuclear facilities, radiation sources, storage facilities of nuclear materials and radioactive substances, radioactive waste storage facilities under design:

assessment of interaction of the designed equipment with other equipment and systems under the normal operation conditions and design accidents;

assessment of the possibility of generation of radioactive waste during operation of the designed equipment, including their possible quantity, activity, isotopic composition, system of RW collection, treatment, storage and disposal;

assumed decommissioning procedure (for equipment with the residual radioactivity upon operation completion).

Information note on the previously performed activities characterizing the experience in the similar equipment design or in the related technical field.

List of the nuclear energy federal codes and regulations used by an applicant, other regulatory documents establishing the criteria and requirements for safety of facilities and equipment, to which the engineering documentation should meet.

Information note on the applicant's structural divisions involved in the equipment design engineering.

Information note on the arrangement of elaboration, approval, and change of the engineering documentation all the stages of its development and quality control, including information on the accounting and reporting documentation; organization of the regulatory service, metrological service, and standardization service.

Information note on the systems of information exchange with organizations that use the engineering documentation, including methods of identification, accounting, and analysis of drawbacks of this documentation during the equipment manufacture, construction, mounting, commissioning, operation (including repair) and decommissioning of nuclear facilities, as well as taking measures for their elimination.

Information note on the availability of trial facility and pilot production at an applicant.

Information note on the personnel skills including the education level and special training (on-the-job training).

Information note on the procedure for design personnel training, knowledge assessment, as regards criteria and requirements of the codes, standards and instructions related to nuclear and radiation safety.

Information note on the technical and verified software allowing for proper performance of the scheduled scope of design and engineering work and required design and experimental justifications.

Information note on the organizational structure of the departments involved in the design supervision at nuclear facilities during construction (including equipment manufacture, mounting), commissioning, operation (including repair), and decommissioning.

Information note confirming that an applicant has the conditions to avoid any unauthorized distribution of nuclear technologies.

List of organizations performing activities and services to an applicant, including the scope of these activities (services) and information on the availability of Rostechndzor's licenses for performance of such activities.

9. Requirements for the set of documents substantiating the capability of performing the declared activity related to equipment manufacture for nuclear facilities, radiation sources and storage facilities of nuclear material and radioactive substances, radioactive waste storage facilities (except fuel elements, fuel assemblies and transfer packing casks).

List of equipment to be manufactured by an applicant, where the name of equipment, purpose, and safety class should be indicated.

List of regulatory documents establishing requirements for equipment quality and reliability (federal codes and regulations in the field of atomic energy use, safety guides, governing documents of Rostechndzor, national standards, company standards, building regulations, as well as applicant's regulatory documents), the requirements of which are to be observed in manufacture. Information on the Applicant provision with the documents duly recorded and actualized by the time of the application and on the system of document recording and change.

Documents containing information on the applicant's structural divisions involved in equipment manufacture, including information on availability of the regulations for structural divisions and job descriptions.

Description of the quality management system available at the Applicant's company for performance of the declared activity.

List of quality assurance programs for equipment manufacture. The programs shall be submitted upon Rostekhnadzor's request.

Information on elaboration of the quality plans for equipment manufacturing (as regards organizations, which have had licenses).

Information on the activities performed by the applicant's organization, which characterize its experience in similar equipment manufacture.

Information on the procedure for recording, distribution, storage of design and process documentation, as well as documentation change and provision for workplaces.

Information on the procedure for elaboration, changes, recording, distribution, storage of process documentation for equipment manufacture and control, its implementation and availability at workplaces.

Information on the procedure for equipment launching into manufacture.

Information on the production metrological support.

Information on the applicant's provision with process equipment, testing devices, appliances and tools, laboratory and measuring instruments.

Information on the supplier selection system, procurement conformity assessment, incoming inspection, identification, storage and launching of materials and component parts.

Information on the arrangement of destructive and non-destructive tests.

Information on the procedures for inspection of test equipment, test of equipment, interaction with foreign testing laboratories (if involved).

Information on the procedure for accounting and analysis of claims to equipment quality, measures for elimination of revealed defects in manufacture and operation, as well as measures for defect prevention in future.

Information on the company staffing of skilled employees involved in the equipment manufacture, level of their education and skills.

Information on the procedure for training and certification of welders and NDT inspectors, keeping the documentation of operation records, workman's marks, observance of periodical certification and knowledge assessment schedules (if such assessment has not



been conducted, the documents confirming the assessment before commencing the equipment manufacture shall be submitted).

Information on the procedure for knowledge assessment of the executives and specialists involved in the equipment manufacture, as regards knowledge of the codes and regulations establishing the equipment requirements, observance of knowledge assessment schedules, availability of documents confirming the knowledge assessment results. If such assessment has not been conducted, the organizational and administrative documents related to assessment before the manufacture shall be submitted.

Information on the procedure and forms of assessments if the compliance of the manufactured equipment with requirements of the codes and regulations, design and process documentation.

Information on the applicability of nuclear materials and radioactive substances for manufacture of equipment, including availability of the required licenses.

Information on availability of the conditions to avoid any unauthorized distribution of nuclear technologies, equipment and materials, if the equipment to be manufactured by an applicant is included in the "List of nuclear materials, equipment, special non-nuclear materials and relevant technologies to be under export control" <\*>.

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<\*> Approved by Edict of the President of the Russian Federation No. 202 of 14.02.1996, No. 1318 of Rev. 14.11.2005.

Information on the arrangement and performance of activities related to certification of equipment included in the Nomenclature of equipment, items and technologies for nuclear facilities, radiation sources, and storage facilities subject to mandatory certification within the certification system of equipment, items, and technologies for nuclear facilities, radiation sources and storage facilities (OIT-0013-2000) and supplement thereof.

Information on the inspection of fulfillment of the license validity conditions as regards organizations, which have had licenses.

Nomenclature of the reporting and accounting documentation, procedure for presentation and storage.

10. Requirements for set of documents substantiating the capability of performing the declared activity related to expert review of design, development and process documentation and documents substantiating nuclear and radiation safety of nuclear facilities, radiation sources, nuclear material and radioactive substance storage facilities, radioactive waste storage facilities, management of nuclear material, radioactive substances and radioactive waste.

Description of the applicant organization structure.

Justification of the applicant's scientific and technical capability of conducting the expert review of documents, including:

Information note on the applicant's full-time technical specialists in the declared field of documentation expert review.

Information note on availability of full-time technical experts having extra skills in the declared field of documentation expert review and information on their certification.

Information note on the applicant's third-party technical specialists (outsourced) to be involved in the declared field of documentation expert review.

List of expert reports or other scientific papers made by an applicant in the declared field of documentation review over the past three years. Copies of expert reports are submitted additionally upon the Rostekhnadzor's request.

