

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

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To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 8.2, "NRC Incident Response Program"

Purpose: Directive and Handbook 8.2 are being revised to provide descriptive titles and associated texts that present the NRC Incident Response Program in a simple and easy-to-follow format. The directive contains several additional definitions.

No change bars have been used because of the extent of the revision.

Office and
Division of Origin: Office of Nuclear Security and Incident Response
Division of Preparedness and Response

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NRC Incident Response Program

Directive
8.2

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U. S. Nuclear Regulatory Commission

Volume: 8 Licensee Oversight Programs

NSIR

NRC Incident Response Program

Directive 8.2

Policy

(8.2-01)

- It is the policy of the U.S. Nuclear Regulatory Commission to be prepared to respond to incidents and emergencies involving licensees, certificate holders (hereinafter referred to as "licensees"), and Agreement State licensees. (011)
- Within its statutory responsibilities and authority, NRC has committed to meeting the requirements of Homeland Security Presidential Directive 5 (HSPD-5), "Management of Domestic Incidents," and coordinating and supporting its responsibilities identified in the National Response Plan (NRP) and associated annexes. (012)

Objectives

(8.2-02)

- To ensure that the NRC response to incidents and emergencies involving NRC licensees and Agreement State licensees is consistent with the NRC mission, compatible with licensee responsibilities, supportive of the emergency response functions of State, Tribal, and local governments, and coordinated with the responses of other Federal organizations with emergency response responsibilities. (021)
- To ensure that the NRC response to safety and security incidents is consistent with the national response strategy identified in the NRP and the National Incident Management System (NIMS). (022)

Objectives

(8.2-02) (continued)

- To establish and implement the “NRC Incident Response Plan” (NUREG-0728) and to identify NRC organizational responsibilities that will provide assistance, commit staff, and manage the NRC response to incidents and emergencies involving regulated facilities and materials. (023)

Organizational Responsibilities and Delegations of Authority

(8.2-03)

Chairman

(031)

Has ultimate authority for all NRC functions and responsibilities related to incident response including but not limited to the following:

- Declare an emergency pursuant to the Presidential Reorganization Plan No. 1 of 1980. (a)
- Respond to emergency incidents concerning facilities or materials licensed or regulated by NRC. (b)
- Issue orders and determine specific policies for response to emergency incidents. (c)
- Advise external stakeholders, other Federal organizations, and the public on coordinating actions taken by NRC relative to emergency incidents. (d)

Director, Office of Congressional Affairs (OCA)

(032)

- Provides qualified personnel to serve on the Headquarters Operations Center (HOC) incident response teams. (a)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Congressional Affairs (OCA)
(032) (continued)

- Supports training and exercise participation for incident response team members. (b)
- Keeps congressional contacts informed of “NRC Incident Response Plan” response activities. (c)

Director, Office of International Programs (OIP)
(033)

- Provides qualified personnel to serve on the HOC incident response teams. (a)
- Supports training and exercise participation for incident response team members. (b)
- Assists the Division of Preparedness and Response (DPR), NSIR, in arranging periodic incident response meetings with Canada and Mexico. Interacts with the U.S. Department of State on incident response issues. (c)
- Coordinates incident response activities with the International Atomic Energy Agency (IAEA) and other international organizations. (d)

Director, Office of Public Affairs (OPA)
(034)

- Provides qualified personnel to serve on the HOC incident response teams and as appropriate to support interagency response activities. (a)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Public Affairs (OPA)
(034) (continued)

- Supports training and exercise participation for incident response team members. (b)
- Maintains, with DPR, the Office of Administration, and the Office of Information Services (OIS), the NRC News Center capability and manages the center once it is activated. (c)
- Implements an appropriate incident communications strategy to coordinate with other Federal communications efforts. (d)
- Keeps the NRC senior managers informed of licensee, State, and media announcements and actions involving the joint information center. (e)
- Keeps news media informed of NRC actions and coordinates with other public information organizations. (f)
- Responds to information requests from the news media and the general public about the incident. (g)

Executive Director for Operations (EDO)
(035)

- Oversees the NRC Incident Response Program (IRP). (a)
- Ensures the cooperation and support of all NRC offices in providing cognizant staff for training (including exercises and special projects) and responding to actual incidents. (b)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Executive Director for Operations (EDO)
(035) (continued)

- Provides qualified personnel to serve on the HOC incident response teams and as appropriate to support interagency response activities. (c)
- Supports training and exercise participation for incident response team members. (d)

Director, Office of Nuclear Security
and Incident Response (NSIR)
(036)

- Directs the NRC IRP, which is implemented by DPR. (a)
- Provides programmatic guidance, policies, plans, requirements, and procedures necessary to ensure a standardized NRC IRP. (b)
- Develops and maintains the Information Assessment Team (IAT) to assess the credibility of threats and informs and coordinates with the Department of Homeland Security (DHS) and other appropriate agencies. (c)
- Maintains the NRC's Critical Infrastructure Protection Plan (CIPP),¹ in conjunction with the Deputy Chief Information Officer, and the Continuity of Operations Program.² (d)

¹In December 2003, the President issued Homeland Security Presidential Directive (HSPD) 7, which directs all Federal departments and agencies to develop and submit plans for protecting the physical and cyber-critical infrastructure and key resources that they own or operate.

²Presidential Decision Directive 67, "Enduring Constitutional Government and Continuity of Operations," reaffirmed the United States policy to have in place a comprehensive and effective program to ensure survival of our constitutional form of government and continuity of essential Federal functions under all circumstances.

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Nuclear Security
and Incident Response (NSIR)
(036) (continued)

- Represents NRC as the safeguards and security contact with DHS, the Department of Justice, the Federal Bureau of Investigation, and intelligence and law enforcement communities on counterterrorism and IAT activities. (e)
- Provides classified telecommunications and intelligence support and security advice and assistance in response to security incidents. (f)
- Maintains signature authority for memoranda of understanding coordinated between NRC and other Federal and State organizations regarding safeguards and nuclear security measures and incident response activities. (g)
- Designates the Director of DPR as the NSIR representative at Federal Radiological Preparedness Coordinating Committee (FRPCC) meetings and coordinates appropriate participation by other offices. (h)
- Provides qualified personnel to serve on the HOC incident response teams or as liaison representatives for response to an incident and as appropriate to support interagency response activities. (i)
- Notifies the Office of the Inspector General (OIG) when the NRC's response posture to an incident changes to an Activation or Expanded Activation mode. (j)
- Leads in developing, directing, and implementing the NRC's IRP that is commensurate with the NRC's mission of protecting

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Nuclear Security
and Incident Response (NSIR)
(036) (continued)

the public health and safety, the common defense and security, and the environment. This measure includes outreach elements to Federal, State, Tribal, and local organizations. (k)

- Leads in developing, coordinating, implementing, and performing routine assessments of staff training sessions, practice drills, and exercises to ensure that NRC maintains a high state of readiness to respond to incidents and emergencies. (l)

Director, Office of Nuclear Material
Safety and Safeguards (NMSS)
(037)

- Provides qualified personnel to serve on the HOC incident response teams or as liaison representatives for response to an incident and as appropriate to support interagency response activities. (a)
- Supports training and exercise participation for incident response team members. (b)
- Provides qualified personnel for the receipt of incident notifications during and after normal office hours. (c)

Director, Office of Nuclear Reactor Regulation (NRR)
(038)

