



Department of Energy
Washington, DC 20585

September 4, 2015

MEMORANDUM FOR JOHNNY MOORE
MANAGER
OAK RIDGE NATIONAL LABORATORY SITE OFFICE

FROM: FRANK MARCINOWSKI 
HEADQUARTERS CERTIFYING OFFICIAL
DEPUTY ASSISTANT SECRETARY FOR
WASTE MANAGEMENT

SUBJECT: Approval of Certificate of Compliance 9228

Per the email request dated July 1 from Dana Willaford to Dr. James Shuler, attached are the U.S. Department of Energy (DOE) Certificate of Compliance (CoC), Certificate Number 9228, Revision No.0, for Package Identification No. USA/9228/B(U)F-96 (DOE) and its Package Approval Record. This certificate was issued based on DOE's endorsement of the Nuclear Regulatory Commission's CoC No. 9228, Revision 26 to allow shipments of DOE materials (i.e., spent fuel) in packaging Serial Number 2003.

This CoC is issued under the authority of 49 CFR 173.7(d) and is conditional upon fulfilling the applicable Operational and Quality requirements of 49 CFR Parts 100-199 and 10 CFR Part 71, and the conditions specified in Item 5 of the CoC.

The expiration date for DOE Certificate Number 9228, Revision 0 is August 31, 2020.

If you have any questions, please contact me or Dr. James Shuler of my staff, at (301) 903-5513.

Attachment

cc: Dana Willaford, SC-ORO
James Barnard, SC-OSO
Lawrence Gelder, SRNL

Docket File 15-20-9228





U.S. DEPARTMENT OF ENERGY

DOE Packaging Certification Program

CERTIFICATE OF COMPLIANCE For Radioactive Materials Package

DOE F 5822.1 (5-85 Formerly EV-618)

Table with 5 columns: 1a. Certificate Number (9228), 1b. Revision No. (0), 1c. Package Identification No. (USA/9228/B(U)F-96 (DOE)), 1d. Page No. (1), 1e. Total No. Pages (6)

2. PREAMBLE

- 2a. This certificate is issued under the authority of 49 CFR Part 173.7(d).
2b. The packaging and contents described in item 5 below meet the safety standards set forth in subpart E, "Package Approval Standards" and subpart F, "Package, Special Form, and LSA-III Tests" Title 10, Code of Federal Regulations, Part 71.
2c. This certificate does not relieve the consignor from compliance with any requirement of the regulations of the U.S. Department of Transportation or other applicable regulatory agencies...

3. This certificate is issued on the basis of a safety analysis report of the package design or application --

Table with 3 columns: (1) Prepared by (Name and address): U.S. Department of Energy, Oak Ridge National Laboratory Site Office, P.O. Box 2008, Oak Ridge, TN 37831-6269; (2) Title and Identification of report or application: General Electric Company application dated December 12, 2000, as supplemented [See 5.(e)]; (3) Date: December 2000

4. CONDITIONS

This certificate is conditional upon the fulfilling of the applicable Operational and Quality Assurance requirements of 49CFR parts 100-199 and 10CFR Part 71, and the conditions specified in item 5 below.

5. Description of Packaging and Authorized Contents, Model Number, Transport Index, Other Conditions, and References:

(a) Packaging

- (1) Model Number: 2000, Serial Number 2003
(2) Description:

The packaging is constructed of two concentric 1-inch thick 304 stainless steel cylindrical shells (ASTM A 240) joined at the bottom end to a 6-inch thick 304 stainless steel forging (ASTM A 182). The packaging overall dimensions are approximately 131.5 inches in height and 72.0 inches in diameter, and its gross weight is approximately 33,550 lbs. The cavity of the packaging is approximately 26.5 inches in diameter and 54.0 inches deep.

The lid is fully recessed into the packaging top flange and secured to the packaging body by 15 1.25-inch diameter socket head screws. The packaging is equipped with a seal test port on the side of the body, a vent port in the lid, and a drain port near the bottom of the packaging.

The overpack is constructed from two 0.5-inch thick concentric 304 stainless steel cylindrical shells (ASTM A 240), separated radially by eight equally spaced tubes and horizontally by two tube sections. A 304 stainless steel toroidal shell impact limiter is attached to each end of the overpack. The overpack opens just above the lower impact limiter for access to the packaging. The top of the overpack is joined to the base by 15, 1-3/8-inch diameter shoulder screws. Gussets on the top and bottom impact limiters provide tie-down points for the package.

