

EDO Principal Correspondence Control

FROM: DUE: 05/27/05

EDO CONTROL: G20050350
DOC DT: 04/22/05
FINAL REPLY:

Roy Zimmerman, NSIR

TO:

Exec. Team Members

FOR SIGNATURE OF : ** GRN **

CRC NO:

Reyes, EDO

DESC:

ROUTING:

New Executive Team Response Procedures
(Comments Due: 6/1/05)

Reyes
Virgilio
Kane
Silber
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Burns/Cyr

DATE: 05/10/05

ASSIGNED TO:

CONTACT:

EDO

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SPECIAL INSTRUCTIONS OR REMARKS:

Template: EDO-001

E-RIDS: EDO-01

MERSCHOFF
Dean



UNITED STATES
NUCLEAR REGULATORY COMMISSION

WASHINGTON, D.C. 20555-0001

April 22, 2005

MEMORANDUM TO: Executive Team Members
(See Attached List with Regional Administrators)
FROM: *for* Roy P. Zimmerman, Director *M. J. P. Water*
Office of Nuclear Security and Incident Response
SUBJECT: NEW EXECUTIVE TEAM RESPONSE PROCEDURE

PURPOSE

To obtain Executive Team (ET) and Regional Administrator (RA) review and comment on a draft ET Procedure for incident response by June 1, 2005.

BACKGROUND

As part of the improvement program on incident response, the Office of Nuclear Security and Incident Response (NSIR) staff hosted tabletop exercises with ET Members and RAs on January 11, 2005, and February 9, 2005. The purpose of the tabletop exercises was to validate and seek out potential improvements to existing incident response communications protocols that would enhance the effectiveness and timeliness of the U.S. Nuclear Regulatory Commission's (NRC's) incident response decision making.

In order to facilitate the exercises, NSIR staff summarized the Headquarters Operations Officer (HOO) notification procedures into a flowchart format, so that multiple event response scenarios could be addressed by following a single diagram. The abbreviated procedure format provides a functional, high-level overview of how the incident response notification process works.

In a related effort, NRC has implemented the National Response Plan (NRP). In December 2004, the Department of Homeland Security (DHS) issued the NRP, which is a national-level, all-hazards approach to domestic incident management. Consistent with the 120-day period to implement the NRP, the NRC revised Management Directive 8.2, "NRC Incident Response Program"; NUREG 0728, "NRC Incident Response Plan"; and selected headquarters and regional incident response procedures. Work on the implementing procedures is continuing, as reflected in this request for comments on the draft ET Response Procedure.

In SECY-05-0010, "Recommended Enhancements of Emergency Preparedness and Response at Nuclear Power Plants in the Post-9/11 Environment," the staff concluded that, while a nuclear plant accident resulting from a terrorist attack or security based event would not cause a faster release or larger source term than previously analyzed, the precursor events leading up to core damage at a reactor may occur at a different pace or sequence than experienced in other events. These potential variations to the classical NRC event response approach further highlighted the need for more flexible procedures that would allow effective response to a wide range of events.

DISCUSSION

When an event occurs at an NRC-licensed facility or involves NRC-licensed material, various levels of headquarters and regional decision makers will be notified depending on event severity and the potential threat to public health and safety. It is important for NRC decision makers to have procedures that will guide them in properly implementing the NRC Incident Response Plan.

- Procedure Layout

The attachment contains the draft ET Response Procedure. This procedure is designed to enable coordination between headquarters and regional decision makers to:

- Place the agency in the appropriate response mode for a given situation
- Coordinate and perform the appropriate actions once a response mode is entered
- Ensure agency compliance with the NRP and the Nuclear/Radiological Incident Annex

The staff attempted to make the ET Response Procedure more user-friendly and efficient by designing flowcharts that help ET Members and support staff properly accomplish the above objectives. Figure 1 in the procedure is a flowchart that guides the ET and support staff to place the NRC in the correct response mode based on incident conditions and considerations. Figures 2, 3, and 4 and their accompanying checklists guide the ET and support staff to perform the proper actions once a response mode decision is made, and, if necessary, ensure compliance with NRP requirements.

- New Response Modes

When evaluating existing response modes against the current threat environment, the staff identified significant shortcomings. The modes were developed following the Three Mile Island accident, and assumed a single licensee experiencing a severe accident due to equipment malfunction, component failure, or operator error. In such a situation, the NRC would only enter its highest response mode (EXPANDED ACTIVATION) upon arrival of an NRC regional site team at the incident location.

When considering today's potential terrorist or security-related events, which could involve simultaneous attacks on multiple licensees or a deliberate armed attack against one or more facilities or parts of the critical infrastructure, deploying a single NRC regional site team as part of the agency's highest level of response is not always practical or appropriate. In addition, the staff attempted to design response modes that would better communicate the agency's readiness posture to other Federal agencies and the public.

Therefore, the draft ET Response Procedure eliminates the former STANDBY response mode, and replaces the INITIAL ACTIVATION mode with ACTIVATION. ACTIVATION mode requires headquarters response teams to achieve minimum staffing requirements before the Headquarters Operations Center can be declared 'Activated.' EXPANDED ACTIVATION is still the agency's highest level of event response, and may or may not result in the deployment of a regional site team to the incident site. These new response modes are reflected in the draft ET Response Procedure.

REQUESTED ACTION

Please review the attached ET Response Procedure and provide your feedback and comments to Eric Thomas (ext1@nrc.gov, 301-415-6772) no later than June 1, 2005. Comments may be submitted via email, or by marking up and returning your hard copy of the procedure binder.

Attachment: Draft Executive Team Response Procedure

cc w/atts: W. Outlaw, DOC
K. Cyr, OGC
P. Lohaus, OSTP

Addressees - Memorandum Dated XX/XX/05

SUBJECT: MULTIPLE ADDRESSEE LIST

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James L. Caldwell, Regional Administrator	RGN-III	
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Executive Team

Response

Procedure

Eric Thomas
NSIR/DPR/IRD
415-6772

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1.0 PURPOSE

The Nuclear Regulatory Commission (NRC) Incident Response Program provides integration of the overall NRC capabilities associated with the planning and preparation for, response to, and recovery from radiological incidents and/or emergencies. The Program is focused on incidents involving nuclear/radiological facilities and materials licensed by the NRC or an Agreement State. However, the Program encompasses all incidents in which the NRC has a response role under its statutory authority or as part of the overall response roles of the Federal Government.

The Executive Team (ET) Procedures have two general purposes:

1. Guide the ET, and other members of the NRC's Incident Response Organization, to make correct and consistent decisions for declaring NRC Response Modes in response to incidents.
2. Once a Response Mode decision has been made, guide the ET, or NRC Monitoring Team, to carry out appropriate incident response actions.

2.0 SCOPE

2.1 Executive Team

The ET leads the agency's incident response efforts from the NRC's Headquarters Operations Center once the NRC enters the ACTIVATION or EXPANDED ACTIVATION response mode. The ET consists of the following personnel:

- Director (NRC Chairman or designee)
- Deputy Director (appointed by the Director, typically the Executive Director for Operations)
- Team Members (typically determined by the type of incident, usually consists of the Deputy Executive Directors of Operations, and Office Directors and Deputy Directors for the program offices)
- Advisory and Support Staff (responsibilities covered by separate procedures)

Additional members of the ET are assigned at the discretion of the ET Director. For an extended incident requiring long-term staffing of the ET, members of the Team may be relieved by other senior managers as authorized by the Director. Other Commissioners are kept informed of the incident by means of Technical Assistant monitoring and/or reports and/or briefings. Other Commissioners may assist the ET Director as requested. For an extended incident requiring long-term staffing of the ET, the ET Director may delegate his/her authority to another member of the ET.

2.2 Monitoring Team

The NRC Monitoring Team manages the Headquarters Operations Center activities when the NRC enters the MONITORING mode. The headquarters

Monitoring Team Leader (MTL) is an NRC manager who coordinates headquarters incident response activities prior to the activation of the Headquarters Operations Center. Depending on the nature of the incident, either headquarters or the affected region can lead the overall NRC incident response effort while the agency is in the MONITORING mode.

2.3 Procedure Usage and Background

2.3.1 Conditions

The ET Procedures will be entered when the NRC Headquarters Operations Center is notified of a situation, incident, or licensee emergency action level (EAL) declaration that meets the requirements of Figure 1. Such situations may result in an elevation of the NRC Response Mode to ~~MONITORING, ACTIVATION, or EXPANDED~~ **ACTIVATION**. Section 3 of these procedures provides a detailed description of each NRC Response Mode.