- Provides qualified personnel to serve on the HOC incident response teams or as liaison representatives for response to

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Nuclear Reactor Regulation (NRR)
(038) (continued)

an incident and as appropriate to support interagency response activities. (a)

- Supports training and exercise participation for incident response team members. (b)
- Provides qualified personnel for the receipt of incident notifications during and after normal office hours. (c)

Director, Office of Nuclear Regulatory
Research (RES)
(039)

- Provides qualified personnel to serve on the HOC incident response teams or as liaison representatives for response to an incident and as appropriate to support interagency response activities. (a)
- Supports training and exercise participation for incident response team members. (b)

Director, Office of State and Tribal
Programs (STP)
(0310)

- Provides qualified personnel to serve on the HOC incident response teams and as appropriate to support interagency response activities. (a)
- Supports training and exercise participation for incident response team members. (b)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of State and Tribal
Programs (STP)
(0310) (continued)

- Assists DPR in implementation of the State outreach program to increase and improve NRC's interactions with States during exercises and briefings. (c)
- Designates an STP representative to provide NRC representation support at FRPCC meetings on matters related to STP Agreement State activities. (d)
- Provides qualified personnel for the receipt of incident notifications during and after normal office hours. (e)

Director, Office of Administration (ADM)
(0311)

- Provides day-to-day operations and maintenance of building equipment and systems for the HOC and the News Center (e.g., automated energy management and temperature control and support services to maintain a safe and healthy work environment). (a)
- Provides qualified personnel to serve on the HOC incident response teams and as appropriate to support interagency response activities. (b)
- Supports training and exercise participation for incident response team members. (c)
- Represents NRC before other Federal, State, Tribal, and local organizations and security and law enforcement organizations

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Director, Office of Administration (ADM)
(0311) (continued)

on matters pertaining to physical security at NRC facilities occupied by NRC employees or its contractors. (d)

Director, Office of Information
Services (OIS)
(0312)

- Provides qualified personnel to serve on the HOC incident response teams and as appropriate to support interagency response activities. (a)
- Supports training and exercise participation for incident response team members. (b)
- Provides management and funding for the Data Center operation of the Emergency Response Data System (ERDS). (c)
- Provides qualified personnel to assist with the operation of computer, telephone, and facsimile equipment in the News Center for OPA. (d)
- In conjunction with the Director of DPR, maintains the NRC CIPP. (e)
- Provides infrastructure telecommunications to the HOC and the News Center. (f)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

General Counsel (GC),
Office of the General Counsel (OGC)
(0313)

- Participates in training of incident investigation team and augmented inspection team members. (a)
- Provides legal advice, as requested, during incidents, incident investigations, and augmented inspections. (b)

Inspector General (IG),
Office of the Inspector General (OIG)
(0314)

May participate as an observer during the response to an incident.

Regional Administrators (RAs)
(0315)

- Maintain a functional regional incident response center (IRC) for a regional base team. (a)
- Maintain an effective incident response capability. (b)
- Select a staff member or members to serve as the full-time regional incident response coordinator or coordinators. (c)
- Provide regional duty officers for the receipt of incident notifications during and after normal office hours. (d)
- Provide qualified personnel to serve as team members for response to an incident and as appropriate to support interagency response activities. (e)

Organizational Responsibilities and
Delegations of Authority
(8.2-03) (continued)

Regional Administrators (RAs)
(0315) (continued)

- Provide training and support participation in exercises for incident response team members. (f)
- Maintain the capability to staff the regional IRC promptly. (g)
- Support an outreach program for other regional Federal organizations to identify resources and develop working arrangements to support NRC as the Coordinating Agency in response to incidents. (h)
- Manage the regional program to provide potassium iodide to regional inspectors. (i)
- Support an outreach program to ensure that State, Tribal, and local organizations and licensees are aware of the resources of NRC and other Federal organizations to support them during actual incidents. (j)
- Support a program to attend meetings of the Federal Radiological Monitoring and Assessment Center working groups, regional interagency steering committees, regional response teams, and other Federal agency meetings to integrate the NRC regional response with the response of other Federal organizations. (k)

Applicability
(8.2-04)

The policy and guidance in this directive and handbook apply to all NRC employees.

Handbook

(8.2-05)

Handbook 8.2 contains the major components of the NRC IRP, identifies objectives for NRC incident response at Headquarters and the regional offices, establishes responsibilities, and provides general guidance.

Definitions

(8.2-06)

Emergency: An “emergency,” as used in the context of the Incident Response Program, is an other-than-normal condition associated with NRC-licensed or Agreement State-licensed materials that requires licensee action to minimize the impact on public health and safety and the environment. For nuclear power plants and certain radioactive material licensee incidents that meet or exceed this threshold, an emergency requires declaration of one of four emergency classes: Notification of Unusual Event, Alert, Site Area Emergency, or General Emergency as defined below.

Nuclear Power Plant Emergency Classification Levels (see NUREG-0654 and NRC Bulletin 2005-02):

Notification of Unusual Event: Incidents, including confirmed security incidents, are in progress or have occurred that indicate a potential degradation of the level of safety of the plant. No releases of radioactive material requiring offsite response or monitoring are expected unless further degradation of safety systems occurs.

Alert: Incidents are in progress or have occurred that involve an actual or a potentially substantial degradation of the level of safety of the plant, security incidents in a plant protected area, notification of an airborne attack threat, or notification of hostile action within the owner-controlled area. Any releases are expected to be limited to small fractions of the Environmental Protection Agency (EPA) Protective Action Guideline exposure levels.

Definitions

(8.2-06) (continued)

Site Area Emergency: Incidents are in progress or have occurred that involve actual or likely major failures of plant functions needed for protection of the public, a security incident in a plant vital area, or a site attack. Any releases are not expected to exceed EPA Protective Action Guideline exposure levels, except near the site boundary.

General Emergency: Incidents are in progress or have occurred that involve actual or imminently substantial core degradation or melting with a potential for loss of containment integrity, or a security incident resulting in loss of physical control of the facility. Releases can be reasonably expected to exceed EPA Protective Action Guideline exposure levels off site for more than the immediate site area.

Regulated Material Facilities and Gaseous Diffusion Plant Emergency Classification Levels (see Regulatory Guide 3.67, "Standard Format and Content for Emergency Plans for Fuel Cycle and Materials Facilities," January 1992):

Alert: Incidents may occur, are in progress, or have occurred that could lead to a release to the environment of radioactive material or other hazardous material, but the release is not expected to require a response by an offsite response organization to protect persons off site.

Site Area Emergency: Incidents may occur, are in progress, or have occurred that could lead to a significant release to the environment of radioactive or other hazardous material and that could require a response by offsite response organizations to protect persons off site.

In accordance with the National Response Plan and as defined by the Stafford Act, an emergency is "any occasion or instance for which, in the determination of the President, Federal assistance

Definitions

(8.2-06) (continued)

is needed to supplement State, Tribal, and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States."

Incident: An "incident," as used in the context of the Incident Response Program, is an other-than-normal condition associated with nuclear or radioactive materials requiring immediate, but usually not urgent, attention in order to ensure that conditions do not deteriorate to a level that impacts public health and safety. In most instances, this condition may be neutralized or otherwise controlled at the time of the occurrence. Generally, the incident can be controlled by the licensee resources in the immediate area and usually is not an immediate threat to public safety or health. A significant or severe incident may escalate to an emergency condition.