List of software tools and technical guidelines (scientific-technical guides, procedures, instructions) suggested by an applicant for use in the declared field of documentation review. Copies of technical guidelines shall be submitted additionally upon the Rostekhnadzor's request.

Justification of the applicant's technical and organizational capability of conducting the expert review of documents, including:

Information note on availability of the infrastructure required for organization and conduct of the expert review (premises, communication facilities, office machines and equipment, etc.).

Information note on availability, condition and use of the regulatory document collection applicable in the declared field of atomic energy use (including list of regulatory documents available at an Applicant's company).

Information note on the available conditions of access to the actual scientific and technical information (technical libraries, subscription to scientific and technical periodical publications, participation in conferences, etc.).

Description of the procedure for arrangement of the expert review and quality management system provided in the Applicant's organization for expert review of documents, including:

Procedure for documentation expert review using the process and system approach in the quality management system, which provides for management of the applicants' activity and relevant resources as a set of interrelated processes.

List of the expert review system documents available in the applicant's organization. Quality system documents shall be submitted additionally upon the Rostekhnadzor's request.

Expert review quality management manual applicable in the applicant's organization for documentation expert review.

Applicant declaration of independence in carrying out the documentation expert review.

Information note on the proper conditions for managing documents classified as state secret or other legally protected secret (if applicable).

11. Requirements for the set of documents to obtain a license for types of activities specified in the Provision for licensing the activities in the field of atomic energy use, as regards performance of activities and services for operating organizations.

Description of the performed works and/or services under the declared scope of activity, focusing on nuclear and radiation hazardous work (list of facilities, systems and equipment, where such activities and services are performed).

Quality assurance programs for activities and services under the declared activity.

Information on past activities and/or services under the declared activity.

Information on recruitment, training, skill maintaining and granting the independent work permits to the personnel involved in the declared activity.

Information note on the applicant's technical equipping for qualitative performance of activities (availability of relevant technologies, equipment, devices, instruments, procedures, documentation etc.) and performance control.

12. Requirements for the contents of the information note on accounting and control of nuclear materials.

Information on arrangement of the knowledge assessment, schedules of training and refresher training of employees involved in nuclear material accounting and control, availability of Rostekhnadzor's permits issued to nuclear material accounting and control employees for performance of activities in the field of atomic energy use.

Copies of the provisions (instructions) for nuclear material accounting and control, instructions for nuclear material accounting and control for each material balance area, statement of the physical inventory of nuclear material for each material balance area conducted by the application date.

List of regulatory documents for nuclear material accounting and control available in an applicant's company

13. Requirements for physical protection systems of nuclear materials, nuclear facilities and nuclear storage facilities.

Information on arrangement of knowledge assessment, schedules of training and refresher training of employees involved in physical protection, availability of Rostekhnadzor's permits issued to physical protection personnel for performance of activities in the field of atomic energy use.

Information on the compliance of the physical protection system design with requirements of the legislation of the Russian Federation, Federal codes and regulations, industry-specific regulatory acts of physical protection (including their names); information on the certification of technical equipment used in the physical protection system.

Information on the plant security arrangements and measures for prevention of unauthorized actions in relation to the plant.

Information on availability of the technical passport of anti-terrorism security of the nuclear-hazardous facility.

Copy of the Statement of the Interdepartmental board for facility security arrangements as regards the security arranged by internal military forces of the Ministry of Internal Affairs of Russia.

Information on the nuclear material category, vulnerability analysis, records confirming the compliance of the physical protection system efficiency with the established requirements.

List of regulatory documents for physical protection applicable in an applicant's company.

14. Requirements for the contents of the information note on accounting and control of radioactive substances and radioactive waste.

Information on arrangement of the knowledge assessment, schedules of training and refresher training of employees involved in radioactive substance and radioactive waste accounting and control, availability of Rostekhnadzor's permits issued to RS and RW accounting and control employees for performance of activities in the field of atomic energy use.

Copies of the instruction for RS and RW accounting and control, and statement of the RS and RW physical inventory conducted by the application date.

List of regulatory documents for RS and RW accounting and control available in an applicant's organization.

15. Requirements for the contents of the information note on the physical protection of radioactive substances, radiation sources, radioactive substance storage facilities, and radioactive waste storage facilities.

Information on arrangement of knowledge assessment, schedules of training and refresher training of employees involved in physical protection, availability of

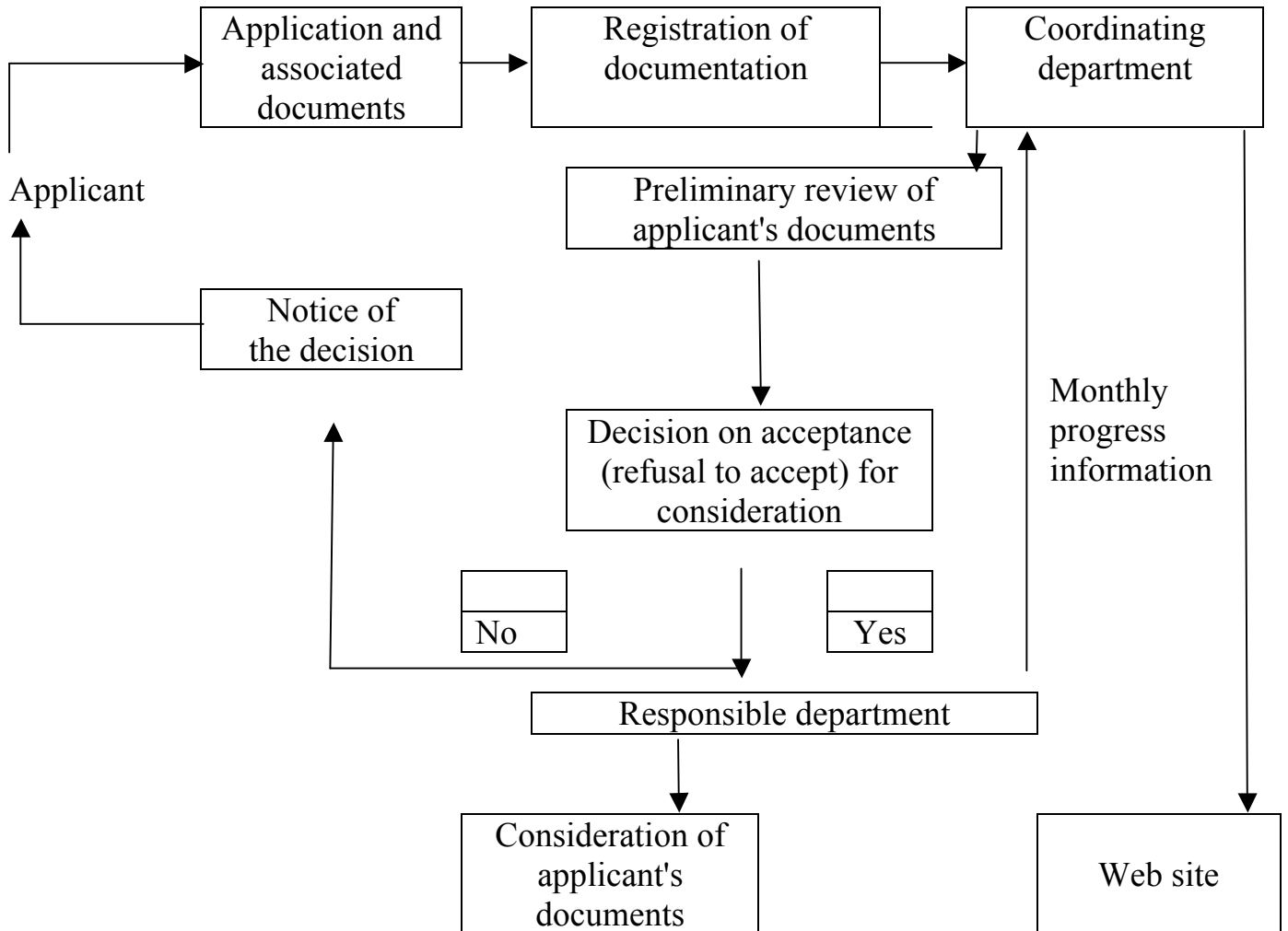
Rostekhnadzor's permits issued to physical protection personnel for performance of activities in the field of atomic energy use.