2.3.2 Entering the Procedures

Figure 1, "Response Mode Decision Flowchart," will be used in NRC headquarters to aid decision-makers in deciding which response mode the NRC should enter once informed of a situation, incident, or licensee declaration.

2.3.3 Checklists and Flowcharts

Appendices 1 through 6 are checklists that outline ET and MTL actions for the three NRC response modes. Separate checklists are provided for ET Members and ET Director/Deputy Director in the ACTIVATION mode.

These checklists are accompanied by flowcharts for each response mode. The flowcharts help delineate the responsibilities of all individuals associated with the ET.

2.3.4 Background

The ET Procedures, along with NRC headquarters and regional response team procedures, document the specific functions, responsibilities, and actions required of the team members in order to carry out the provisions of the NRC Incident Response Plan. The framework for team procedures is set forth in the following documents:

- Management Directive 8.2, "NRC Incident Response Program," -This document sets forth agency policy by specifying the organizational roles and responsibilities of headquarters and regional offices relative to incident management and response, and is applicable to all NRC

employees.

- NUREG-0728, "NRC Incident Response Plan," - This Plan reflects NRC policy related to incident management, governs the overall NRC response to incidents, and assigns responsibilities to assure that the NRC fulfills its statutory mission relative to incident response.

3.0 INSTRUCTIONS

3.1 Procedure Organization

3.1.1 Organization by Response Mode

The ET Procedures are organized by NRC Response Mode. Sections 3.2, 3.3, 3.4, and 3.5 contain narrative descriptions of each response mode, along with a description of the actions to be performed by the MTL or ET in each mode.

3.1.2 Organization by Function

The Figures and Appendices provide a quick reference for NRC decision-makers to use when deciding on a response mode, or carrying out the necessary action steps for a specific response mode. The Figures Appendices use two tools to facilitate these processes:

1. **Flowcharts** - Use entering conditions along with a series of questions and considerations to guide NRC decision-makers to the proper response mode declaration.
2. **Checklists** - For each response mode, provide position-specific actions to be carried out by members of the Executive Team, Monitoring Team, and support staff.

Note: Sections 3.2, 3.3, and 3.4 of the ET Procedures provide additional description and background of the steps in each checklist/appendix.

3.2 NORMAL Mode

3.2.1 Definition

The routine (i.e., "normal") state of NRC operations includes all activities designed to maintain incident response readiness (e.g., 24/7 staffing by Headquarters Operations Officers/Emergency Response Officers). In addition, the NRC is poised to respond at its alternate Continuity of Operations site. The regional offices are prepared to back up each other and headquarters. When warranted (e.g., during National Special

Security Events), the NRC may dispatch staff to the Homeland Security Operations Center (HSOC) and other sites to enhance coordination and communications.

3.2.2 Responsibilities

The ET is not involved in NRC incident response while in the NORMAL mode.

3.3 MONITORING Mode

3.3.1 Definition and Responsibilities

The NRC enters the MONITORING mode upon a decision by designated headquarters and regional managers. The MONITORING mode is a heightened state of readiness for incident information acquisition and assessment.

Throughout the MONITORING mode, the appropriate regional office usually assumes the NRC incident response lead. However, headquarters may assume the lead for terrorist-related incidents or for incidents that involve multiple licensees or multiple NRC regions. The regional office staffs its Incident Response Center to monitor the situation. Headquarters supports the region and may have specific individuals participating in monitoring and/or analysis activities, but the Headquarters Operations Center is not fully staffed and activated.

3.3.2 The Monitoring Team Leader

Once the decision is made to enter the MONITORING mode, the identity of the headquarters Monitoring Team Leader (MTL) will be made known to the affected Regional Administrator (RA) (or designee) as well as any ET members involved in the NRC response. The MTL need not remain in the Operations Center unless requested by the RA.

When the NRC is in the MONITORING mode, the Incident Response Directorate (IRD) Manager on Call will normally be designated as the Monitoring Team Leader (MTL), and lead the headquarters response effort. The MTL will remain in close communication with the region, and keep the ET updated on the situation. If requested, the ET member for the affected program office (Program Office Director and/or DEDO) will also be kept informed of the situation.

In general, the following guidelines will apply when assigning an MTL:

- **Reactor Incident or Materials Incident:** IRD Manager on Call
- **Terrorist/Security Incident:** IRD Manager on Call, Threat Assessment Section Chief, or another member of DNS management.

The IRD Manager on Call, ET Member(s), or managers from the affected Program Office may agree to assign a different individual (such as the NRR or NMSS Emergency Officer) to act as MTL due to the specific nature of an incident.

3.3.3 MONITORING Mode Actions

The following ACTIONS will be taken by the MTL in MONITORING mode (Refer to Appendix 1 checklist):

- MONITOR** the situation, and periodically **CONFER** with the RA. If the RA determines that an escalation to **ACTIVATION** is warranted, **CONTACT** an ET member to consult with the RA.

- CONSULT** the RA to determine headquarters tasks and personnel requirements while in **MONITORING**. Use the Headquarters Operations Officer (HOO)/Headquarters Emergency Response Officer (HERO) to request additional response personnel as needed.
- COORDINATE** a TA brief to inform the Commissioners, EDO, and program offices of the situation. The TA brief should normally be given by the RA or his/her representative, and coordinated through the HOO.
- DISCUSS** with the HSOC Senior Watch Officer whether preparations need to be made to send designated NRC personnel to the HSOC to act as NRC desk officers and/or Interagency Incident Management Group (IIMG) members. If needed, **DIRECT** the HOO to initiate an HSOC/IIMG staffing plan.

NOTE: Requests for staffing of the NRC HSOC desk officer and/or IIMG member will be communicated from the HSOC (typically the Senior Watch Officer)
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- LEAD** the **MONITORING** Team until formally relieved, or until incident termination. Be prepared to brief NRC officials, who may contact or visit the Operations Center for status reports.
- Promptly **CONTACT** the HSOC in any of the following situations to discuss the possible declaration of an Incident of National Significance:
 - Credible terrorist threat at an NRC-licensed facility
 - Actual terrorist attack against an NRC-licensed facility
 - Credible terrorist threat using NRC-licensed material
 - Actual terrorist attack using NRC-licensed material
 - Licensee event declaration at the level of Site Area Emergency or General Emergency

3.4 ACTIVATION Mode

3.4.1 Definition and Responsibilities

The NRC enters the ACTIVATION response mode if an incident is sufficiently complex or uncertain that it warrants extensive analysis and evaluation by the agency, if it warrants consideration for sending a NRC site team to the vicinity of the incident, or if the incident involves terrorist activities. In the ACTIVATION mode, the lead for agency response shifts from the region to headquarters.

The Headquarters Operations Center is partially staffed by headquarters response teams under the leadership of a partially-staffed Executive Team. The regional office continues staffing of its Incident Response Center and, for a licensee-specific incident, may identify a site team to travel to the licensee's site or the vicinity of the incident (e.g. transportation incident). Headquarters and the regional office maintain continuous communication, evaluate available information, make appropriate notifications, and prepare for escalation of the NRC's response should it be necessary.

The ET Director will decide which ET members are required in the Operations Center for the incident response. In general, ET members will be assigned based on their program office, and their prior experience and expertise as it relates to the current situation. The minimum required ET staffing for ACTIVATION Mode is two qualified ET Members, one of whom should be the Chairman (or designee). If the Chairman (or designee) is available via phone, and two qualified ET Members are present in the Operations Center, this is also acceptable for minimum staffing purposes.

Headquarters response teams will report to the ET when they meet minimum staffing requirements. When the ET and all required response teams are at the minimum required staffing (as defined by individual response team procedures), the Headquarters Operations Center is declared "Activated."

3.4.2 ACTIVATION Mode Actions

The following ACTIONS should be coordinated by the Monitoring Team Leader (MTL) and/or the first ET Member to arrive in the Operations Center in ACTIVATION mode (refer to Appendices 2 and 3 checklists):

- DIRECT** the HOO/HERO to summon the Executive Team, and other appropriate response teams to the Operations Center. The HOO should **ASCERTAIN** the expected arrival times of ET members and other key response personnel (i.e. - Team Leaders and Team Coordinators).

- DETERMINE** status of headquarters capabilities to carry out NRC minimum essential functions.

NOTE: Minimum essential functions - Functions necessary to minimize immediate threats to public health and safety or common defense and security by responding to safety or security-related problems involving regulated activities and emergency decisionmaking functions.