Table with 2 columns: 6a. Date of Issuance: 9/4/15; 6b. Expiration Date: August 31, 2020

FOR THE U.S. DEPARTMENT OF ENERGY

Table with 2 columns: 7a. Address (of DOE Issuing Office): U.S. Department of Energy, Office of Packaging and Transportation, EM-33, 1000 Independence Avenue SW, Washington, DC 20585; 7b. Signature, Name, and Title (of DOE Approving Official): Frank Marcinowski, Headquarters Certifying Official, Deputy Assistant Secretary for Waste Management

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The lifting devices are detached during transport.

(3) Drawings:

- (i) The packaging is constructed and assembled in accordance with General Electric Company Drawing Nos. 129D4946, Rev. 11; "Model 2000 Shipping Cask All S/N's Except S/N 2001" Drawing No. 105E9520, Rev. 5; and "Model 2000 Cask Overpack All S/N's Except S/N 2001" Drawing No. 105E9521, Rev. 5
- (ii) Reserved
- (iii) The High Flux Isotope Reactor (HFIR) fuel basket and liner are constructed and assembled in accordance with General Electric Company Drawing No. 105E9523, Rev. 3.
- (iv) The multifunctional rack is constructed and assembled in accordance with General Electric Company Drawing No. 105E9555, Rev. 2.
- (v) The barrel rack is constructed and assembled in accordance with General Electric Company Drawing No. 166D8066, Rev. 3.
- (vi) The material basket is constructed in accordance with General Electric Company Drawing No. 183C8356, Rev. 3.
- (vii) The TSR fuel basket is constructed and assembled in accordance with General Electric Company Drawing No. 105E9560, Rev. 2.
- (viii) The Materials Testing Reactor (MTR) fuel basket is constructed and assembled in accordance with General Electric Company Drawing No. 105E9557, Rev. 9.
- (ix) The Rod Separator (5X, 19.3 in) is constructed and assembled in accordance with Drawing No. 147C8410, Rev. 0. The Rod Separator (4X, 15.6 in) is constructed and assembled in accordance with Drawing No. 147C8411, Rev. 0. The Basket Filler Upper End is constructed and assembled in accordance with Drawing No. 147C8414 Rev. 0.
- (x) The basket support is constructed in accordance with General Electric Company Drawing No. 000N2016, Rev. 0.

(b) Contents:

(1) Type and form of material

- (i) Irradiated fuel rods, which may be cut or segmented.
- (ii) Byproduct, source, or special nuclear material in solid form. Gamma emitting nuclides are limited to the following isotopes: ^{137}Cs , ^{60}Co , ^{181}Hf , $^{90}\text{Sr/Y}$, and $^{95}\text{Zr/Nb}$.
- (iii) Irradiated HFIR fuel assembly, positioned within the HFIR fuel basket and liner as specified in 5(a)(3). The HFIR fuel assembly is fabricated in accordance with Oak Ridge National Laboratory Drawing Nos. M-11524-OH-101-D, Rev. 0, and M-11524-OH-102-D, Rev. 0.
- (iv) Irradiated Tower Shielding Reactor (TSR) fuel elements, positioned within the TSR fuel basket specified in 5(a)(3).

- (v) Irradiated MTR-type fuel assemblies, positioned within the MTR fuel basket specified in 5(a)(3). The fuel assemblies may be sectioned only in the non-fuel bearing region of the assembly. The fuel assemblies are composed of aluminum-clad plates, and are limited as follows:

MTR Fuel Material	U ₃ O ₈	UAl _x	U _{METAL}	U ₃ Si ₂	UAL _x
Max. uranium enrichment(w/o U-235)	94.0	94.0	95.0	20.0	20.0
Max. active fuel thickness (in)	0.023	0.020	0.020	0.020	0.100
Min. clad thickness (in)	0.014	0.015	0.015	0.015	0.010
Max. U-235 per fuel assembly (g)	355	290	110	347	150
Max. U-235 mass per fuel basket cell (g)	710	580	220	694	300
Max. burnup (GWd/MTU)	568	568	568	122	122
Min. cool time (days)	120	120	120	120	120
Note: The enrichments, masses, and dimensions shall be based on values prior to irradiation					