Information on the physical protection compliance with requirements of the federal codes and regulations, industry-specific physical protection regulatory acts (including their names), as well as security arrangements and measures for prevention of any unauthorized actions in relation to RS and/or RW.

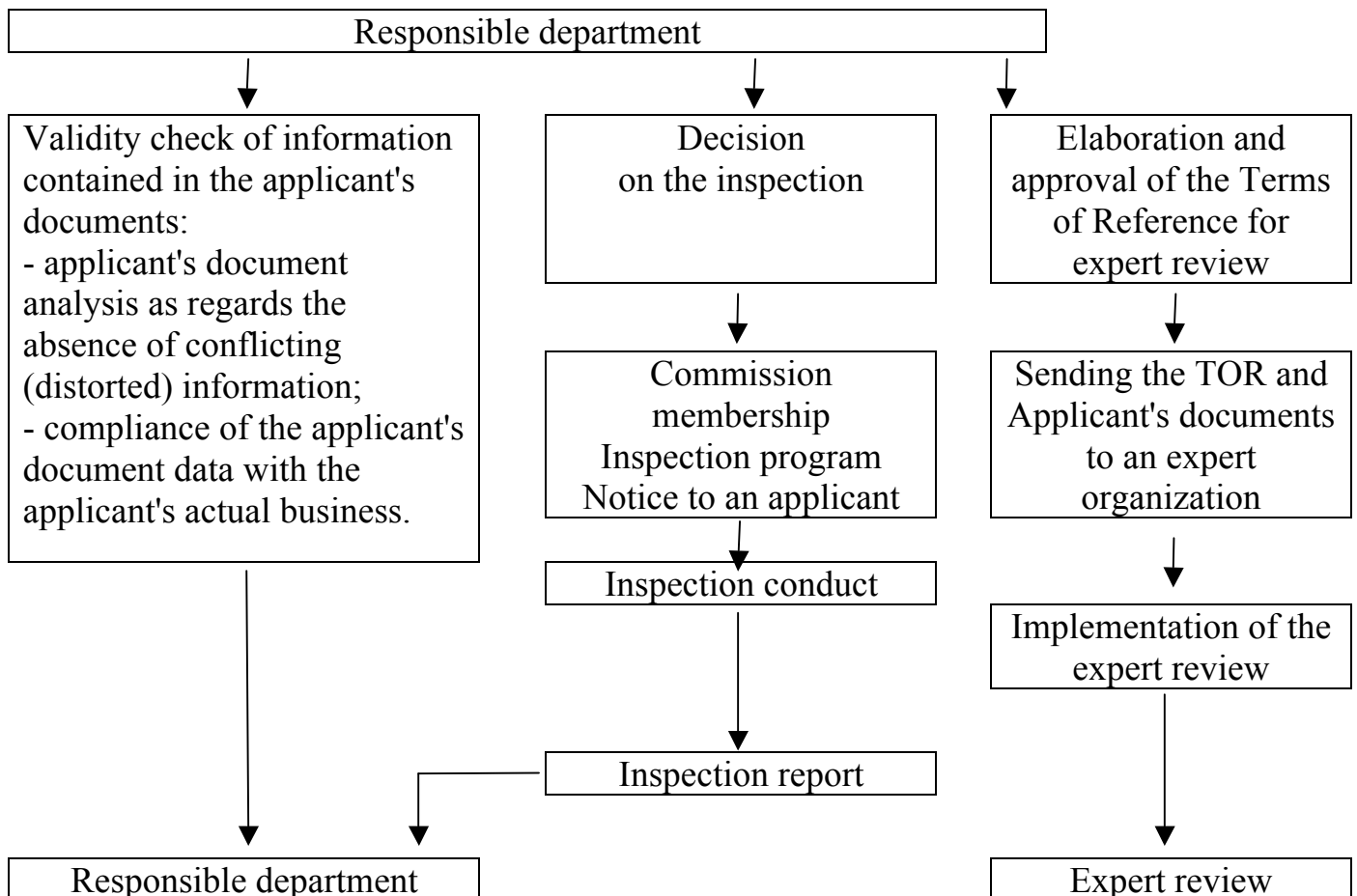
Information on radiation hazard categories of radioactive substance and/or radioactive waste, storage facilities of radioactive substances and/or radioactive waste subject to physical protection.

List of regulatory documents for RS and/or RW physical protection applicable in an applicant's company.

**Block diagram of the administrative procedure for consideration of the license application and preliminary review of the license documents**



**Block diagram of the administrative procedure for consideration of the license application documents**





**Example of the decision on the license issue (license refusal)**

Title part

Federal Environmental, Industrial and Nuclear Supervision Service

APPROVED BY

\_\_\_\_\_  
(position)

\_\_\_\_\_  
(signature, printed name)

\_\_\_\_\_  
(day-month-year)

DECISION No. \_\_\_\_

(decision number assigned \_\_\_\_\_)

(name of Rostekhnadzor's structural unit performing  
functions of the coordinating department)

regarding \_\_\_\_\_ license \_\_\_\_\_  
(type of decision - on the (full name of legal entity)  
license issue or refusal)

\_\_\_\_\_ (\_\_\_\_\_  
(according to constituent documents) (short name)

\_\_\_\_\_) \_\_\_\_\_  
of legal entity) (type of declared activity to be licensed,

\_\_\_\_\_ and associated facility)

Application registration number, assigned: \_\_\_\_\_  
(name of Rostekhnadzor's structural unit  
performing functions of the coordinating  
department)

Main part

1.