Incident of National Significance: As established by criteria in Homeland Security Presidential Directive 5 (HSPD-5), an Incident of National Significance is an actual or potential high-impact incident that requires a coordinated and effective response by an 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. For nuclear power plants, an incident that is classified as a General Emergency, or a terrorist-related incident that leads to any emergency level classification, is an Incident of National Significance.

Response Mode: The "response mode" is a specific set of actions that modifies the agency operational posture to effectively respond to an incident as it escalates in severity, including emergencies. The "NRC Incident Response Plan" (NUREG-0728) describes the agency's existing modes.

References
(8.2-07)

Nuclear Regulatory Commission Documents

Management Directives

8.3, "NRC Incident Investigation Program."

8.9, "Accident Investigation."

NUREGs

NUREG/BR-0150, "Response Technical Manual."

NUREG-0728, "NRC Incident Response Plan."

NUREG-1303, "Incident Investigation Manual."

Other NRC References

Critical Infrastructure Protection Plan (CIPP).

Internal Commission Procedure, dated October 29, 2003.

Memorandum from Chairman Nils Diaz to Luis Reyes, Executive Director for Operations, "Delegation of Authority for Imminent Security Threats to NRC Licensees," dated January 4, 2006.

Memorandum from Luis Reyes, Executive Director for Operations, "Delegation of Authority for Imminent Security Threats," dated March 10, 2006.

OEDO Operating Procedure - 0920, Senior Management Availability for Response to Imminent Security Threats.

OIG Report OIG-04-A-20, "Audit of NRC's Incident Response Program," dated September 16, 2004.

References

(8.2-07) (continued)

Staff Requirements Memorandum COMSECY-05-0049,
“Delegation of Authority for Imminent Security Threats to
NRC Licensees,” dated December 23, 2005.

Other Federal Guidance

Homeland Security Presidential Directive 5 (HSPD-5),
"Management of Domestic Incidents."

National Response Plan (NRP) and Associated Annexes,
December 2004.

Presidential Decision Directive 67, “Enduring Constitutional
Government and Continuity of Operations.”

United States Code

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et
seq.).

Presidential Reorganization Plan No.1 of 1980 (U.S.C. App.,
94 Stat. 3585).

Stafford Act (42 U.S.C. 5170a, 5170, 5192, and 5193).

NRC Incident Response Program

Handbook

8.2

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Part I Program Overview

Introduction (A)

The NRC Incident Response Program (IRP) encompasses the NRC response to incidents that occur at nuclear facilities and incidents that involve nuclear materials or radiological activities licensed by NRC or an Agreement State. The program provides a framework for agency personnel to prepare and respond to licensee incidents affecting public health and safety, common defense and security, and the environment. (1)

The IRP integrates the overall agency capabilities for the response to and recovery from radiological incidents and emergencies involving facilities and materials regulated by NRC or an Agreement State. Under the National Response Plan (NRP), NRC coordinates with other Federal, State, Tribal, and local emergency organizations in response to various types of domestic events. NRC emphasizes the integration of safety, security, and emergency preparedness as the basis for the NRC's primary mission of protecting public health and safety. (2)

The IRP is a flexible, dynamic program that is adaptable to a wide range of initiating conditions or events. The IRP is used to respond to operational safety events, security events, or other events such as man-made or natural phenomena. The program is employed to address these events singly or in combination where conditions exist or could lead to a radiological risk to public health or safety from an NRC licensed facility. The program has been implemented in response to incidents such as— (3)

- The terrorist attacks on the United States of September 11, 2001. (a)
- The electrical distribution “blackout” in the Northeast occurring in August 2003 that resulted in multiple nuclear power plants declaring emergency conditions. (b)

Introduction (A) (continued)

- The Honeywell International UF6 release on December 22, 2003. (c)

The program continues to evolve as lessons learned are developed and improvements realized. (4)

Anatomy of an Incident and Its Ramifications (B)

Licensees and Agreement States are required to report significant incidents to the NRC Operations Center as outlined in the *Code of Federal Regulations* in various sections of 10 CFR. Certain reportable incidents activate the IRP and initiate a response by NRC. The notification and communications process provides information concerning the incident, which is independently assessed by NRC personnel in a timely manner. (1)

In response to an incident at an NRC-licensed facility or an incident involving NRC-licensed material that could threaten public health and safety or the environment, NRC implements its IRP at its Headquarters Operations Center (HOC) and one of its four regional incident response centers (IRCs) (Region I in King of Prussia, Pennsylvania; Region II in Atlanta, Georgia; Region III in Lisle, Illinois; and Region IV in Arlington, Texas). One of NRC's highest priorities is to provide expert consultation, support, and assistance to State, Tribal, and local public safety officials responding to the incident. Once the NRC IRP is activated, teams of specialists are assembled at the HOC and the regional IRC to obtain and evaluate incident information and to assess the potential impact of the incident on public health and safety and the environment. (2)

Scientists, engineers, and operations experts analyze the incident(s) and evaluate possible recovery strategies. Meanwhile, other experts evaluate the effectiveness of protective actions that have been recommended by the licensee and implemented by

Anatomy of an Incident and Its Ramifications (B) (continued)

State, Tribal, and local officials to minimize the impact on public health and safety and the environment. Communications with the news media, States, other Federal organizations, Congress, and the White House are coordinated through the HOC. (3)

Licensee incidents that escalate to emergencies at nuclear power plants are classified in one of four categories or levels: Notification of Unusual Event, Alert, Site Area Emergency, and General Emergency. Regulated materials facilities and gaseous diffusion plants categorize their emergency incidents as Alert and Site Area Emergency only. While these emergency classification levels have expected actions for licensees and State, Tribal, and local responders, NRC response is based on incident severity and uncertainty. (4)

Agency Role and Response Modes (C)

The agency's response to an incident depends on the severity of the incident. Incidents having little or no safety significance are handled by the NRC regional office in whose boundaries the incident occurred. These incidents do not change the normal posture of the agency. Certain incidents may require that the agency change posture in order to ensure proper event response. In each circumstance, NRC implements a graded approach to incident response and decisionmaking concerning response modes. A decision regarding the appropriate response mode change is expected to be made within 30 minutes of receipt of the event notification. (1)

The NRC's response to an incident may range from routine followup activities to a complete activation of both the regional IRC and the HOC. NRC uses the following formal modes for responding to events at its licensed facilities: (2)

Agency Role and Response Modes (C)
(continued)

- **Monitoring:** Monitoring entails a heightened state of readiness for incident information acquisition and assessment. The regional IRC is staffed; NRC headquarters provides support as appropriate. (a)
- **Activation:** NRC, led by members of the Executive Team (ET), musters the necessary reactor safety, protective measures, fuel cycle safety team, and liaison personnel to staff the HOC and the regional IRC. The regional office may organize a site team at this time. The site team may be dispatched if it is determined one is required at the incident site. (b)
- **Expanded Activation:** If it is determined that a larger response is needed, the agency enters expanded activation. The Chairman assumes the lead for emergency response. NRC fully staffs the HOC and the affected region's IRC.