- (vi) Irradiated TRIGA fuel elements, positioned with the MTR fuel basket specified in 5(a)(3). The fuel material consists of UZrH_x in cylindrical elements, with aluminum, stainless steel, or inconel cladding. The H to Zr ratio in the fuel ranges from approximately 1.0 to 1.7. Some fuel elements contain graphite reflectors in each end of the fuel element. The fuel elements are limited as follows:

TRIGA Fuel Elements					
Approximate rod diameter (in)	1-1/2	½	1-1/2	1-1/2	½
Graphite reflectors	With or without	With or without	With	With	Without
Uranium concentration in fuel (w/o U-235)	8 - 45	10 - 45	8.5 min.	8.5 min.	10 min.
Max. rod length (in)	30	30	30	30	30
Max. active fuel length (in)	15	22	15	15	22
Min. clad thickness (in)	0.02	0.016	0.02	0.02	0.016
Max. uranium enrichment (w/o U-235)	20.0	20.0	70.0	94.0	94.0
Max. active fuel diameter (in)	1.435	0.51	1.435	1.435	0.51
Max. U-235 per rod (g)	165	44 (max. 15 rods/basket cell)	140	220	44 (max. 15 rods/basket cell)
		33 (max. 20 rods/basket cell)			33 (max. 20 rods/basket cell)
Max. U-235 mass per fuel basket cell (g)	560	660	560	660	660
Max. burnup (GWd/MTU)	427	427	427	568	568
Min. cool time (days)	120	120	120	120	120
Note: The enrichments, masses, and dimensions shall be based on values prior to irradiation					

(2) Maximum quantity of material per package

Not to exceed 5,450 lbs., including fuel baskets, carrier racks, shoring, and secondary containers.

- (i) For the contents described in 5(b)(1)(i): 600 watts decay heat; and

Fissile contents not to exceed 1175 grams U-235 equivalent mass with initial enrichment not to exceed 5 weight percent in the fissile isotope; minimum pellet diameter of 0.3 inch, maximum burnup of 45 GWd/MTU, and minimum cooling time of 120 days; or

Fissile contents not to exceed 1750 grams U-235 equivalent mass with initial enrichment not to exceed 5 weight percent in the fissile isotope; minimum pellet diameter of 0.35 inch, maximum burnup of 38 GWd/MTU, and minimum cooling time of 120 days. Fuel rods must be contained in closed, 5-inch schedule 40 pipe, with a maximum of 437.5 grams U-235 equivalent per pipe; or

Fissile contents not to exceed 242 grams U-235 equivalent mass with initial enrichment not to exceed 5 weight percent in the fissile isotope; minimum pellet diameter of 0.3 inch, maximum burnup of 52 GWd/MTU, and minimum cooling time of 180 days.

- (ii) For the contents described in 5(b)(1)(ii): 2000 watts decay heat. Fissile contents not to exceed 500 grams U-235 equivalent mass. A single package shall not mix nuclides except as allowed below. Quantities and minimum shielding and shoring requirements for isotopes listed in Condition No. 5(b)(1)(ii) of gamma emitting nuclides are specified as follows:

Byproduct, source, or special nuclear material in solid form	
¹³⁷ Cs	422,000 Ci. Source must be divided in two, each source not exceeding 211,000 Ci, and placed into the "two-tier" option of the multifunctional rack described in 5(a)(3)(iv). The top source must be shielded on the bottom by a 1-inch thick steel end plug and a minimum of 2.375-inches of steel from the plates in the top and bottom sections of the multifunctional rack. The bottom source must also be shielded on the bottom by a 1-inch end plug and an additional minimum 1.375-inches of steel.
⁶⁰ Co	7,000 Ci, with an allowed concurrent maximum of 100 Ci Zr/Nb-95. The two separators and basket filler described in 5(a)(3)(ix) shall be used, stacked inside of the material basket described in 5(a)(3)(vi). The material basket shall be inside of the barrel rack described in 5(a)(3)(v). A basket support, as described in 5(a)(3)(x), shall be used to hold up the shield plug and material basket inside the barrel rack
¹⁸¹ Hf or ⁹⁰ Sr/Y	456,000 Ci for ¹⁸¹ Hf. 596,000 Ci for ⁹⁰ Sr/Y. The multifunctional rack as described in 5(a)(3)(iv) shall be used for either.
⁹⁵ Zr/Nb	100 Ci. The configuration specified above for ⁶⁰ Co, or the multifunctional rack as described in 5(a)(3)(iv), shall be used.