2.

3.

...etc.

Head \_\_\_\_\_  
(name of responsible office) (signature) (printed name)

For a particular Decision the words "Title part" and "Main part", as well as footnotes are not printed.

LICENSE EXAMPLE



FEDERAL ENVIRONMENTAL, INDUSTRIAL AND NUCLEAR SUPERVISION  
SERVICE

LICENSE

Registration number

(Registration number  
assigned by  
coordinating  
department)

\_\_\_\_\_  
License issue date (day-month-  
year)

The License is issued to \_\_\_\_\_  
(licensee's full name)

Licensee's legal address: \_\_\_\_\_

The license grants the right for \_\_\_\_\_  
(type of activity licensed)

Basis for license issuance: application \_\_\_\_\_,  
(Licensee's full name)

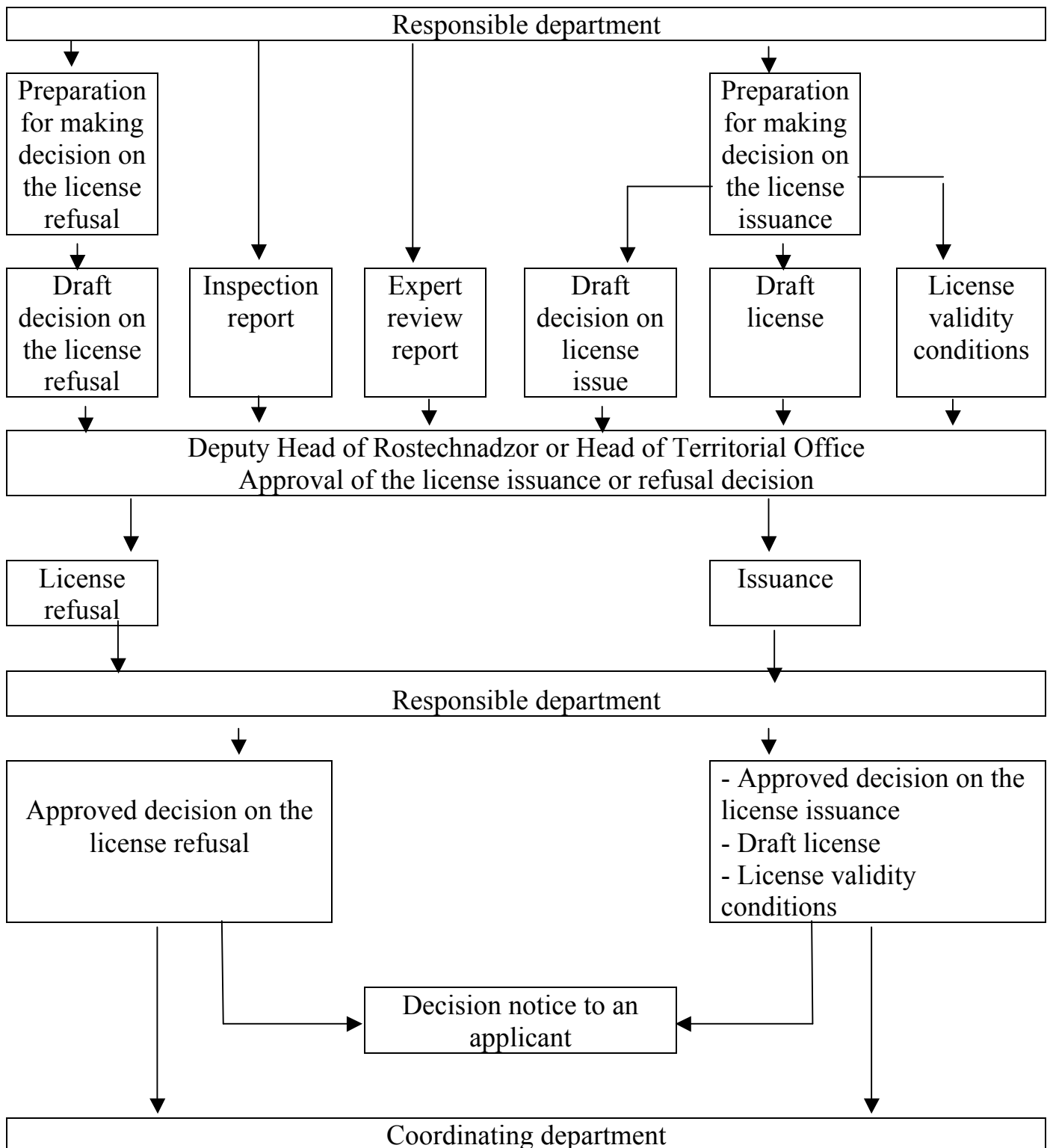
Decision of the Federal Environmental, Industrial and Nuclear Supervision Service No.  
\_\_\_\_\_ of \_\_\_\_\_  
(Decision Reg. No.) (day-month-year)

License validity terms \_\_\_\_\_ till \_\_\_\_\_  
(day-month-year)

The license is effective subject to observance of the license validity conditions being its  
integral part.