The region may dispatch a site team for onsite assessment and face-to-face coordination with licensee, State, Tribal, and Federal responders. The Chairman delegates specific authorities to the Site Team Leader, now in the role of the NRC's Site Team Director. (c)

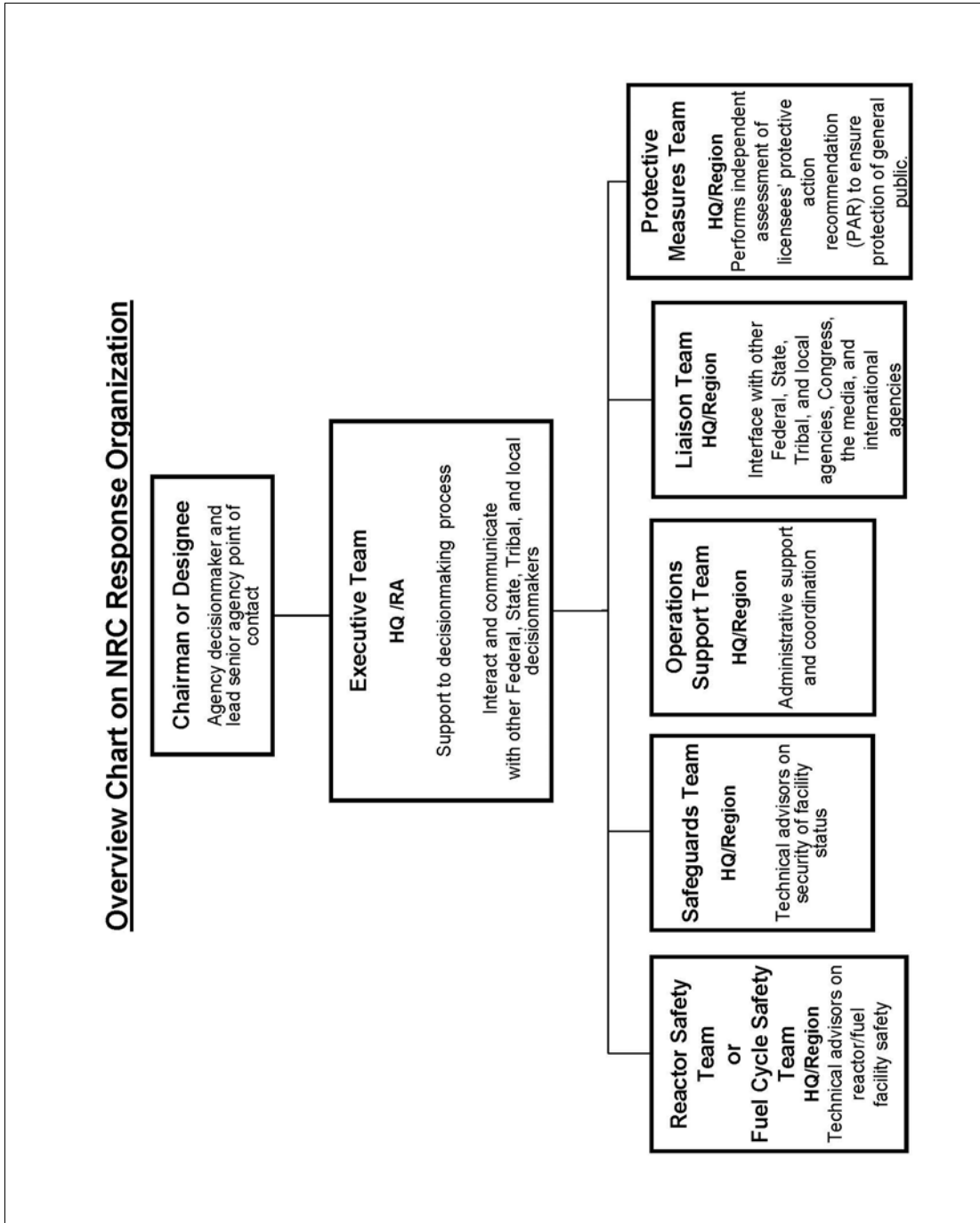
NRC may enter a response mode for a nonemergency incident or in response to a nonreportable incident. (3)

As described in the Nuclear/Radiological Incident Annex to the NRP, NRC is the Coordinating Agency for incidents occurring at NRC-licensed facilities and for radioactive materials either licensed by NRC or under NRC's Agreement States Program. As Coordinating Agency, NRC has technical leadership for the Federal Government's response to the incident. If the severity of an emergency rises to the level of General Emergency or is terrorist-related, the Department of Homeland Security (DHS) will normally declare an Incident of National Significance and has

Agency Role and Response Modes (C)
(continued)

responsibility for overall coordination for Federal response under the NRP. In this case, NRC retains the Federal technical leadership role but does not coordinate overall Federal response. Additionally, other Federal organizations, such as the Federal Emergency Management Agency, the Department of Energy, the Environmental Protection Agency, the Department of Agriculture, the Department of Health and Human Services, the National Oceanic and Atmospheric Administration, and the Department of State, may be called to respond to the incident. (4)

Agency Role and Response Modes (C)
 (continued)



Headquarters Interaction With Regions and Licensees (D)

The HOC maintains staffing around-the-clock mainly to receive safety and security incident notifications and to communicate related information to NRC management and other stakeholders. Regional IRCs are not staffed around-the-clock, but the regions maintain connectivity with the licensees through the full-time resident inspectors at each site. Additionally, each region maintains a regional duty officer on call, thus establishing around-the-clock connection with the HOC, the regions, and Commission staff. If the licensee escalates the severity of an incident, its notification to the HOC receives additional attention and assessment by the Executive Team (ET) and the region managing the incident. This simple arrangement allows the HOC and applicable regional IRCs to provide prompt logistical and technical support to the agency throughout the onset of an incident response. (1)

The ET is composed of senior NRC managers who lead the agency's incident response efforts from the NRC's HOC once NRC enters the activation or expanded activation response modes. The ET makeup is as follows: 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 for Operations, and office directors and deputy directors of the program offices), advisory and support staff, and additional members as assigned by the ET Director. (2)

The regional office(s) designated as the NRC's alternate incident response site pursuant to the Continuity of Operations Plan will have additional trained response staff, equipment capabilities, enhanced telecommunications, and computer systems. (3)

Licensee's Coordination (Local, Tribal, State, and Federal) (E)

Licensees are the responders responsible for mitigating the consequences of an incident at the incident location. Most

Licensee's Coordination (Local, Tribal,
State, and Federal) (E) (continued)

incidents are mitigated by licensees without further deterioration or significant issues. Following a significant incident, the licensee provides notification to local, State and Tribal, NRC, and other government officials, as required. This notification initiates a chain of response by these stakeholders who subsequently position their resources to assist the licensees in the mitigation process, if appropriate. Stakeholders provide support under their own authority and the coordination of these efforts is provided by a Coordinating Agency of the Federal Government in accordance with the NRP. Additionally, NRC contacts State and Tribal officials to establish a liaison point of contact, offer support and assistance, receive requests for assistance from the Federal Government, and provide Federal protective action recommendations.