The NRC Continuity of Operations (COOP) Plan lists the agency activities associated with the minimum essential functions .

-
- If headquarters is unable to carry out the agency's minimum essential functions, then the ET/MTL should consider **ACTIVATING** the COOP Plan.
 - CONFER** with the Regional Administrator (RA) or their designee:
 - **DISCUSS** status of headquarters and regional capabilities to carry out their minimum essential functions
 - **ENSURE** the region is preparing a site team if needed
 - **BRIEF** the Regional Administrator (or designee) using the latest information from the headquarters response teams:
 - Status of the facility and the most important problems being addressed
 - Status of protective actions, if any
 - If an Incident of National Significance is declared, address items listed in the "NOTE" box below
 - Status of HSAS Threat Level - any expected changes
 - Existence of a terrorist threat, and any mitigating actions
 - CONFIRM**, with the Status Officer or HOO/HERO, that all pre-planned notifications are underway, and that a Status Summary is compiled containing:
 - Current licensee emergency classification
 - Current NRC response mode
 - Basis for classification and response mode
 - Current response activities
 - DECLARE** NRC headquarters to be "Activated" once minimum staffing requirements are met by the ET and all required headquarters response teams.

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| NOTE: | <p>If the Secretary of Homeland Security declares an Incident of National Significance, the following activities can be anticipated:</p> <ul style="list-style-type: none">● DHS may establish a Joint Field Office (JFO) in the vicinity of the incident to coordinate Federal assistance to affected jurisdictions.● JFO activities will be directed by the JFO Coordination Group, led by the Principal Federal Official (PFO).● The NRC, as a Coordinating Agency or Cooperating Agency under the National Response Plan (NRP) Nuclear/Radiological Incident Annex, supports the PFO with JFO staffing appropriate to the specific incident.● As determined by the incident, NRC staffing at the JFO may include the Senior NRC Official and technical/support staff.● The Stafford Act may be invoked if the President declares a major disaster or emergency. |
|--------------|---|

- CONTACT** DHS Secretary and/or IIMG Director to discuss the following, if necessary [Points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]:
 - Declaration of an Incident of National Significance
 - Need for NRC desk officer support to the Homeland Security Operations Center (HSOC)
 - Need for an NRC Interagency Incident Management Group (IIMG) representative.
- BRIEF** the ET Director and Deputy Director upon their arrival in the Operations Center.
- APPROVE** Status Summaries and Press Releases (ensure a review by the ET Director if he/she is present)
- INFORM** the Commissioners, or their TA's, of NRC response activities as the situation dictates.

The following **ACTIONS** are of a recurring nature, and should be continually carried out by ET Members during **ACTIVATION** mode:

- ENSURE** the NRC is fulfilling its statutory roles:
 - **REVIEW** ET Director/Deputy Director checklist for **ACTIVATION**, and make recommendations to the Director.
- REVIEW** and **APPROVE** Status Summaries and Press Releases if specifically appointed.

- ASSIGN** additional resources to the headquarters response effort, if needed.
- PREPARE** an ET rotation schedule for a protracted event if an extended response is likely.
- ENSURE** technical teams provide a shift a rotation schedule for a protracted event if an extended response is likely.
- CONFER** with the technical team directors to ensure their briefings will satisfy the ET's needs. Use the following guidance:
 - What is the most important problem now?
 - ~~What is the potential risk to the public?~~
 - What is the licensee doing to solve the problem?
 - Is the solution working?
 - What is the prognosis?
 - What has changed since the last briefing?
 - What single failure could seriously degrade safety?
 - What other current/potential problems are your team monitoring?
 - What ET actions are needed? E.g.:
 - Confer with State/local/tribal/Federal officials?
 - Confer with the licensee/regional leadership?
 - Request support from other agencies?
 - Provide NRC support to Federal Response Facilities (i.e.- IIMG, HSOC, Joint Field Office)?
- ACT** as NRC News Center Spokesperson if appointed by the ET Director.
 - Provide an overview of the NRC role and Federal response.
 - Ensure that there is no release of pre-decisional, classified, or safeguards information, or of information that is within the responsibilities of State or local authorities.
 - Decide how and when to end the briefing.
 - If an Incident of National Significance has been declared, and/or a Joint Field Office/Joint Information Center (JIC) stood up, NRC press releases should be coordinated with the DHS/JIC.

NOTE: The function of the News Center spokesperson is to lead the briefing. The Liaison Team will provide a technical briefer who will stay, if necessary, when the News Center spokesperson leaves.

The following ACTIONS should be carried out by the ET Director during ACTIVATION mode:

- REPORT** to the Operations Center:
 - **INFORM** other ET members if you will be delayed by calling 301-816-5100
 - **ENSURE** that the ET members present in the Operations Center know that they can contact you by phone or keep you on the line if you are needed to exercise Commission authorities.

- RECEIVE** an initial briefing by site, regional, or headquarters personnel, depending on the nature and progression of the incident. Recommended briefing content:
 - Licensee events
 - Plant name
 - Emergency classification and basis
 - Event description
 - Plant systems out of service
 - Current plant status
 - Protective actions recommended by the licensee, with reasons
 - Names and phone numbers of licensee positions, including official responsible for recommending protective actions

 - National-level or Terrorist Response
 - National, local, and NRC situations (scope of threat - i.e general nation-wide terrorist threat, or NRC-specific)
 - Threat Information
 - Status of other agencies
 - Names, locations, contact information for National Response Plan (NRP) officials and facilities
 - Safeguards status and physical security of licensees
 - Specific security events
 - Interagency issues involving NRC

- REVIEW and APPROVE** Status Summaries and Press Releases. Ensure other Commissioners are kept informed.
- RECEIVE** the following briefs:

CAUTION: The NRC should NOT recommend protective actions to offsite officials unless requested, or unless there is serious disagreement with those recommended by the licensee or those taken by offsite officials. If possible, resolve differences with the licensee, who is required to recommend actions to offsite officials.

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- **Periodic technical and safeguards briefings from respective team leaders**
 - What is the most important problem now?
 - What is the potential risk to the public?
 - What is the licensee doing to solve the problem?
 - Is the solution working?
 - What is the prognosis?
 - What has changed since the last briefing?
 - What single failure could seriously degrade safety?
 - What other current/potential problems are your team monitoring?
 - What ET actions are needed? E.g.:
 - Confer with State/local/tribal/Federal officials?
 - Confer with the licensee/regional leadership?
 - Request support from other agencies?
 - Provide NRC support to Federal Response Facilities (i.e.- IIMG, HSOC, Joint Field Office)?
 - **Public Affairs Team:**
 - Licensee/State/local press releases
 - Press releases from other Federal agencies
 - Media interest
 - Availability of website information
 - **Liaison Teams:**
 - Agencies supplying representatives to the Headquarters Operations Center, particularly DHS/FEMA, DOE, EPA, HHS, USDA, Whitehouse, FBI.
 - Activities of State and other Federal Organizations
 - Confirmation of pre-planned initial contacts with governors or other principal decision-makers in the affected State(s).

- Whitehouse, Congressional, and international interest

CAUTION: If discussing COOP/COG, or other classified information, this call should be placed over a secure line.

- **CONFIRM** NRC's status as Coordinating Agency (leading the Federal response) or Cooperating Agency (supporting the Federal Response) under the NRP and the Nuclear/Radiological Incident Annex. [Points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]

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- **ASCERTAIN** whether DHS will declare an Incident of National Significance.

NOTE:

1. An Incident of National Significance will normally be declared when an NRC licensee reports a General Emergency under their emergency action levels (EALs), and there is no terrorism aspect to the incident.
2. An Incident of National Significance would also be declared if a licensee reports an Alert, Site Area Emergency, or General Emergency resulting from a terrorist incident.
3. For licensees without Emergency Plans, any terrorist incident will be evaluated by NRC and DHS to determine whether it exceeds the Incident of National Significance threshold.

- **ASCERTAIN** whether NRC support is needed at the HSOC to provide an NRC desk officer or an NRC IIMG member.
 - If a JFO is being established, **DETERMINE** what representation the NRC will provide.
 - **DISCUSS** any COOP/COG activities that will be required.
 - **DISCUSS** any other special support that the NRC requires, or that the NRC must provide.
- **RECEIVE** calls from State, Federal, and International authorities.
 - **ENSURE** notification of IAEA and other international organizations, if necessary.

NOTE: The IAEA and Canada are already on distribution for all NRC Status Summaries and press releases throughout an incident.