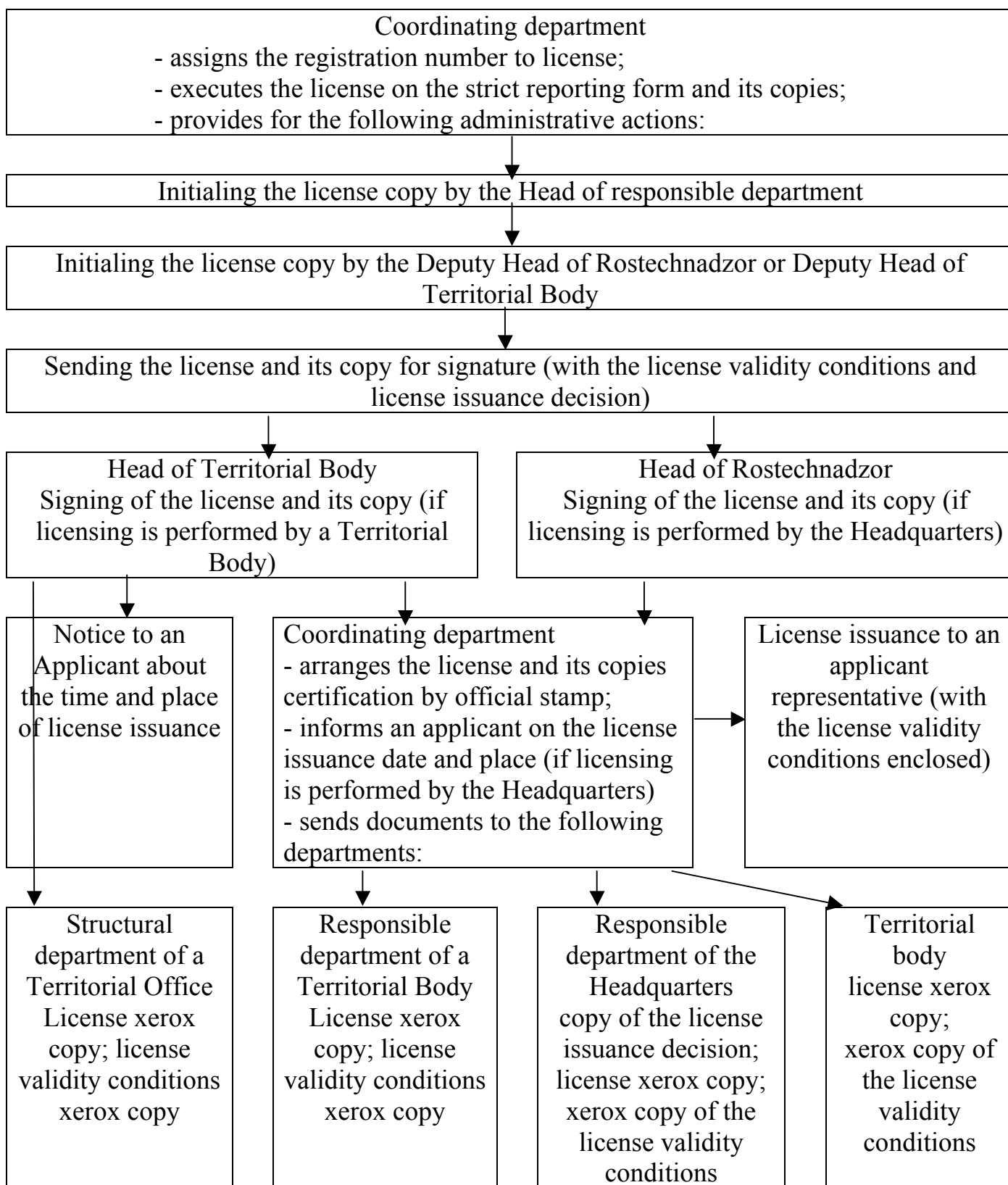
Head of a licensing body \_\_\_\_\_  
(Signature) (printed name)

**Block diagram of the administrative procedure for making decision on license issuance or refusal**

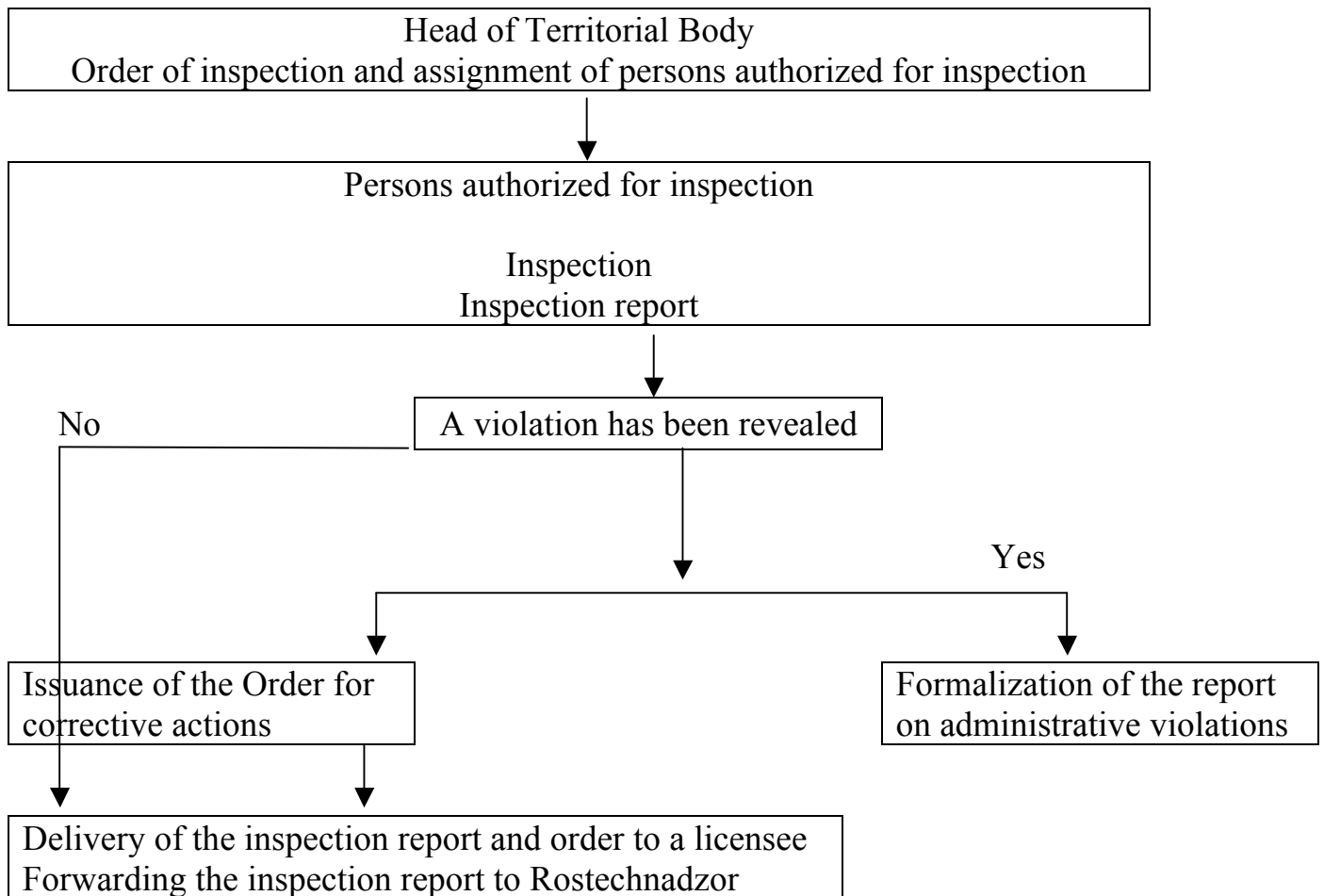




**Block diagram of the administrative procedure for license issuance and determination of validity conditions**



**Block diagram of the administrative procedure for license follow-up by the inspections of the fulfillment of the license validity conditions**



**Example of the Decision on the license validity conditions amendment or  
refusal of amendment**

Title part

Federal Environmental, Industrial and Nuclear Supervision Service

APPROVED BY

\_\_\_\_\_  
(position)

\_\_\_\_\_  
(signature, printed name)

\_\_\_\_\_  
(day-month-year)

DECISION No. \_\_\_\_

(decision number assigned \_\_\_\_\_)  
(name of Rostekhnadzor's structural unit performing functions  
of the coordinating department)

regarding \_\_\_\_\_ license \_\_\_\_\_  
(type of decision - on amendment or refusal of  
amendments of the license validity conditions) (full name of legal entity)

\_\_\_\_\_ (\_\_\_\_\_  
(according to the Constituent documents (short name)

\_\_\_\_\_ of legal entity) (type of declared activity to be licensed,

\_\_\_\_\_ and associated facility)

Application registration number, assigned: \_\_\_\_\_  
(name of Rostekhnadzor's structural unit  
performing functions of the coordinating  
department)

Main part

1.