Part II Organization Support Structure

Program Development, Implementation, and Maintenance (A)

The NRC Incident Response Program (IRP) is designed to use the available NRC resources (response experience, facilities, equipment, personnel expertise, etc.) to create an organizational support structure that addresses the various response phases of the incident and provides a consistent mechanism to advise the Executive Team (ET). This structure supports the agency statutory obligations related to the Federal Government, including the National Response Plan (NRP) and Presidential Decision Directives. (1)

The support structure promotes a team concept that provides technical input to the ET Director and the Site Team Director in charge of handling the emergency. Members of the assisting teams and regions provide technical support in the areas of safety, security, and radiological protection. The structure and functions of the teams are described in the “NRC Incident Response Plan” (NUREG-0728). (2)

A periodic review of this management directive (MD) is required in order to ensure that it reflects current policy and procedures. This periodic review is designed to accommodate the ever-changing nature and environment of the challenges and lessons learned by the agency from incident or emergency responses. (3)

Delegations and Assignments (B)

This MD provides delegations of authority and predetermines responsibilities of incident responders. This guidance establishes a hierarchy of authority that is imparted to the decisionmakers and the ET Director. The incident response procedures in the

Delegations and Assignments (B) (continued)

Headquarters Operations Center (HOC) or regions contain detailed instructions to carry out the communication of necessary information to the ET Director. This communication is accomplished when a team handling a response to a specific issue channels the issue through the assigned incident responders for resolution. The resolution is then provided to the team director, who in turn briefs the ET Director. (1)

Presidential Reorganization Plan No. 1 of 1980 strengthened the executive and administrative roles of the NRC Chairman, particularly in emergencies, transferring to the Chairman "all the functions vested in the Commission pertaining to an emergency concerning a particular facility or materials...regulated by the Commission." This Reorganization Plan also provided that all policy formulation, policy-related rulemaking, and orders and adjudications would remain vested with the full Commission. (2)

The Commissioners, may, in certain circumstances, be designated as the NRC Acting Chairman. However, the Chairman, if desired, may also delegate to any Commissioner the authority to perform emergency functions as described in section 3(a) of Presidential Reorganization Plan No. 1 of 1980. Section 3 of the Reorganization Plan is cited below. (3)

- **Sec. 3.** (a) Notwithstanding sections 1 and 2 of this Reorganization Plan, there are hereby transferred to the Chairman all the functions vested in the Commission pertaining to an emergency concerning a particular facility or materials licensed or regulated by the Commission, including the functions of declaring, responding, issuing orders, determining specific policies, advising the civil authorities, and the public, directing, and coordinating actions relative to such emergency incident.
- (b) The Chairman may delegate the authority to perform such emergency functions, in whole or in part, to any of the other

Delegations and Assignments (B)
(continued)

members of the Commission. Such authority may also be delegated or redelegated, in whole or in part, to the staff of the Commission.

- (c) In acting under this section, the Chairman, or other member of the Commission delegated authority under subsection (b), shall conform to the policy guidelines of the Commission. To the maximum extent possible under the emergency conditions, the Chairman, or other member of the Commission delegated authority under subsection (b), shall inform the Commission of actions taken relative to the emergency.
- (d) Following the conclusion of the emergency, the Chairman, or the member of the Commission delegated the emergency functions under subsection (b), shall render a complete and timely report to the Commission on the actions taken during the emergency.

Certain NRC senior managers have been delegated authority to issue immediately effective orders, including oral orders, to one or more licensees in the event of an imminent security threat requiring such urgent action that insufficient time exists to invoke the emergency powers reserved to the Chairman or his designee in accordance with Presidential Reorganization Plan No. 1 of 1980. This delegation is strictly limited to individuals occupying the designated positions and may not be redelegated further to subordinate managers or to individuals occupying the designated positions in an acting capacity. If this authority to issue orders is executed, the Chairman and the Commission will be notified immediately of the conditions, events, and/or circumstances surrounding its use. Subsequently, if the Chairman or his designee invokes the emergency powers provided to the Chairman by Section 3 of Reorganization Plan No.1 of 1980, the authority to issue orders under this delegation for the duration of that emergency is superseded. (4)

Delegations and Assignments (B)
(continued)

The EDO delegates the responsibility of overseeing the NRC IRP to the Director of NSIR, who subsequently delegates to the subordinate division managers the responsibility of developing and maintaining the NRC IRP. This redelegation and reassignment of responsibility facilitate programmatic guidance, planning, and execution of all facets of the IRP, including ramification of other programs or plans, such as the “NRC Incident Response Plan” (NUREG-0728), the NRP, and the training program in order to provide support to the incident response structure. (5)

Likewise, the EDO delegates the responsibility of overseeing the IRP in each region to the regional administrators, who subsequently redelegate this responsibility to subordinates. Nevertheless, this MD requires a standardized NRC IRP for the HOC and all regions. Periodic reviews of Headquarters and regional IRPs are conducted to ensure that the NRC IRP is carried out consistently across the agency. (6)

Part III

Facilities and Resources

Headquarters Operations Center Support and Availability (A)

The Headquarters Operations Center (HOC) serves as the focal point for communications, analysis, and response during an emergency involving a U.S. commercial nuclear power plant, research or test reactor, fuel cycle facility, or nuclear materials licensee. The HOC is staffed 24 hours a day, 365 days a year, with a Headquarters Operations Officer (HOO) and, as appropriate to the threat condition level, a Headquarters Emergency Response Officer (HERO). The HOC routinely receives event notifications from all stakeholders. (1)

The HOO/HERO receive incident information and emergency declaration notifications at the HOC from NRC licensees, Agreement States, Government agencies, and private entities and perform an initial assessment of the safety significance of each report. The HOO/HERO immediately notify and brief appropriate NRC officials at the onset of an incident or emergency in case a decision to escalate the NRC response mode is necessary. In addition to internal notifications, the HOO/HERO notify other Federal organizations and, if appropriate, licensees, and local, State, and Tribal organizations. When the HOC is activated, teams of specialists and directors are assembled to obtain and evaluate incident information and to assess the potential impact of the incident or emergency. (2)

NRC's incident response management team members and technical staff are committed to remain available at all times to respond to an emergency. This availability, along with the Automated Notification System (ANS), enables the HOC to be staffed promptly, as required. Routine participation of team members in drills and exercises ensures that the agency maintains a high state of readiness for incident and emergency response. (3)

Headquarters Operations Center Support and Availability (A) (continued)

The agency maintains essential equipment to support NRC incident response operations and maintains dependable and multiple backup systems for telecommunications, information technology, and facility support. When required, HOC functions can be transferred to an alternate site for continuity of operations. (4)

NRC maintains an outreach program with other Federal organizations to identify resources and develop working arrangements to support NRC as the Coordinating Agency in response to radiological incidents or emergencies. Also, NRC in its role as a Cooperating Agency supports other Federal organizations when they are the designated Coordinating Agency in response to other incidents and emergencies as identified in the National Response Plan (NRP). (5)

Regional Incident Response Centers (B)

Each of the regional incident response centers (IRCs) in the four NRC regions is equipped with communications, response facilities, resources, and designated work areas for each response team. This location serves as the focal point for regional incident response. In the "Monitoring" response mode, the regional response center usually has the operational lead for the agency. The response is led by the regional administrator or designee and is supported by the regional technical staff. Supplemental support may be provided by selected technical staff at Headquarters as needed or requested. The regional IRC provides the point-of-contact with Headquarters for coordination of activities related to the incident response. Personnel are available to respond on an as-needed basis and, depending on the incident's complexity and severity, the regional office may partially or fully staff its IRC. For a severe incident or emergency at a licensee's site, the regional office staffs its IRC and, when necessary, dispatches a site team. (1)

Regional Incident Response Centers (B) (continued)