- (iii) For the contents described in 5(b)(1)(iii): One HFIR fuel assembly. The fuel assembly is composed of one inner fuel element, with up to 2628 grams U-235, and one outer fuel element, with up to 6872 grams U-235. The maximum uranium enrichment is 93.2 weight percent U-235. The maximum burnup per assembly is 2300 MWd, the minimum cool time is two years. Decay heat not to exceed 600 watts per package.

- (iv) For the contents described in 5(b)(1)(iv): A maximum of 4393 grams U-235 per package. The maximum uranium enrichment is 94.0 weight percent U-235. Decay heat not to exceed 35 watts per package. The TSR fuel elements must be positioned and limited within the TSR fuel basket as follows:

Irradiated Tower Shielding Reactor (TSR) fuel elements	
Lower fuel basket section	Up to 4 upper or lower fuel elements, or a combination of upper and lower fuel elements, for a total U-235 mass of 1412 grams.
Middle fuel basket section	Up to 4 fuel cover (lune) plates, for a total U-235 mass of 304 grams.
Upper fuel basket section	Up to 6 annular fuel elements plus one cylindrical fuel element, for a total U-235 mass of 2677 grams.

- (v) For the contents described in 5(b)(1)(v): Weight of contents, including fuel elements, spacers, shoring, and hardware, not to exceed 42.8 lbs. per fuel basket cell. Decay heat not to exceed any of the following: 1500 watts per package, 120 watts per cell, 35 watts per cell in the upper half of the fuel basket, 85 watts per cell in the lower half of the fuel basket, 765 watts in the lower half of the fuel basket (i.e., the lower half of all 21 cells combined). Failed fuel elements are permitted provided the damage is limited to cladding defects due to corrosion, nicks, and scratches. Failed fuel elements must be structurally and geometrically intact.
- (vi) For the contents described in 5(b)(1)(vi): Weight of contents, including fuel elements, spacers, shoring, and hardware, not to exceed 42.8 lbs. per fuel basket cell. For stainless steel and inconel clad fuel, decay heat not to exceed any of the following: 1500 watts per package, 120 watts per cell, 35 watts per cell in the upper half of the fuel basket, 85 watts per cell in the lower half of the fuel basket, 765 watts in the lower half of the fuel basket (i.e., the lower half of all 21 cells combined). For aluminum clad fuel, decay heat not to exceed either of the following: 630 watts per package, 30 watts per cell.

(c) Criticality Safety Index (CSI):

For the contents described in 5(b)(1)(i), 5(b)(1)(ii) (except byproduct material), and 5(b)(1)(iii); and limited in 5(b)(2)(i), 5(b)(2)(ii), and 5(b)(2)(iii), the CSI is 100.

For the contents described in 5(b)(1)(iv), 5(b)(1)(v), 5(b)(1)(vi), and byproduct material from 5(b)(1)(ii); and limited in 5(b)(2)(iv), 5(b)(2)(v), 5(b)(2)(vi), and 5(b)(2)(ii), the CSI is 0.0.

(d) Conditions:

- (1) Plutonium in excess of twenty curies per package must be in the form of metal, metal alloy or reactor fuel elements.
- (2) The U-235 equivalent mass is determined by U-235 mass plus 1.66 times U-233 mass plus 1.66 times Pu mass.
- (3) Bolt torque: The cask lid bolts must be torqued to 690 ft-lbs. (lubricated). The bolts used to secure the top of the overpack to the overpack base must be torqued to 100 ft-lbs. (dry).
- (4) For any package containing organic or inorganic substances which could radiolytically generate combustible gases, determination must be made by tests and measurements or by analysis of a representative package such that the following criteria are met over a period of time that is twice the expected shipment time.
 - (i) The hydrogen generated must be limited to a molar quantity that would be no more than 5% by volume (or equivalent limits for other inflammable gases) of the secondary container gas void if present at standard temperature and pressure (i.e., no more than 0.063 g-moles/ft³ at 14.7 psia and 70°F); or

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- (ii) The secondary container and cask cavity must be inerted with a diluent to assure that oxygen must be limited to 5% by volume in those portions of the package that could have hydrogen greater than 5%.