2.

3.

...etc.

Head \_\_\_\_\_  
(name of responsible office) (signature) (printed name)



For a particular Decision the words "Title part" and "Main part", as well as footnotes are not printed.

**Appendix 13 to the Regulation**

**Example of Amendment of the license validity conditions;**

Title part

Federal Environmental, Industrial and Nuclear Supervision Service

APPROVED BY

\_\_\_\_\_  
(position)

\_\_\_\_\_  
(signature, printed name)

\_\_\_\_\_  
(day-month-year)

AMENDMENT No \_\_\_\_\_  
(amendment number assigned by the responsible department)

of license validity conditions No \_\_\_\_\_ of \_\_\_\_\_  
(license registration number) (day-month-year)

for \_\_\_\_\_  
(type of activity and associated facility according to the issued license)

issued to \_\_\_\_\_  
(full name of legal entity according to the Constituent documents)

(\_\_\_\_\_)  
(short name of legal entity)

Date of amendment introduction: \_\_\_\_\_  
(day-month-year)

Basis: application \_\_\_\_\_  
(short name of legal entity)

(\_\_\_\_\_),  
(reference number of the letter, with which the application and documents have been submitted)

Decision of the Federal Environmental, Industrial and Nuclear Supervision Service as of

\_\_\_\_\_  
(day-month-year)

Amendment Contents:

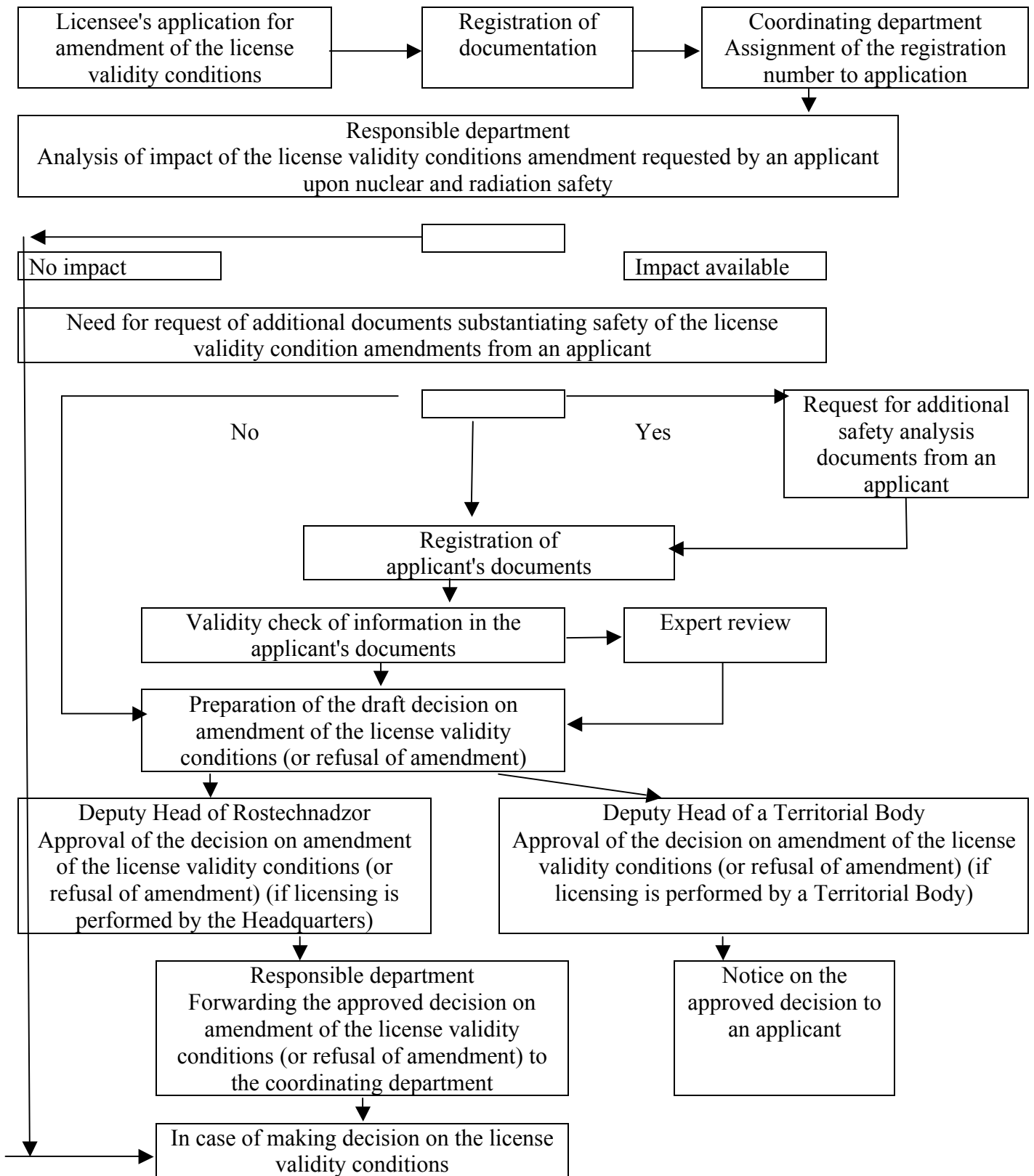
1. After the heading "License validity conditions..." in the free field the record shall be made: "Effective with Amendment No "
2. This item and hereunder the text of amendment shall be given.

This Amendment is an integral part of the license validity conditions  
\_\_\_\_\_ of \_\_\_\_\_,  
(day-month-year) (license registration number)  
stored and presented with them.