- **REVIEW** any official statements to be issued.
 - **DIRECT** the Liaison Team to notify the IAEA and any affected countries if there is an actual or potential release across a border that is of "radiological safety significance."
- APPOINT** a News Center Spokesperson (preferably the ET Director or another ET member) to:
- Provide an overview of the NRC role and Federal response.
 - Ensure that there is no release of pre-decisional, classified, or safeguards information, or of information that is within the responsibilities of State or local authorities.
 - Decide how and when to end the briefing.
 - If an Incident of National Significance has been declared, and/or a Joint Field Office/Joint Information Center (JIC) stood up, NRC press releases should be coordinated with the DHS/JIC.

NOTE: The function of the News Center spokesperson is to lead the briefing. The Liaison Team will provide a technical briefer who will stay, if necessary, when the News Center spokesperson leaves.

- ACTIVATE** the News Center to conduct media briefings. Consider the following in your decision to activate the News Center:
- Recommendations of the Public Affairs Liaison
 - ET Members' perceptions of a need to be proactive
 - Prior coordination with the JFO, JIC, and PFO to ensure unified and consistent news messages are being released to the public.

3.5 EXPANDED ACTIVATION Mode

3.5.1 Definitions and Responsibilities

The NRC escalates to the EXPANDED ACTIVATION mode if the incident severity and/or situation uncertainty warrants the agency's full response capabilities. EXPANDED ACTIVATION may be initiated in response to a facility-specific incident at a licensee's site, incident(s) involving multiple licensees' facilities, terrorist-related incidents, and/or other incidents in

which the full capabilities of the NRC are needed to support the overall Federal response.

3.5.2 Headquarters Lead

NRC headquarters may continue to lead the agency's response in the EXPANDED ACTIVATION mode. The ET Director leads the agency response, and the Headquarters Operations Center is activated and fully staffed by the response teams. Response team membership is tailored to the specific incident. The affected regional office Incident Response Center is fully staffed. Other regional offices are alerted and may partially staff their Incident Response Centers or provide resources and/or personnel to the NRC site team.

Situations where headquarters may continue to lead the NRC response in EXPANDED ACTIVATION mode include:

- Multiple incidents occurring simultaneously within the same region or across multiple regions
- A single incident (weather, natural disaster, terrorist threat or act) affects multiple sites within the same region or across multiple regions
- The nature of the incident (bad weather, physical threat to NRC personnel, etc) makes it impractical to send a site team.

3.5.3 Regional Lead/Site Team

For an incident at a nuclear power plant or nuclear facility, the EXPANDED ACTIVATION mode may involve dispatch of an NRC Site Team to the licensee's site under the leadership of the RA (or designee). The RA (or designee) is designated the Site Team Director and is delegated specific authorities by the ET Director to lead NRC response activities. Appendix 7 is the "Confirmation of Site Team Director" form, and is used by the ET Director to officially delegate authorities to the Site Team Director as necessary.

For this type of incident, the focus of NRC response is at the licensee's site, and the site team may have the lead for agency response. The Site Team Director assumes supervision of NRC personnel, represents NRC in interactions with other agencies and the news media, and decides what response actions must be taken at the site, consistent with delegated authority. The Site Team Director may be delegated the following:

- Authority to act as a Senior NRC Official for an integrated response under the National Response Plan
- Authority to recommend actions to the licensee or other NRC-regulated entity
- Authority to recommend offsite actions, where necessary, either confirming the licensee's recommendation or providing additional NRC recommendations
- Authority to represent the NRC as primary spokesperson

concerning Coordinating Agency issues at the site

NOTE: Though the Site Team Director is delegated some or all of the above authorities, the ET Director remains the senior NRC authority responsible for all agency actions and for the NRC's role as Coordinating Agency under the NRP

3.5.4 Executive Team Actions during EXPANDED ACTIVATION

When an NRC site team is **not deployed** from the regional office, the actions of the ET Director, Deputy Director, and other ET Members ~~during EXPANDED ACTIVATION mode are the same as those listed for~~ the ACTIVATION mode. If the incident is ongoing and requires continued ET presence in the Headquarters Operations Center, then the ET Director will put in place the necessary delegations of authority, and decide on an appropriate rotational schedule of the ET Members in order to maintain required staffing levels.

The ACTIVATION MODE procedure explains that, when an incident at a NRC licensee's site is sufficiently complex or uncertain that it warrants extensive analysis and evaluation by the agency, the affected region will begin to make preparations to send an NRC Site Team to the licensee's location. The decision of whether to prepare and send a site team from the region should be made by the ET Director, in coordination with the RA.

The ET Director will formally delegate certain authorities to the Site Team Director **prior to** the site team's departure to the affected site. Upon arrival at the site, the Site Team Director will assess the situation, and, once his/her team is fully briefed by the licensee and headquarters, will notify the ET Director that he/she has assumed the lead for the NRC response in accordance with the ET Director's delegation of authorities. Once this occurs, the Site Team Director becomes the leader of the NRC's incident response efforts at the site.

3.5.5 EXPANDED ACTIVATION mode Actions for Site Team Transition

The following ACTIONS should be carried out by the ET Director in order to effect a successful transition of authority to the Site Team Director (refer to Appendix 6 checklist):

- APPOINT** the Site Team Director to lead the NRC's local incident response effort **prior to** the Site Team's departure from the region.

NOTE: The Site Team Director is appointed **prior to his/her** departure for the incident site. While the Site Team is in transit, the ET Director will retain overall leadership of the NRC response. Upon arrival at the site, the Site Team Director will assess the situation, and, when ready, assume leadership of the NRC response at the incident site.

NOTE: Appointing the Site Team Director **prior to departure** allows him/her increased flexibility upon arriving at the incident site, and reduces administrative burden on the Site Team.

NOTE: Appoint the Site Team Director person-to-person, not via a third party, in order to ensure that the Site Team Director is clear about the authorities delegated.

NOTE: Regardless of what operational authorities are delegated, the ET Director remains the senior NRC authority ultimately responsible for all agency actions.

- Use the "Confirmation of Site Team Director Appointment" form in Appendix 7 to **DELEGATE** specific operational authorities to the Site Team Director.
- COMMUNICATE** with the Site Team Director upon the team's arrival at the incident site.
 - **UPDATE** on event progress/details
 - **CONFIRM** the need for the Site Team to report to the site and lead the NRC response.
 - **PREPARE** the Site Team Director for his/her arrival meeting with the licensee.
- COMMUNICATE** with the Site Team Director after arrival at the site and first briefing with the licensee.
 - **UPDATE** on event progress/details
 - **ENSURE** Site Team members have been briefed by their headquarters counterparts (should be confirmed via Site

- Team Leader and Headquarters Team Directors).
● **ENSURE** Site Team Director is prepared to assume operational authority for the categories that the ET Director chooses to delegate.
- For Incidents of National Significance, **DIRECT** the Regional Administrator (or designee) to appoint an NRC regional manager to serve as the Senior NRC Official in the JFO Coordinating Group.

NOTE:	The Senior NRC Official will be either a regional or headquarters SES-level manager, who will represent the NRC at the JFO. <u>The Senior NRC Official should be accompanied by members of the regional technical staff, who will also become part of the JFO organization.</u>
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- **DIRECT** that any NRC staff at the HSOC/IIMG be informed of the following:
 - Appointment of the Site Team Director, and what authorities have been delegated
 - Status of NRC staff appointments to the JFO.
 - Current or pending changes in the NRC Response Mode.

4.0 **DEFINITIONS**

Incident of National Significance - An actual or potential high-impact incident that requires a coordinated and effective response by and appropriate combination of Federal, State, local, tribal, non-governmental, and/or private-sector entities in order to save lives and minimize damage, and provide the basis for long-term community recovery and mitigation activities.

NOTE:	Section 3.3.2 of this procedure defines potential Incident of National Significance scenarios for NRC licensees.
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Homeland Security Operations Center (HSOC) - Primary national-level hub for operational communications and information pertaining to domestic incident management. Facilitates homeland security information-sharing and operational coordination with other Federal, State, local, tribal, and non-governmental emergency response organizations.

HSOC Desk Officer - NRC staff-level representative provided to the HSOC on a situational basis to provide integrated subject matter expertise and reach-back capability to meet the demands of a wide range of potential incidents.

Interagency Incident Management Group (IIMG) - Consists of management-level senior representatives from DHS components, other selected Federal departments/agencies, and selected State/local government agencies. The IIMG is convened by DHS during Incidents of National Significance, and its members officially represent, and provide time-sensitive reach-back to, their respective agencies.