For any package delivered to a carrier for transport, the secondary container must be prepared for shipment in the same manner in which determination for gas generation is made. Shipment period begins when the package is prepared (sealed) and must be completed within twice the expected shipment time

- (5) For any package containing materials with a radioactivity concentration not exceeding that for low specific activity material, and shipped within 10 days of preparation, or within 10 days after venting of drums or other secondary containers, the determination in Condition 4 above need not be made, and the time restriction in Condition 4 above does not apply.
- (6) Prior to each shipment (except for contents meeting the requirements of special form radioactive material), the package must be leak tested to 1×10^{-3} std. cm^3/sec . Prior to first use, after the third use, and at least once within the 12-month period prior to each subsequent use, the package must be leak tested to 1×10^{-7} std. cm^3/sec .
- (7) The cask must be vacuum dried prior to shipment if contents are loaded under water, or if water is introduced into the cask cavity. During shipments for which vacuum drying is performed, the cask cavity must be filled with helium.
- (8) In addition to the requirements of Subpart G of 10 CFR Part 71:
- Prior to each shipment the cask seal must be inspected. The seal must be replaced with a new seal if inspection shows any defects or every 12 months, whichever occurs first; and
- Each package must meet the Acceptance Tests and Maintenance Program of Chapter 8 of the application, except that inspections in Section 8.2 of the application must be performed at least once within the 12-month period prior to each use; and
- The package must be prepared for shipment and operated in accordance with the Operating Procedures of Chapter 7 of the application.
- (9) Appropriate carrier racks or shoring must be provided to minimize movement of contents during accident conditions of transport.
- (10) Each batch of ethylene propylene seals must be tested in accordance with Section 8.1.4.2 of the application.
- (11) Fissile mass limits for reactor fuel are based on fissile mass prior to irradiation.
- (12) The package shall be shipped in a vertical configuration. For the contents described in 5(b)(1)(v) and 5(b)(1)(vi), the package may be transported horizontally, with the top end of the package (closure end) facing the front (cab) of the truck.
- (13) Packagings must be marked with Package Identification Number USA/9228/B(U)F-96 (DOE).
- (14) Air transport of fissile material is not authorized
- (15) This certificate shall not be renewed until the Department of Energy (DOE) receives and approves a consolidated application.

(e) References

- (1) General Electric Company application dated December 12, 2000.
- (2) Supplements dated: December 20, 2000; March 16 and 27, 2001; March 22, 2002; and March 25, May 4, 5, and 23, July 28, 2005, January 25, 2006, January 19, 2007; February 14, 2011; October 10, 2012; July 1, 2013, November 15, 2013, November 22, 2013; and November 27, 2013.
- (3) SC-ORO Application to DOE Packaging Certification Program dated July 1, 2015, *Re: request for CoC conversion of GEH Model 2000 cask (Docket 15-20-9228)* [email from Willaford to Shuler]



EM Environmental Management

safety ❖ performance ❖ cleanup ❖ closure

DOE Packaging Certification Program

PACKAGE CERTIFICATION APPROVAL RECORD

Certificate of Compliance Number 9228

Package Identification No. USA/9228/B(U)F-96 (DOE)

Model No. 2000

Docket 15-20-9228

The Department of Energy (DOE) Certificate of Compliance (CoC), Certificate Number 9228, Revision 0, Package Identification No. USA/9228/B(U)F-96 (DOE), for Model No. 2000, Serial Number 2003, is issued to authorize the package for shipments of DOE materials.

Revision 0 of DOE CoC 9228 is based on DOE's endorsement of Revision 26 of the Nuclear Regulatory Commission (NRC) CoC Number 9228.

The expiration date for DOE Certificate Number 9228, Revision 0, is August 31, 2020.

This certificate constitutes authority for DOE to use the Model No. 2000 package for shipment of the authorized contents under 49 CFR 173.7(d).

Frank Marcinowski
Headquarters Certifying Official
Deputy Assistant Secretary
for Waste Management

Date: 9/4/15