Procedures are maintained in each IRC in order to effectively transfer incident response functions to other backup locations as conditions require. (2)

Technical Support by NRC Personnel and Others (C)

NRC maintains an awareness of offsite conditions and activities related to incidents in order to protect public health and safety and the environment. For incidents involving facilities or materials licensed by NRC or an Agreement State, NRC performs an independent assessment of the safety of the facility or material. Data are collected, verified, analyzed, and evaluated by NRC to arrive at an independent assessment of the situation and of the adequacy of safety and protective measures being recommended or implemented. Although the primary responsibility for dealing with an incident remains with the licensee, NRC may give advisory support and may assist the licensees in diagnosing the situation, isolating critical problems, and determining courses of action and additional precautionary measures necessary and appropriate under its statutory responsibilities. (1)

NRC serves as the focal point at the Federal level for providing authoritative technical information on radiological incidents related to the onsite situation and licensee activities. NRC advises State and local or Tribal authorities, when requested, on actions to mitigate the consequences of the incident and to protect public health and safety and the environment. As NRC exercises this advisory role during an incident or emergency, it may confirm licensees' protective action recommendations or provide additional recommendations to local, State, or Tribal authorities and the Federal Emergency Management Agency (FEMA). (2)

NRC may, upon request, assist the licensee by obtaining onsite and external support relating directly to onsite response activities. In this capacity, NRC may serve as an intermediary between the licensee and other response participants. NRC may also coordinate the deployment of Federal resources to the State and/or other response organizations as outlined in the NRP. (3)

Technical Support by NRC Personnel and Others (C) (continued)

For nuclear and other radiological incidents not involving facilities or materials licensed by NRC or an Agreement State, NRC maintains an outreach program for other Federal agencies. This outreach allows NRC, in the role of a Cooperating Agency, to support other Federal agencies when they are the designated Federal Coordinating Agency in response to other incidents and emergencies as defined in the NRP. (4)

Other private, State, Tribal, or Federal organizations may provide support to NRC during a response to an incident or emergency via their own authority or memoranda of understanding or agreement. NRC also contracts for certain support services to complement technical needs at the IRCs. (5)

Information Technology and Communications Systems (D)

Information technology and communications systems used to support incident response are detailed in the "NRC Incident Response Plan" (NUREG-0728) or support procedures. Software computer programs have been made available for incident response. These programs are identified in support procedures. Information technology and communications systems are vital to maintain the HOC and regional IRCs response readiness to nuclear safety and security incidents. The HOC and regional IRCs are equipped with communications, data acquisition display, and analysis systems. Some of the equipment is automated, for example, the ANS, when activated, contacts incident response members without further operator intervention. Other communications equipment requires continuous monitoring. The private branch exchange (PBX) system hosts voice communications through the HOC and regional IRCs and their teleconferencing bridge and recording systems, thereby providing direct NRC linkages between Headquarters, regions, and with the general public, media, licensees, local, Tribal, State, and other Federal Government entities, as necessary. (1)

Information Technology and Communications Systems (D) (continued)

The staff conducting assessment activities rely on information technology solutions to predict radiological consequences to the public and/or the environment. Data are forwarded from licensees to be processed by NRC staff at the IRCs. Information regarding facility critical parameters is provided electronically and by voice communications. For example, the Emergency Response Data System (ERDS) is capable of displaying selected real-time safety system data at the HOC and regional IRCs from a nuclear power reactor plant. Other communication systems, such as secure telephone and fax machines, electronic library, computer network, communications hardware and software systems, are additional tools for the full operation of the HOC and regional IRCs. (2)

Part IV

Training of Emergency Responders

Personnel Selection and Indoctrination (A)

Experienced personnel are selected from throughout the agency, with the approval of their office directors, to become members of the NRC Incident Response Program (IRP) organization. It is desirable but not necessary that individuals serve in areas that draw on their expertise or experience.

Staff Qualification and Commitment (B)

Normally, individuals selected for team positions already possess the skills and experiences necessary as subject matter experts to carry on the assigned response function but become qualified after participation in a Training and Qualification Program. The qualification process enables the individual to fully understand the priorities of the team and technical requirements to respond to an incident or emergency. Functional analyses of response positions are performed, as necessary, to ensure that the training program is fully aligned with the IRP. Staff will be qualified upon successful completion of qualification training for their assigned team position. A centralized system shall be established to track training activities by individuals and positions. (1)

The minimum requirements for participation on the incident response team are completion of an initial qualification and qualification maintenance. The initial qualification includes general response training, position-specific training, and participation in a hands-on type activity. Qualification maintenance is designed to demonstrate proficiency by a periodic update of the general response training and periodic participation in drills, exercises, or equivalent tabletop exercises. Other requirements shall be outlined in the Training and Qualification Program. (2)

Staff Qualification and Commitment (B)

(continued)

A roster of qualified incident response team members is maintained to ensure access to necessary resources, when needed. This roster is kept current to enable the Automated Notification System (ANS) custodian to utilize the record as an integral tool to make automatic notification to HOC team members responding to an incident or emergency. (3)

Individuals participate as team members in the IRP. These team members contribute with the goal of ensuring safety as outlined in the NRC's strategic plan. The incident response team member demonstrates commitment by responding when called upon to perform incident response functions. If qualified team members are unavailable to respond to an incident or emergency, the team directors use their best judgment to request NRC staff members to assist until qualified team members are available. (4)

Practice Drills and Exercises (C)

The Chairman and Commissioners periodically participate in practice drills and partial or full-scale emergency response exercises. NRC Headquarters and regional staff members also participate in these drills. NRC IRP exercise performance is evaluated using established, predetermined performance standards. A formal critique documents performance of these activities and feedback to responders. (1)

Training, especially exercises, includes formal critiques in order to identify weak or deficient areas that need correction. Any weaknesses or deficiencies that are identified are assessed, prioritized, and evaluated for corrective actions. Procedures are in place to ensure performance assessment and to generate a mechanism for lessons learned during the exercises. Participation in the scheduled exercises reinforces and promotes a unified response with the on-scene participants, which include licensees, States, Tribal, and local emergency response agencies. (2)

Practice Drills and Exercises (C) (continued)

NRC also participates in large-scale incident response exercises, for example, Federal interagency exercises, technical exercises, counter-terrorism exercises, exercises that have a radiological component, and incident response tabletop exercises organized and conducted by other organizations having radiological responsibilities. (3)

The regional offices and NSIR coordinate NRC participation in periodic exercises for power reactors, fuel cycle facilities, and transportation and materials licensees. These activities provide opportunities to practice, learn, and assess the response procedure and to confirm and maintain the capabilities of NRC's response personnel, both at Headquarters and in the regional offices. As previously indicated, this process includes incorporation of lessons learned for continuous improvement of the IRP. (4)

Maintaining Qualified Response Teams (D)

NSIR, regional office, and Technical Training Center (TTC) staff provide Headquarters and regional personnel with the level of training necessary to perform assigned incident response functions and maintain response readiness. Detailed information on training programs is included in NUREG-0728 and support procedures.