Joint Field Office (JFO) - A temporary Federal facility established to coordinate Federal assistance to the affected jurisdiction(s). Provides a central location for Federal, State, local, tribal, non-governmental, and private sector organizations with primary responsibility for incident support and coordination. NRC support to the JFO will be determined by the incident, and consist of a regional or headquarters manager and a technical support team.

Senior NRC Official - Usually an NRC regional manager, preferably at the SES level, who represents the NRC in the JFO Coordination Group.

Principal Federal Official (PFO) - The Federal official designated by the Secretary of Homeland Security to act as their representative locally to oversee, coordinate, and execute the Secretary's incident management responsibilities under HSPD-5.

Stafford Act - Provides the basis for Federal assistance to State and local governments impacted by a significant disaster or emergency.

5.0 REFERENCES

NUREG-0728, Rev. 4, "NRC Incident Response Plan", March 2005.

National Response Plan, January 2005, Department of Homeland Security

Figure 1: Response Mode Decision Flowchart

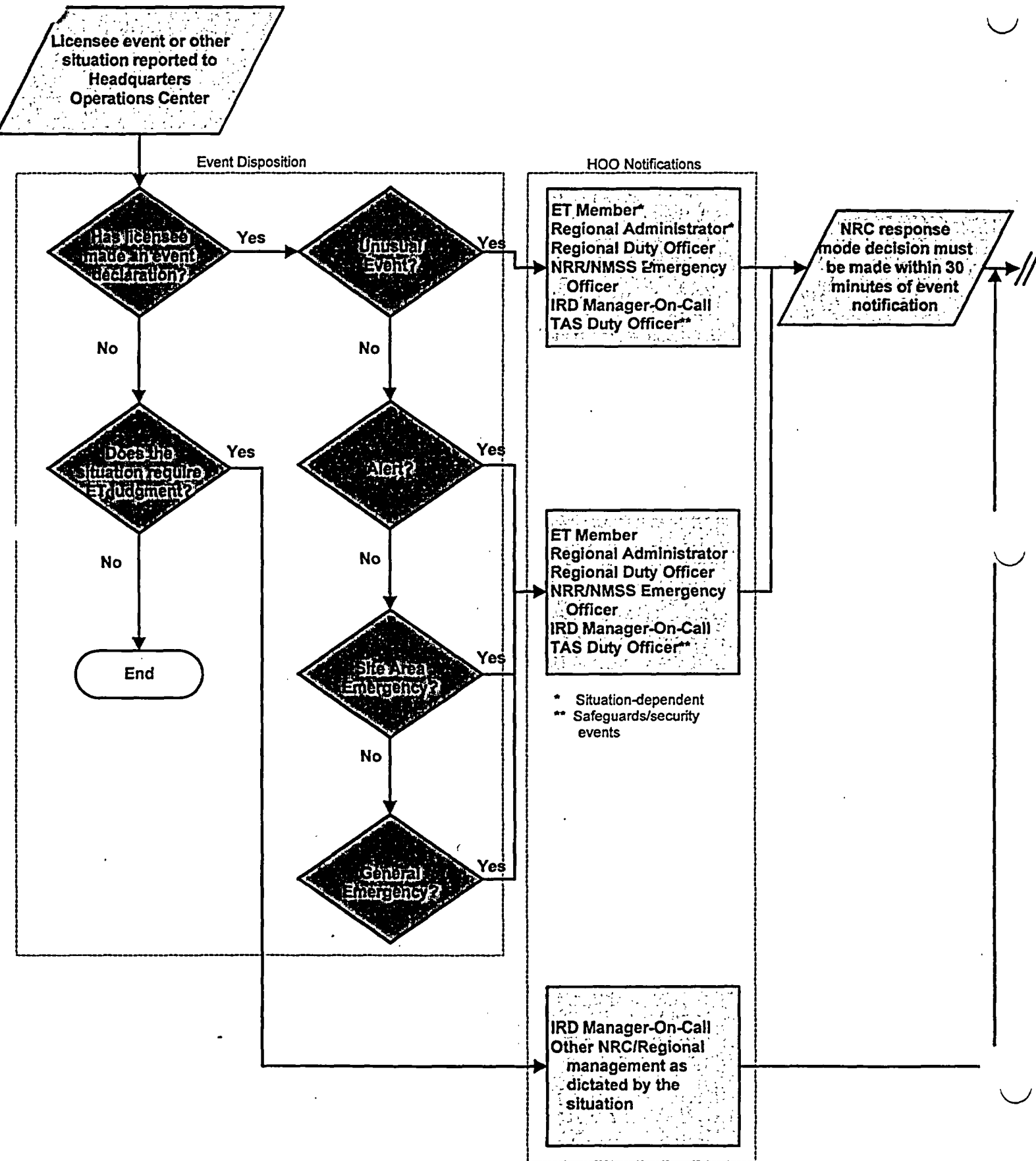
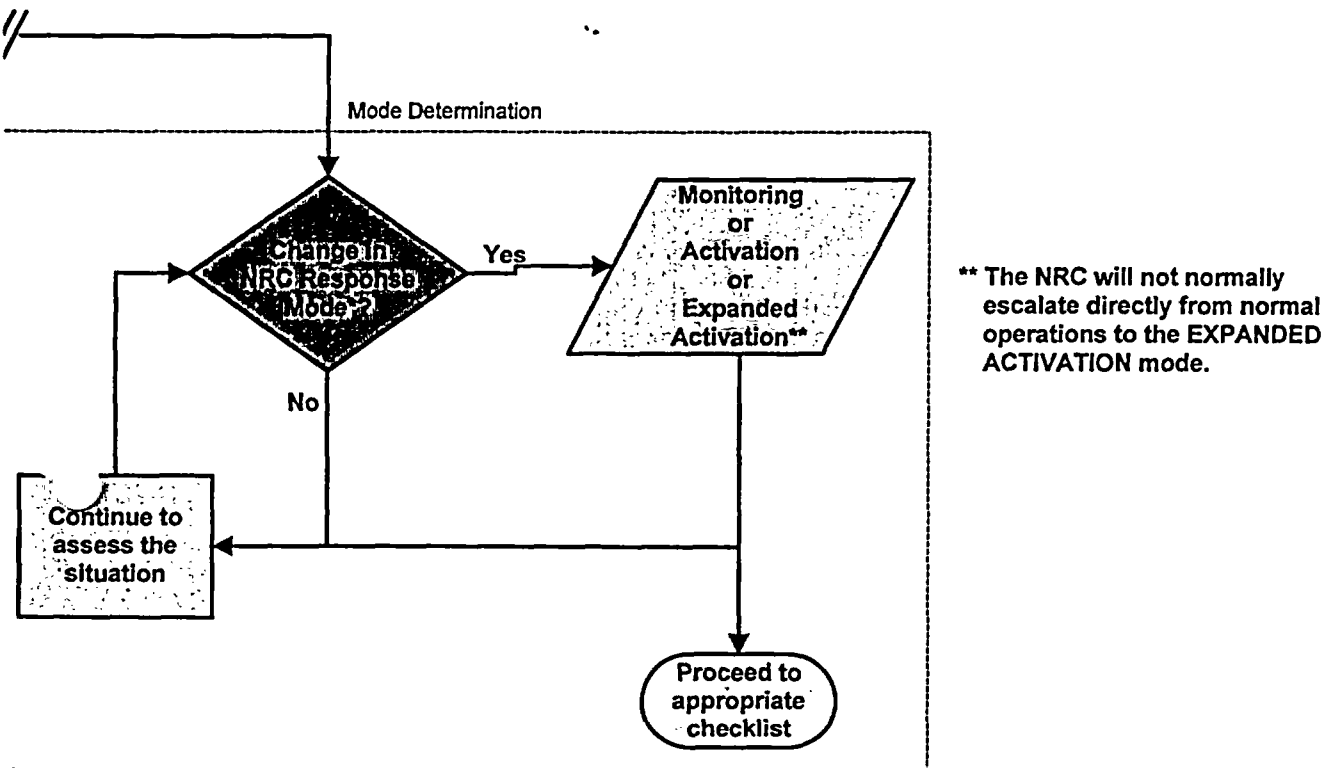