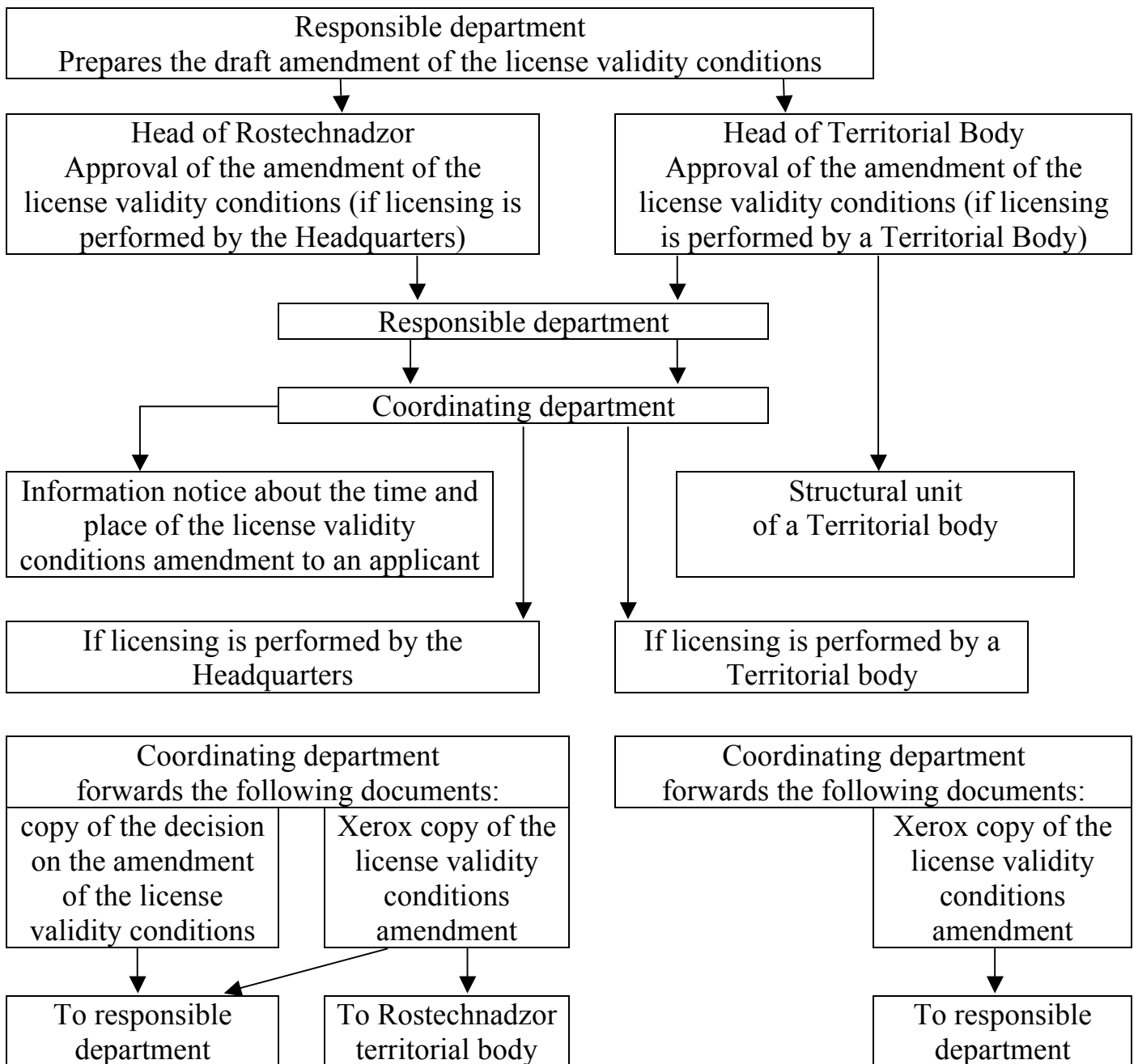
Head \_\_\_\_\_  
(name of responsible office) (signature) (printed name)

Note: Interlinear text shall not be printed in a particular Amendment.

**Block diagram of implementation of the administrative procedure for amendment of the license validity conditions**



**Block diagram of implementation of the administrative procedure for amendment of  
the license validity conditions**



**Example of the Decision on License validity suspension and/or termination  
(cancellation)**

Title part

Federal Environmental, Industrial and Nuclear Supervision Service

APPROVED BY

\_\_\_\_\_  
(position)

\_\_\_\_\_  
(signature and printed name)

\_\_\_\_\_  
(day-month-year)

DECISION No. \_\_\_\_\_

(decision number assigned  
by the coordinating department)

regarding \_\_\_\_\_ license \_\_\_\_\_

(type of decision - on license  
validity suspension or  
cancellation)

\_\_\_\_\_  
(full name of legal entity)

\_\_\_\_\_  
(licensee's name according to the Constituent documents)

\_\_\_\_\_  
(licensee's short name)

\_\_\_\_\_  
(type of suspended activity and its associated facility)

Main part

1.

2.

3.

etc.