Part V Incident and Emergency Response Management

Guidance and Reference Documents (A)

NRC staff is responsible for implementing the Incident Response Program to ensure that applicable guidance is developed and incorporated in programs, plans, and procedures that carry out the objectives of the IRP. (1)

Regional and Headquarters response staff develop and maintain response program procedures and references for normal operations and to assist in performance of assessments and response to an incident. Detailed information on procedures and guidance documents is provided in the "NRC Incident Response Plan," NUREG-0728. If the provisions of NUREG-0728 conflict with other NRC documents, the provisions of NUREG-0728 shall prevail. (2)

Response Plan Development and Implementation (B)

NUREG-0728 is used by NRC to manage and respond to an incident. It is periodically updated and contains the overall response plan guidance and assigned responsibilities to perform incident response functions involving NRC and Agreement State licensees. NUREG-0728 identifies the following:

- NRC commitments in meeting the requirements of Homeland Security Presidential Directive 5 (HSPD-5), "Management of Domestic Incidents," and coordinating and supporting responsibilities identified in the National Response Plan (NRP) and associated annexes. (a)
- The NRC incident response groups, including Headquarters, the regional base team, and the site team. (b)

Response Plan Development and Implementation (B) (continued)

- Responsibilities of the licensees, NRC Headquarters and regional offices, State, Tribal, and local governments, and other Federal organizations. (c)
- Response modes, functions, and recovery activities. (d)
- Headquarters implementing procedures and standardized regional implementing procedures. (e)

Procedures at Headquarters and the Regions (C)

NRC Headquarters and each region under the guidance and oversight of NSIR develop and maintain specific implementing procedures as described in NUREG-0728. An index of specific response program procedures designating organizational responsibilities is maintained. Additionally, an incident response manual chapter shall contain provisions to ensure consistent procedural information, where appropriate, between Headquarters and each region. (1)

When situations arise that are not prescribed in the response procedures, the Commission staff may utilize other Federal documents or sources to complement existing procedures in order to advise the NRC Chairman or the designee leading the NRC response. (2)

Implementation of Lessons Learned (D)

A lessons-learned program that identifies incident response deficiencies and their associated resolution is developed and maintained under the guidance and oversight of NSIR. These findings support continuing improvement as NRC responds to actual incidents and participates in periodic drills or exercises. The program has a prioritization to ensure that critical elements

Implementation of Lessons Learned (D) (continued)

receive the deserved attention and less significant conditions have the resources applied. The details of this program shall be outlined in an Incident Response Manual Chapter.

Continuing Improvement (E)

A continuous improvement program that includes periodic meetings of NSIR and regional staff to discuss work practices, coordination, areas for improvement, and incorporation of lessons learned is developed and maintained under the guidance and oversight of NSIR. The details of this program shall be outlined in an Incident Response Manual Chapter.

Part VI

Outreach to Stakeholders

Training and Information Exchange (A)

Periodically the NRC conducts training with various stakeholders. Training routinely includes an overview of the Federal response to radiological accidents and the NRC tools that support the agency's response to accidents. Such training may also include the NRC's role in Federal response to terrorist actions. The frequency and scope of this training will be detailed in the "NRC Incident Response Plan" (NUREG-0728).

Memoranda of Agreement and Memoranda of Understanding (B)

In addition to Management Directive 8.2 and the associated implementing procedures, NRC establishes memoranda of agreement/memoranda of understanding (MOA/MOU) with other Federal organizations to provide services relating to the NRC Incident Response Program (IRP). Where appropriate, commitments to be fulfilled by NRC are addressed in implementing procedures. NSIR periodically reviews these memoranda to ensure that they meet current program needs.

Support Role for Other Incidents (C)

The NRC IRP provides the basis for NRC responding to incidents not related to NRC licensees or NRC and Agreement State regulated material. NRC is responsible for providing assistance as Cooperating Agency in accordance with requirements of the National Response Plan (NRP) during Incidents of National Significance. The NRP applies to all Federal organizations that may be requested to provide assistance to conduct operations in actual or potential Incidents of National Significance. These incidents may require a coordinated response by an appropriate

Support Role for Other Incidents (C)

(continued)

combination of Federal, State, local, Tribal, private sector, and non-governmental entities. NRC uses the structure of the IRP to provide assistance to the Department of Homeland Security (DHS) or other Federal organizations designated as the Coordinating Agency in response to the incident. In addition to NRC response required by the NRP, NRC responds to any emergency, domestic or abroad, as requested by the Chairman. (1)

During an Incident of National Significance, DHS coordinates the overall Federal response and NRC serves as a Coordinating Agency as described in the Nuclear/Radiological Incident Annex of the NRP. The annex prescribes response activities during an Incident of National Significance as determined by DHS. For nuclear power plants, an incident that is classified as a General Emergency, or a terrorist-related incident that leads to any emergency level classification, is an Incident of National Significance. (2)

Additionally, the annex describes nuclear/radiological incidents of "lesser severity," which are considered below the threshold of an Incident of National Significance as determined by DHS. In this case, overall Federal coordination by DHS is not required and NRC responds to the emergency as the Federal Coordinating Agency. (3)

Part VII Incident Response

Background (A)

The Headquarters Operations Center (HOC) serves as the focal point for NRC's incident response by utilizing effective communications, efficient dissemination of information, analysis, response coordination, and allocation of resources during incidents and emergencies involving its licensees. NRC licensees subject to emergency planning include U.S. commercial nuclear power plants, research and test reactors, fuel cycle facilities, and some nuclear materials licensees. These licensees abide by regulatory requirements to notify the NRC's HOC for certain incidents or emergencies. NRC activates the HOC and the regional incident response center (IRC) and changes the agency's posture when a facility or materials incident could threaten public health and safety and/or the environment.

Notifications to the Headquarters Operations Center (B)

Notifications to the HOC may come from NRC licensees, State agencies that regulate Agreement State licensees, other Federal organizations, security and law enforcement personnel, contractors, military facilities, private citizens, or even via news/press coverage. The incident information is kept in logs, databases, and recorded media. (1)

Pursuant to specific provisions of Title 10 of the *Code of Federal Regulations*, the licensee or Agreement State is responsible for notifying NRC of incidents, emergencies, and other occurrences in compliance with regulatory requirements. Security-related report notifications are also routinely received at the HOC and disseminated to authorized personnel who have an appropriate need to know. (2)

Notifications to the Headquarters

Operations Center (B) (continued)

In addition, information involving the transportation of certain quantities of radioactive materials is provided to the HOC for dissemination to NRC management and other appropriate Federal and State organizations. (3)

Dissemination of Information to NRC

Management and Staff (C)

The HOC staff receives both non-emergency and emergency incident notifications. The information in non-emergency reports is communicated to the NRC regional duty officers (RDOs) in a timely manner so that appropriate NRC regional managers are kept informed and can initiate appropriate followup investigations or activities. Headquarters and regional staff perform an initial assessment of the safety significance of each report. This information is posted to the publicly accessed NRC Web site. Security reports and radioactive material shipment information are shared only with select personnel at NRC and other select State and Federal organizations with a need-to-know. (1)

Incidents or emergencies occurring at nuclear facilities or involving nuclear materials, including security incidents involving potential threats or actual attacks, require activation of the "NRC Incident Response Plan" (NUREG-0728) and prompt involvement of NRC management for response decisionmaking. Following internal NRC response decisionmaking, the staff will also notify the Department of Homeland Security (DHS) and the Federal Emergency Management Agency (FEMA), as well as other Federal organizations, depending on the nature of the incident. (2)