Figure 1: Response Mode Decision Flowchart



** The NRC will not normally escalate directly from normal operations to the EXPANDED ACTIVATION mode.

- * Licensee information to consider when changing Response Mode:**
1. Licensee's event classification
 2. Confusing/conflicting information received from a licensee
 3. Is the event ongoing, or of a temporary nature?
 4. Can licensee articulate conditions required to terminate the event?
 5. Is release likely/has release occurred?
 6. Status of Protective Action Recommendations?
 7. Is licensee likely to raise event classification?
 8. What uncertainties exist?
 - Weather-related event?
 - Status of standby systems?
 - Terrorist-related?
 - Press Releases
 - Offsite assistance requested
 11. TSC/EOF activation
 12. Need for NRC Site Team
 13. Executive Team Judgment

- * Other Considerations for NRC Response Mode declaration/escalation:**
1. Change in HSAS Threat Level
 2. Incident of National Significance declaration in another sector
 3. NRC involvement as a Cooperating Agency per the NRP
 4. Radiological Incident information reported by a non-licensee
 5. Request from a State for NRC assistance
 6. RAM QC-related incident
 7. Transportation event
 8. RDD/WMD event involving an NRC-licensed source
 9. Executive Team judgment

Appendix 1: MONITORING Mode Checklist for Monitoring Team Leader

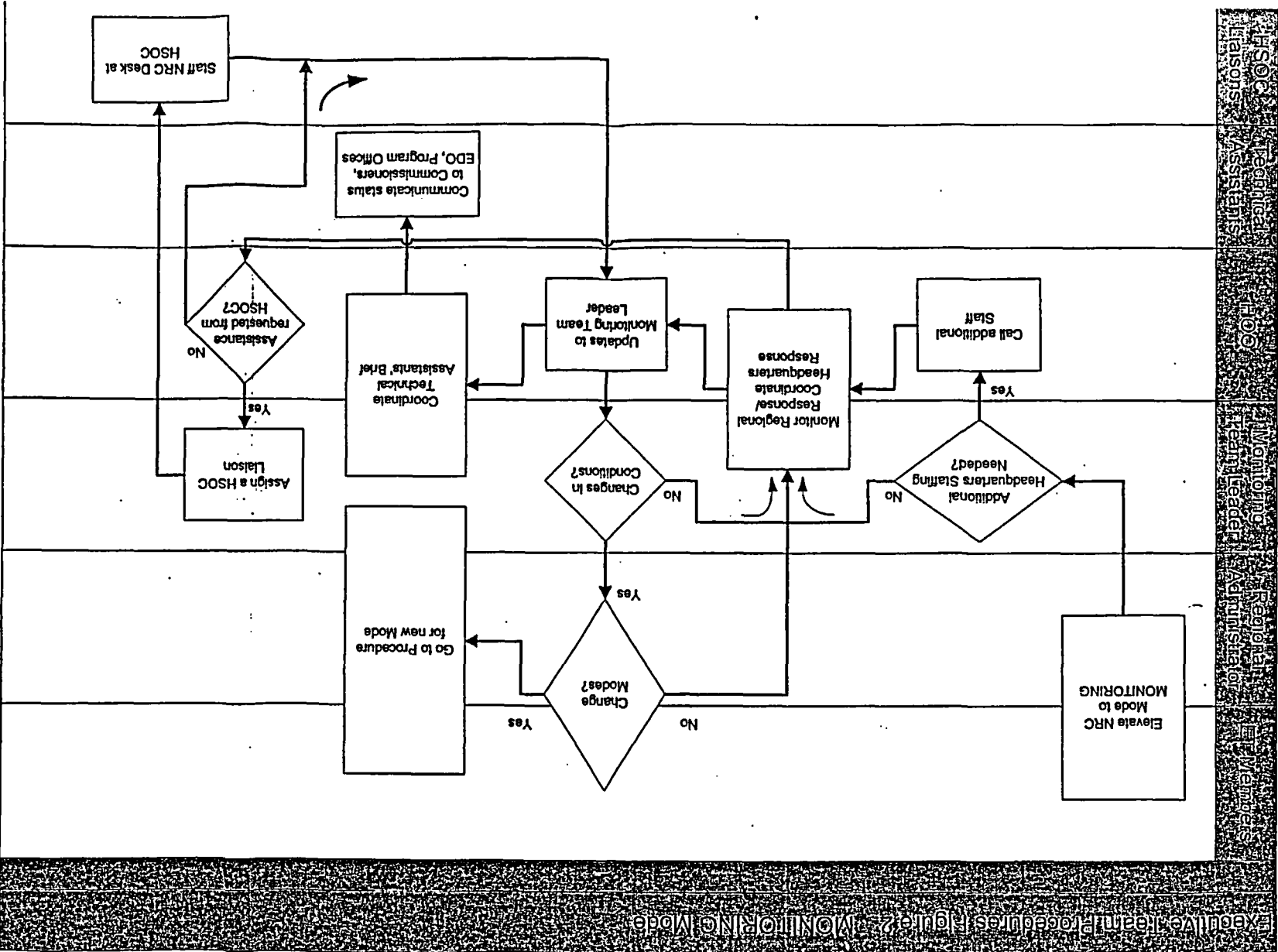
NOTE: The Region normally leads the NRC Incident Response during MONITORING
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ACTIONS of the Monitoring Team Leader*

- MONITOR** the situation, and periodically **CONFER** with the Regional Administrator (RA). If the RA determines that an escalation to **ACTIVATION** mode is warranted, **CONTACT** an ET Member to consult with the RA.

- CONSULT** with the RA to determine any headquarters tasks and personnel requirements during MONITORING
- COORDINATE** a TA brief to inform Commissioners, EDO, and Program Office Directors
- DISCUSS** with the HSOC Senior Watch Officer whether preparations are needed to staff the NRC desk officer or IIMG representative positions at the HSOC
- LEAD** the headquarters response until formally relieved, or until event termination
- CONTACT** the HSOC immediately if the situation approaches the threshold for an Incident of National Significance (see Section 3.3.3 for specific criteria)

* For a more detailed description of ACTIVATION mode actions, refer to Section 3.3



HSOC Liaisons
 Regional Assistants
 HSOC
 Monitoring Team Leader
 Regional Administrator
 Regional Members

Appendix 2: ACTIVATION Mode Checklist for ET Member

NOTE: Headquarters normally leads the NRC Incident Response during ACTIVATION
--

ACTIONS of an ET Member*

Initial ACTIONS:

- DIRECT** the HOO/HERO to summon the Executive Team, and other appropriate response teams/members to the Operations Center
- DETERMINE** status of Headquarters capabilities to carry out NRC minimum essential functions
- If Headquarters is unable to carry out the Agency's minimum essential functions, then the ET/MTL should consider **ACTIVATING** the COOP Plan.
- CONFER** with the RA or their designee
 - **DISCUSS** status of Headquarters/Regional capabilities to carry out their minimum essential functions
 - **ENSURE** the region is preparing a site team if needed
 - **BRIEF** the RA (or designee) using the latest information from the Headquarters response teams
- CONFIRM**, with the Status Officer or HOO/HERO, that all pre-planned notifications are underway or completed, and that a Status Summary is compiled.
- DECLARE** NRC Headquarters to be "Activated" once minimum staffing requirements are met by the ET and all required Headquarters support teams.
- CONTACT** DHS Secretary and/or IIMG Director to discuss the following, if necessary. [DHS points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]
 - Declaration of an Incident of National Significance
 - Need for NRC desk officer support to the Homeland Security Operations Center (HSOC)
 - Need for an NRC Interagency Incident Management Group (IIMG) representative

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- BRIEF** the ET Director and Deputy Director upon their arrival in the Operations Center
- APPROVE** Status Summaries and Press Releases (ensure a review by the ET Director if he/she is present)
- INFORM** the Commissioners, or their TA's, of NRC response activities as the situation dictates

Ongoing ACTIONS:

-
- ~~ENSURE the NRC is fulfilling its statutory roles~~
 - REVIEW** and **APPROVE** Status Summaries and Press Releases if specifically appointed.
 - ASSIGN** additional resources to the Headquarters response effort, if needed
 - PREPARE** an ET rotation schedule for a protracted event if an extended response is likely.
 - ENSURE** technical teams provide a shift rotation schedule for a protracted event if an extended response is likely.
 - CONFER** with technical team directors to ensure their briefings will satisfy the ET's needs. (Note: additional guidance listed in Section 3.4.2)
 - ACT** as NRC News Center Spokesperson if appointed by the ET Director. (Note: additional guidance listed in Section 3.4.2)

* For a more detailed description of ACTIVATION mode actions, refer to Section 3.4