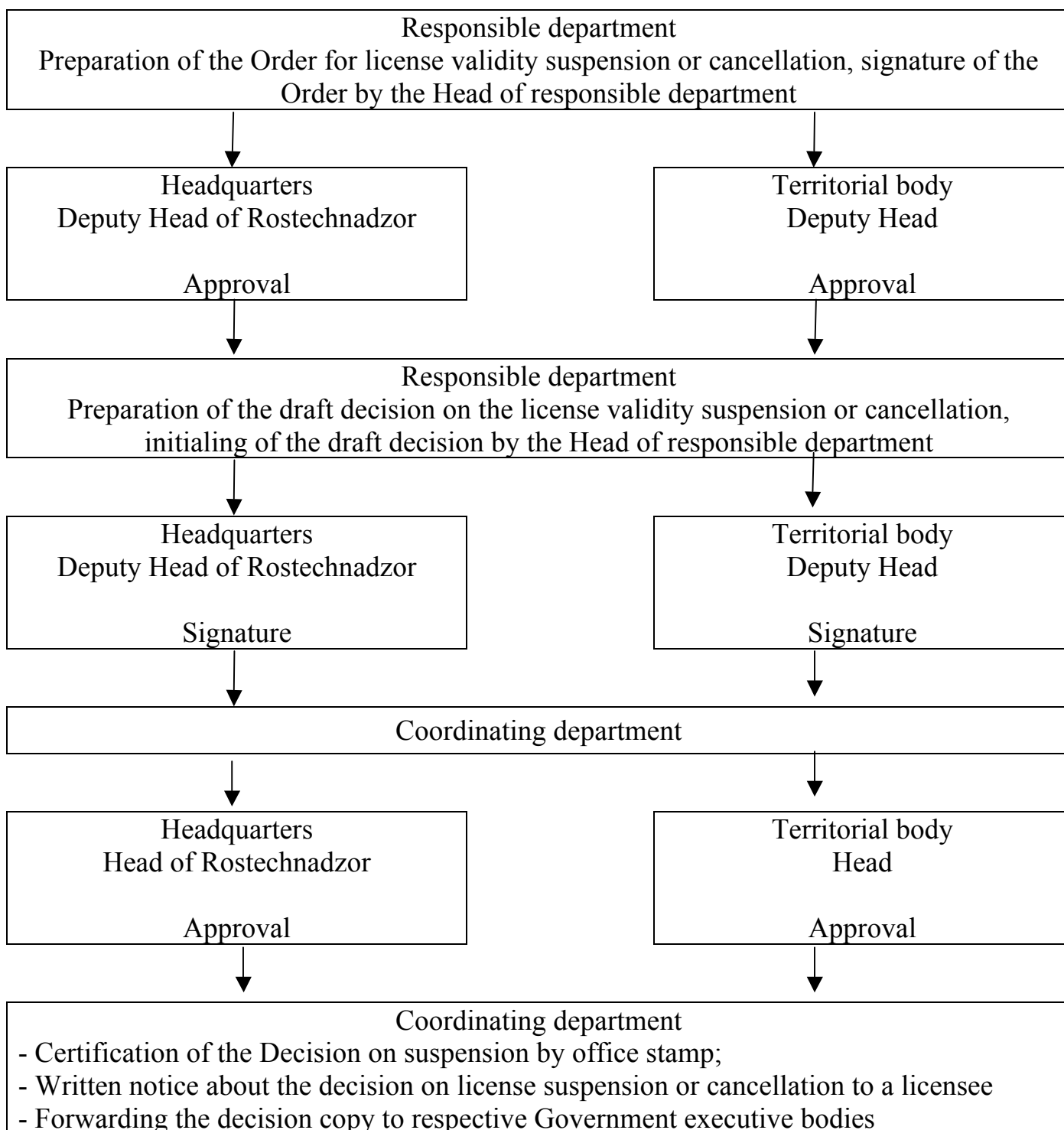
Deputy Head \_\_\_\_\_

(signature)

\_\_\_\_\_  
(printed name)

Note: For a particular Decision the words "Title part" and "Main part", as well as interlinear text are not printed.

**Block diagram of implementation of the administrative procedure for license validity suspension or termination (cancellation)**



**Example of the Decision on license renewal**

Title part

Federal Environmental, Industrial and Nuclear Supervision Service

APPROVED BY

\_\_\_\_\_  
(position)

\_\_\_\_\_  
(signature and printed name)

\_\_\_\_\_  
(day-month-year)

DECISION No. \_\_\_\_\_

(decision number assigned  
by the coordinating department)

regarding \_\_\_\_\_ license \_\_\_\_\_

(type of decision - on license  
renewal)

(full name of legal entity)

\_\_\_\_\_  
(licensee's name according to the Constituent documents)

\_\_\_\_\_  
(licensee's short name)

\_\_\_\_\_  
(type of renewed activity and its associated facility)

Main part

1.

2.

3.

etc.

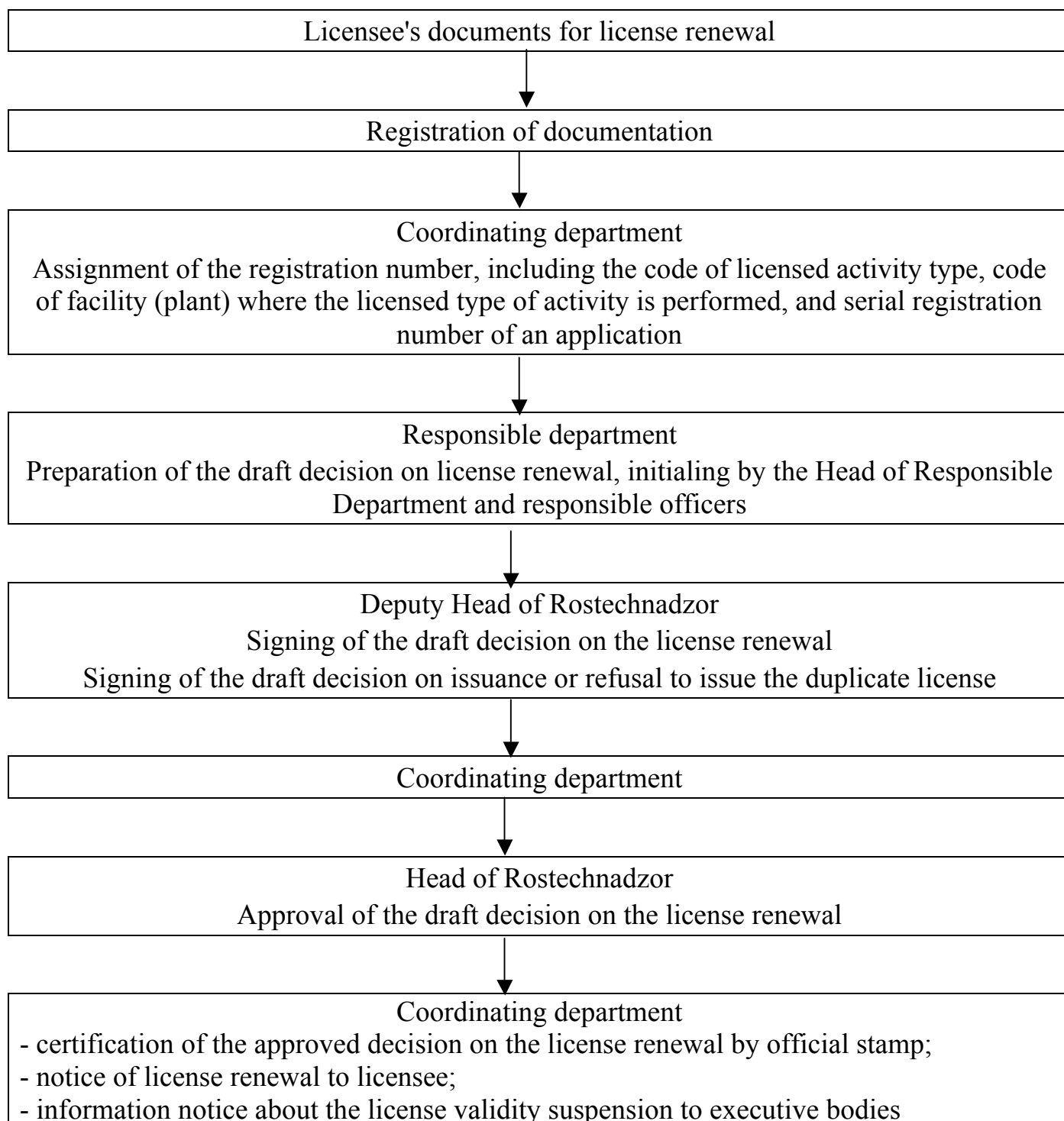
Deputy Head \_\_\_\_\_

(signature)

(printed name)

Note: For a particular Decision the words "Title part" and "Main part", as well as interlinear text are not printed.

**Block diagram of implementation of the administrative procedure  
for license validity renewal**





**Block diagram of the administrative procedure for issuance of duplicate license**