The lead response organization (HOC or IRC) coordinates and conducts NRC management briefings, Commissioner Assistant briefings, and other incident-related communications using telephone conferencing and linking capabilities available to the HOC. Furthermore, the HOC has a video-conferencing

Dissemination of Information to NRC
Management and Staff (C) (continued)

capability that permits Headquarters management and staff to disseminate information and communicate with NRC regional staff, as necessary. (3)

Other methods of disseminating information include e-mail, facsimile, and development of dedicated Web sites related to specific incidents of interest. Information related to security incidents can be disseminated via secure telephone, e-mail, and video- and voice-conferencing capability at the HOC and within the regional offices. (4)

Communication and Data Exchange
With the Licensee (D)

Power reactors and fuel cycle facilities have identified telephone lines for communicating with NRC and State and local authorities. These lines are available in the control rooms, technical support centers, and emergency operations facilities at licensee sites. In addition, backup communications exist by way of commercial lines or satellite communications capabilities. (1)

Other methods of communications include e-mail, facsimile, secure telephone, and the Internet. Other dedicated Federal Government communication systems resources are also available. (2)

Each nuclear power reactor is equipped with the Emergency Response Data System (ERDS). Licensees are required to activate the ERDS for emergency classification levels of Alert or higher and may be requested to activate the ERDS for other incidents. This data exchange provides NRC with key facility parameters that can be independently monitored and analyzed. (3)

The NRC-licensed facilities routinely call the NRC HOC to ensure the availability and reliability of the telephone communications lines. (4)

Decisionmaking and Protocols During a Response (E)

The NRC response is tailored to specific incidents. Predesignated response postures enable the agency to activate response capabilities in a structured manner and focus the agency's response to be commensurate with incident characteristics and severity and with licensee activities. NRC's performance measure in this area is to make a decision regarding the appropriate agency response posture within 30 minutes of receiving initial notification of a significant incident. (1)

The NRC Chairman is the ultimate authority for all aspects of emergency response. The Chairman is the Director of the Executive Team (ET) and has the authority and the responsibility for leading the agency in responding to emergencies. Certain authorities may be delegated by the Chairman to the Deputy Director of the ET. The Deputy Director, typically the Executive Director for Operations (EDO), exercises the delegated authorities unless the Chairman specifically directs otherwise. Together, the Director and the Deputy Director assure that planned actions are underway during the response modes and identify other necessary actions unique to the particular incident. The Headquarters and regional teams carry out those actions. The Director may call on other Commissioners to provide advice and/or perform other key functions. (2)

For complex or significant incidents, the decisionmaking process begins with the RDO/regional representative, the Office of Nuclear Reactor Regulation (NRR) or the Office of Nuclear Material Safety and Safeguards (NMSS) Emergency Officer, the Incident Response Directorate (IRD) manager on call (and the Threat Assessment Section duty officer if the incident involves safeguards/security considerations). If the incident merits an NRC response posture change, the regional administrator (RA) and the Director of NRR or NMSS (or the appropriate persons acting for these ET members) are the decisionmakers. The response posture change to a monitoring mode is made by the responsible

Decisionmaking and Protocols During a Response (E) (continued)

RA in consultation with an ET member. However, for terrorism-related incidents that are nonfacility or region-specific, the decision is made by an ET member. An ET member in consultation with the ET Director makes the decision to change agency posture to activation or expanded activation. Additional requirements may be necessary, such as staffing the HOC, and are outlined in the ET procedures and in NUREG-0728. (3)

For an incident at a specific licensed facility, the NRC response mode is determined by consideration of the licensee emergency classification and the NRC's independent assessment of incident conditions. The NRC response mode for other types of incidents, such as a transportation incident involving regulated material, a regional electric grid incident affecting multiple licensed facilities, a large-scale natural disaster, a national-level domestic threat, and/or a terrorist threat/attack not focused at a specific facility, is determined by the NRC's independent assessment of the aggregate of available incident-related information, including information from licensees and other sources. (4)

The NRC response modes are described in NUREG-0728. (5)

Independent Calculations and Recommendations (F)

The NRC Incident Response Program (IRP) utilizes organized response teams to assist in independently assessing and addressing these questions. The primary response teams supporting the ET leadership and decisionmaking efforts are the Reactor Safety Team (RST) and the Fuel Cycle Safety Team (FCST), which assess licensee actions to ensure safety and project future conditions; the Protective Measures Team (PMT), which monitors and independently determines potential radiological exposure to the public and provides assistance to licensees and governmental agencies in determining public

Independent Calculations and Recommendations (F) (continued)

protective measures; the Safeguards Team (SGT), which assesses licensee actions to ensure safeguards/security and coordinate security response with law enforcement and intelligence agencies; and the Liaison Team (LT), which provides liaison with the Department of Homeland Security (DHS) and other Federal organizations, and communicates and coordinates with Federal organizations, State governmental agencies, and other stakeholder organizations. The responsibility of each team is described in NUREG-0728 and in team procedures developed by the team coordinators at the Headquarters and regional IRCs. (1)

The team structure facilitates technical support to the ET by monitoring and assessing licensee actions to ensure public health and safety. The NRC staff utilizes data provided by the licensee to generate an independent assessment to ensure safety and to project future radiological conditions. Once the assessment is completed, the recommendation is shared with the licensee and governmental entities responsible for providing protective measures to the public. (2)

Communication and Coordination With External Stakeholders (G)

NRC is committed to maintain communication and share information with external stakeholders during normal operations or while responding to an incident. For most incidents, the notification to other Federal organizations is routine when NRC is not in a response mode. However, these notifications proceed expeditiously as time allows, especially when the agency changes its response posture. The agencies or departments routinely notified are DHS, the Federal Emergency Management Agency, the Department of Energy, the Environmental Protection Agency, the Department of Agriculture, the Department of Health and Human Services, and the Department of Transportation for transportation incidents. Other external stakeholders are State,

Communication and Coordination With External Stakeholders (G) (continued)

Tribal, and local agencies. The Liaison Team interacts with external stakeholders during a response to an incident. (1)

During an Incident of National Significance, DHS coordinates the release of Federal information to the public, Congress, and the White House. Communications and notifications that are not made through the mechanisms and provisions of the National Response Plan (NRP) are performed in accordance with established NUREG-0728 procedures or by request of the ET Director. (2)

Incident Response Summary (H)

The HOC receives notification of the incident and contacts NRC emergency response personnel via telephone conferences and/or activation of the Automated Notification System. Incident assessment is initiated by the NRC staff to determine and forecast conditions that assist in determining the need for protective actions. The agency changes posture entering the appropriate response mode to maintain communications between HOC and affected regional IRCs and the corresponding licensee. NRC's incident response teams under the direction of the ET continue the response until the incident or emergency is mitigated and the licensed facility returns to normal operations.

Return to Normal Operations (I)

The NRC's deactivation of response capabilities and, if applicable, participation in recovery activities are performed in a structured manner. Whether acting on NRC's own authority or according to the NRP, deactivation includes activities such as collecting incident-related information and records, identifying and assigning post-incident activities and investigations, resupply of expended response consumables, addressing response personnel needs, and developing lessons learned. (1)

Return to Normal Operations (I)
(continued)

Recovery activities may include radiological cleanup in accordance with mechanisms of the NRP and the development, coordination, and execution of restoration plans for impacted communities. Recovery and deactivation are addressed in an implementing procedure at HOC and regional IRCs. (2)