Appendix 3: ACTIVATION Mode Checklist for ET Director/Deputy Director

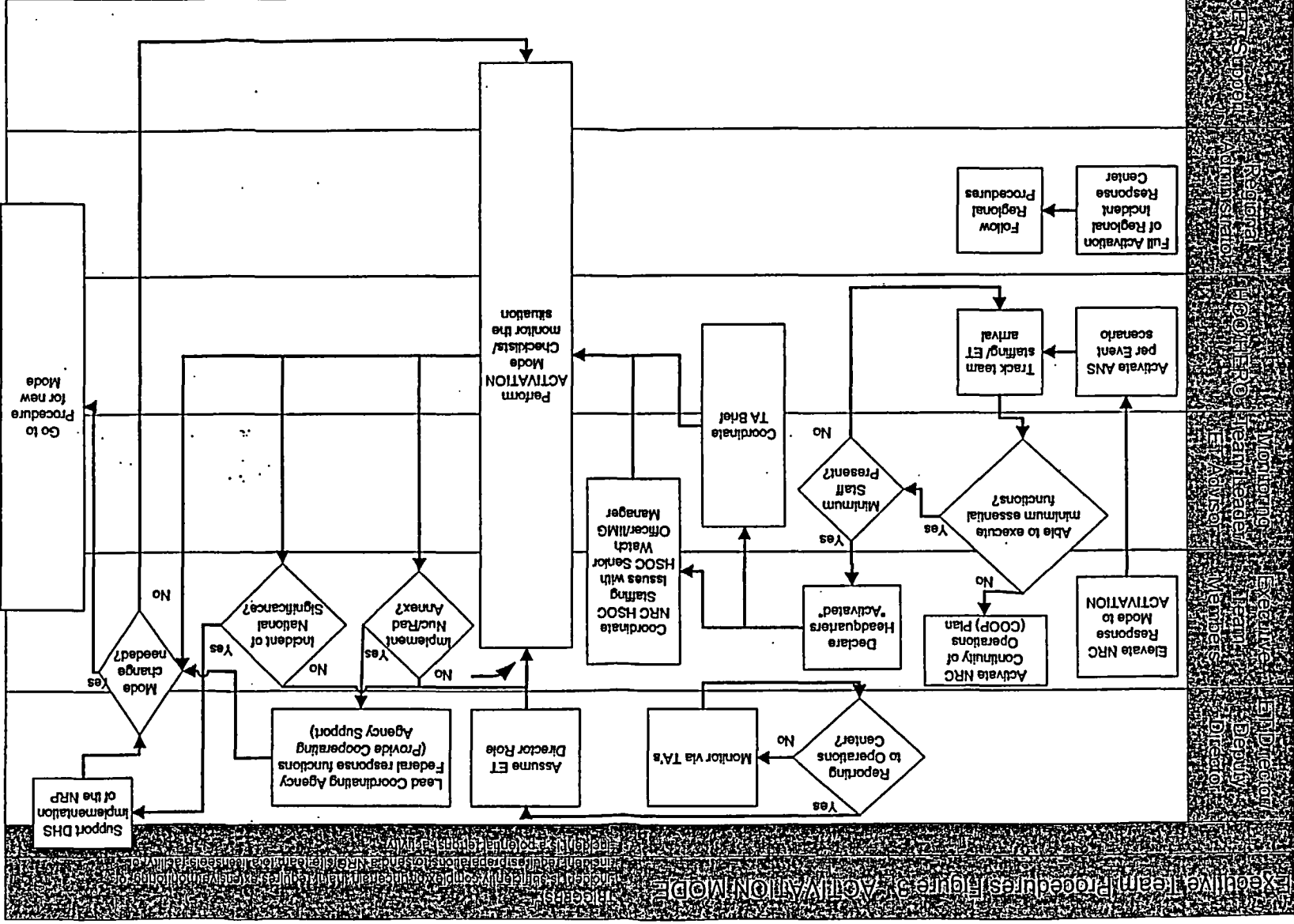
NOTE: Headquarters normally leads the NRC Incident Response during ACTIVATION
--

ACTIONS of the ET Director or Deputy Director*

- REPORT** to the Operations Center
- RECEIVE** an initial briefing by Site, Regional, or Headquarters personnel (Note: additional guidance listed in Appendix 2)

- REVIEW** and **APPROVE** Status Summaries and Press Releases. Ensure all Commissioners are kept informed.
- RECEIVE** briefings from Headquarters Response Teams (Technical Teams, Safeguards Team, Public Affairs Team, Liaison Team)
- CONFIRM** NRC's status as Coordinating Agency (leading the Federal response) or Cooperating Agency (supporting the Federal response) under the NRP and the Nuclear/Radiological Incident Annex. [DHS points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]
- RECEIVE** calls from State, Federal, and International authorities
- ENSURE** notification of the IAEA and other international organizations, if necessary
- APPOINT** a News Center Spokesperson, preferably yourself or another member of the ET.
- ACTIVATE** the News Center to conduct media briefings.

* For a more detailed description of ACTIVATION mode actions, refer to Section 3.4



Director, Deputy Director, Director
 Executive Team Manager
 Monitoring Team Leader, EIT Advisor, Manager
 Regional EIT Administrator
 Regional EIT Support Administrator

Appendix 4: EXPANDED ACTIVATION Mode Checklist for ET Member
(no Site Team deployed)

NOTES:	1.	If an NRC Site Team is not deployed to the incident site, Headquarters will normally lead the NRC Incident Response during EXPANDED ACTIVATION.
	2.	The Headquarters Operations Center will go to full staffing any time the agency escalates to EXPANDED ACTIVATION.
	3.	ET Member ACTIONS for EXPANDED ACTIVATION are identical to those for ACTIVATION.
	4.	See page 15 for examples of situations where Headquarters will retain the NRC lead during EXPANDED ACTIVATION

ACTIONS of an ET Member* (omit those steps that were completed during ACTIVATION)

Initial ACTIONS:

- DIRECT** the HOO/HERO to summon the Executive Team, and other appropriate response teams/members to the Operations Center
- DETERMINE** status of Headquarters capabilities to carry out NRC minimum essential functions
- If Headquarters is unable to carry out the Agency's minimum essential functions, then the ET/MTL should consider **ACTIVATING** the COOP Plan.
- CONFER** with the RA or their designee
 - **DISCUSS** status of Headquarters/Regional capabilities to carry out their minimum essential functions
 - **ENSURE** the region is preparing a site team if needed
 - **BRIEF** the RA (or designee) using the latest information from the Headquarters

response teams

- CONFIRM**, with the Status Officer or HOO/HERO, that all pre-planned notifications are underway or completed, and that a Status Summary is compiled.
- DECLARE** NRC Headquarters to be "Activated" once minimum staffing requirements are met by the ET and all required Headquarters support teams.
- CONTACT** DHS Secretary and/or IIMG Director to discuss the following, if necessary. [DHS points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]

-
- Declaration of an Incident of National Significance
 - Need for NRC desk officer support to the Homeland Security Operations Center (HSOC)
 - Need for an NRC Interagency Incident Management Group (IIMG) representative

- BRIEF** the ET Director and Deputy Director upon their arrival in the Operations Center
- APPROVE** Status Summaries and Press Releases (ensure a review by the ET Director if he/she is present)
- INFORM** the Commissioners, or their TA's, of NRC response activities as the situation dictates

Ongoing ACTIONS:

- ENSURE** the NRC is fulfilling its statutory roles
- REVIEW** and **APPROVE** Status Summaries and Press Releases if specifically appointed.
- REVIEW** the distribution list for terrorist-related information
- ASSIGN** additional resources to the Headquarters response effort, if needed
- PREPARE** an ET rotation schedule for a protracted event if an extended response is likely.

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- ENSURE** technical teams provide a shift a rotation schedule for a protracted event if an extended response is likely.
- CONFER** with technical team directors to ensure their briefings will satisfy the ET's needs. (Note: additional guidance listed in Section 3.4.2)
- ACT** as NRC News Center Spokesperson if appointed by the ET Director. (Note: additional guidance listed in Section 3.4.2)

* For a more detailed description of EXPANDED ACTIVATION mode actions, refer to Section 3.4 and 3.5

Appendix 5: EXPANDED ACTIVATION Mode Checklist for ET Director and Deputy Director
(no Site Team deployed)

NOTES:	1.	If an NRC Site Team is not deployed to the incident site, Headquarters will normally lead the NRC Incident Response during EXPANDED ACTIVATION.
	2.	The Headquarters Operations Center will go to full staffing any time the agency escalates to EXPANDED ACTIVATION.
	3.	ET-Member-ACTIONS-for-EXPANDED ACTIVATION are identical to those for ACTIVATION.
	4.	See page 15 for examples of situations where Headquarters will retain the NRC lead during EXPANDED ACTIVATION

ACTIONS of the ET Director or Deputy Director* (omit those steps that were completed during ACTIVATION)

- REPORT** to the Operations Center
- RECEIVE** an initial briefing by Site, Regional, or Headquarters personnel (Note: additional guidance listed in Appendix 2)
- REVIEW** and **APPROVE** Status Summaries and Press Releases. Ensure all Commissioners are kept informed.
- RECEIVE** briefings from Headquarters Response Teams (Technical Teams, Safeguards Team, Public Affairs Team, Liaison Team)
- CONFIRM** NRC's status as Coordinating Agency (leading the Federal response) or Cooperating Agency (supporting the Federal response) under the NRP and the Nuclear/Radiological Incident Annex. [DHS points of contact: Secretary of Homeland Security - (202) 282-8330, IIMG Director - (202) 282-8258]
- RECEIVE** calls from State, Federal, and International authorities
- ENSURE** notification of the IAEA and other international organizations, if necessary

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- APPOINT** a News Center Spokesperson, preferably yourself or another member of the ET.

- ACTIVATE** the News Center to conduct media briefings.

* For a more detailed description of EXPANDED ACTIVATION mode actions, refer to Section 3.4 and 3.5

Appendix 6: EXPANDED ACTIVATION Mode: Transition to Site Team

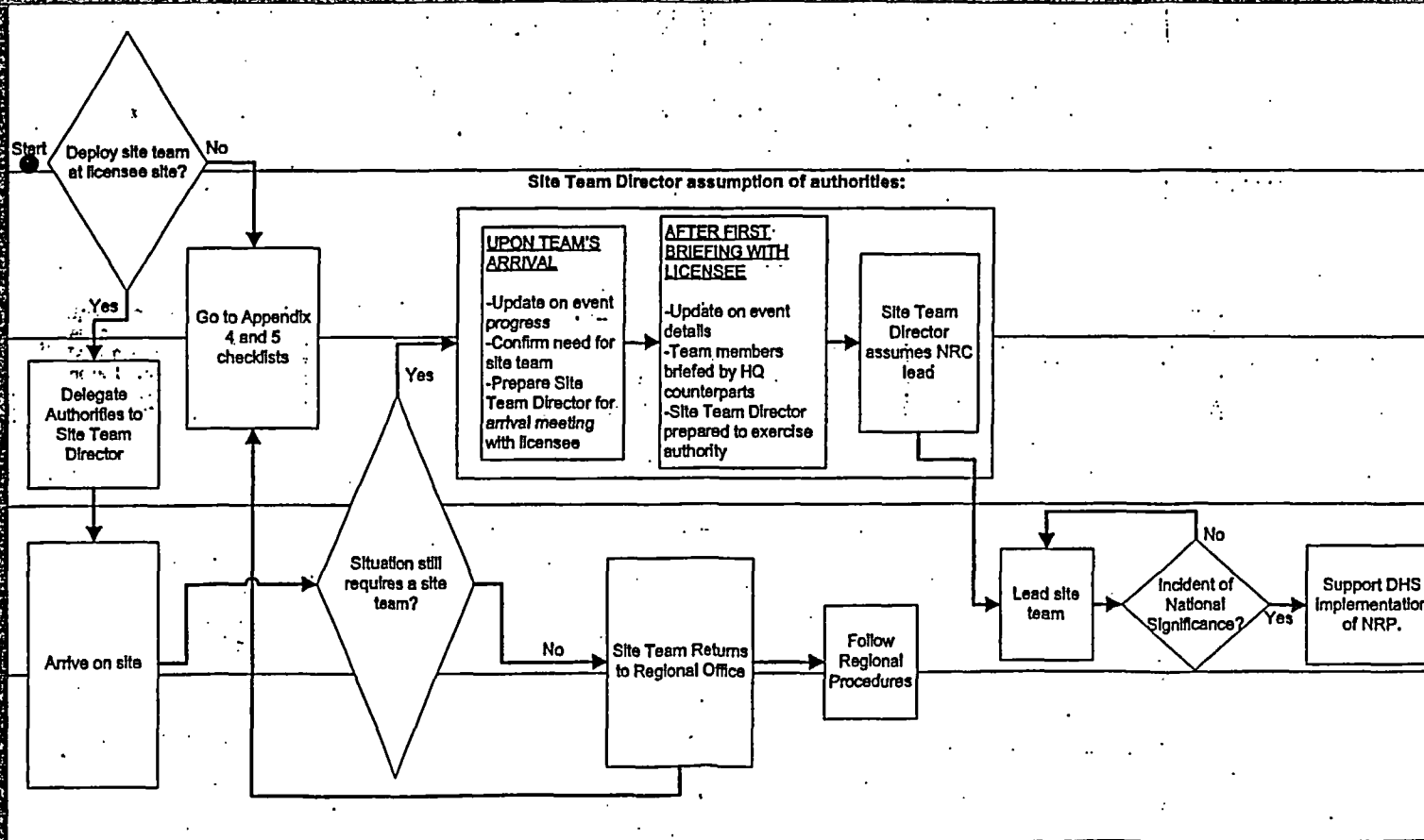
NOTE: When Authority is officially passed from the ET Director to the Site Team Director, the NRC Site Team leads the NRC Incident Response. Otherwise, Headquarters normally leads the NRC Incident Response during EXPANDED
--

ACTIONS of the ET Director*

- ~~APPOINT~~ the Site Team Director to lead the NRC's incident response effort when all necessary requirements are met
- Use the "Confirmation of Site Team Director Appointment" form in Appendix 6 to **DELEGATE** specific operational authorities to the Site Team Director.
- COMMUNICATE** with the Site Team Director upon the team's arrival at the incident site.
- COMMUNICATE** with the Site Team Director after arrival at the site and first briefing with the licensee.
- For Incidents of National Significance, **DIRECT** the Regional Administrator (or designee) to appoint an NRC Regional Manager to serve as the Senior NRC Official on the JFO Coordination Group.
- DIRECT** that any NRC staff at the HSOC/IIMG be informed of the following:
Site Team Director appointment, status of staff appointments to the JFO, and current/pending changes to NRC response mode.

* For a more detailed description of EXPANDED ACTIVATION mode actions, refer to Section 3.5

Executive Team Procedures Figure 4- EXPANDED ACTIVATION MODE



Note: when an NRC site team is not deployed from the regional office, the actions of the ET Director, Deputy Director, and other ET members are the same as ACTIVATION mode.

If the event is ongoing, and requires continued ET presence in the HQ Operations Center, then the ET Director will decide on an appropriate rotational schedule with the rest of the ET members in order to achieve required staffing levels.

Appendix 7: Confirmation of Site Team Director Appointment

I have appointed _____ to be NRC Site Team Director at
[site] _____ effective on [date] _____ at [time] _____.

While I remain the senior NRC authority responsible for all Agency actions and for the NRC's role as Coordinating Agency under the National Response Plan, this appointment transfers operational management of NRC response activities from the Headquarters Operations Center in Rockville, Maryland, to the Site Team Director until further notice. I have delegated the following operational authority, as indicated, to the Site Team Director:

[yes/no]

_____ ~~Act as a Senior NRC Official for the NRC for an integrated response under the National Response Plan. [Lead other NRC staff assigned to the Joint Field Office (JFO) Coordination Group, if a JFO is established].~~

_____ **Recommend actions to the licensee or other regulated entity.** [Monitor activities; conduct independent assessments; recommend actions as needed.]

_____ **Recommend offsite actions.** [Confirm actions of the regulated entity or provide additional NRC or coordinated Federal positions; interact with State and local technical and emergency management authorities; resolve differences between the regulated entity and the State.]

_____ **Act as primary spokesperson** concerning Coordinating Agency issues at the site. [Provide status information and conduct media briefings as coordinated with the JFO; answer inquiries.]

I retain operational authority for the following:

Issue technical orders to the regulated entity for specific actions.

Interact with Governors of affected states concerning major overviews of response status, resolution of significant protective action recommendation conflicts, or other issues not directly or entirely related to delegated authority.

Coordinate with The White House, Congress, Headquarters of other Federal agencies, and international organizations.

I and the headquarters response team will continue to provide support and consultation to the Site Team Director.

Original signed by: _____

NRC EXECUTIVE TEAM DIRECTOR