

ABSTRACT

The United States Nuclear Regulatory Commission (NRC) regulates the Nation=s civilian uses of nuclear fuels and materials to protect the health and safety of the public, to promote the common defense and security, and to protect the environment. The NRC Incident Response Plan, NUREG-0728, was developed to reflect Commission policy regarding agency response to radiological and other incidents and emergencies involving NRC licensees and facilities holding NRC certificates of compliance. The Plan assigns responsibilities for responding to any potentially threatening incident involving NRC-regulated activities and for assuring that the NRC will fulfill its statutory mission. This revision, Revision 3, to the Plan reflects the current NRC organization structure and brings the Plan into conformance with the Initial National Response Plan.

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1. INTRODUCTION

1.1 NRC Statutory Responsibility

The Atomic Energy Act of 1954, as amended, and the Energy Reorganization Act of 1974 provide the statutory authority for the U.S. Nuclear Regulatory Commission (NRC) and the foundation for NRC regulations. The mission of the NRC is to regulate the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, to promote the common defense and security, and to protect the environment. The NRC's scope of responsibility includes regulation of commercial nuclear power plants; research, test, and training reactors; fuel cycle facilities; medical, academic, and industrial uses of nuclear materials; and the transport, storage, and disposal of nuclear materials and wastes.

In the event of an incident involving NRC-regulated activities that has the potential to threaten the public or the environment, the NRC must be prepared to respond quickly. This NRC Incident Response Plan assigns individual and group responsibilities which collectively assure that NRC will fulfill its statutory responsibility.

1.2 NRC and Licensee Parallel Responsibilities

During an incident at a regulated facility or involving licensed material, the licensee or certificate holder (hereafter referred to as "the licensee") is at all times responsible for controlling the material, protecting against its release, and mitigating the consequences of the incident. Licensees of regulated facilities are also responsible for providing appropriate protective action recommendations to State, local, and tribal officials.

The licensee must be prepared to perform essential technical activities to ensure protection of the public in the event of an incident at a regulated facility or involving licensed material. The NRC must be ready to support and assist the licensee by (1) monitoring the incident to be ready to advise the licensee based on NRC's assessment of the situation; (2) locating and obtaining needed expertise and equipment; and (3) communicating and coordinating with applicable Federal, State, local, and tribal agencies. The NRC must be prepared to conduct an independent assessment of potential offsite consequences and to provide assistance and recommendations concerning any protective measures. Both the NRC and the licensee must be prepared to cooperate in all their activities with State, local, tribal, and Federal agencies that have related responsibilities.

For a transportation incident involving radioactive material regulated by the NRC, the respective responsibilities of the licensee and NRC are unchanged from those for a regulated facility. Response activities will vary with the mode of transportation (e.g., highway, rail, ship, or plane), incident location, incident type, source term, and potential consequences. An incident in the public transportation domain inherently relies on excellent licensee and NRC cooperation with appropriate State, local, tribal, and Federal agencies.

1.3 Federal Response

The underlying foundation for all Federal response activities is coordination with and support for State and local government and licensee response efforts. It is recognized that State and local governments have the preeminent role for determining and implementing any measures to protect life, property, and the environment in areas not under the control of a Federal agency.

Pursuant to the Homeland Security Act of 2002, the Department of Homeland Security (DHS) has overall responsibility for coordinating Federal preparations for, response to, and recovery from terrorist attacks, major disasters, and other incidents and emergencies. Federal response is currently governed by a family of interagency incident management and emergency response plans, including the Federal Response Plan (FRP), Federal Radiological Emergency Response Plan (FRERP), United States Government Interagency Domestic Terrorism Concept of Operations Plan (CONPLAN), and Initial National Response Plan (INRP).

1.3.1 Federal Response Plan

The FRP (Reference 1) establishes a process and structure for the systematic, coordinated, and effective delivery of Federal assistance to address the consequences of any major disaster or emergency declared under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). It applies to a major disaster or emergency, as including a natural catastrophe, fire, flood, explosion, or any other occasion or instance for which the President determines that Federal assistance is needed to supplement State and local efforts and capabilities.

1.3.2 Federal Radiological Emergency Response Plan

The FRERP (Reference 2) establishes an organized and integrated capability for timely, coordinated response by Federal agencies to peacetime radiological emergencies. The level of the Federal response is based upon the type and/or amount of radioactive material, the location of the emergency, the impact on or the potential for impact on the public and the environment, and the size of the affected area. Emergencies occurring at nuclear facilities regulated by the NRC or an Agreement State and emergencies involving the use or transportation of radioactive materials licensed by the NRC or an Agreement State are within the scope of the FRERP.

The FRERP applies the concept of a Lead Federal Agency (LFA)——the agency responsible for leading and coordinating all Federal on-scene actions and assisting State and local governments in determining measures to protect life, property, and the environment. In the event a “major disaster” or “emergency” is declared under the Stafford Act concurrent with a radiological emergency under the FRERP, the LFA coordinates the management of the radiological response with the Federal Coordinating Officer (FCO) established under the FRP. The direction of the Federal government’s radiological response remains with the LFA; the FCO has the overall responsibility for the coordination of Federal assistance in support of State and local governments under the FRP. For radiological emergencies involving facilities or material regulated by the NRC or an Agreement State, the *NRC is designated the LFA*.

1.3.3 U.S. Government Interagency Domestic Terrorism Concept of Operations Plan

The CONPLAN (Reference 3) provides overall guidance to Federal, State, and local agencies regarding the Federal response to a potential or actual terrorist incident, particularly incidents involving weapons of mass destruction (WMD). The CONPLAN employs a “dual” Lead Federal Agency (LFA) concept: (1) the Federal Bureau of Investigation (FBI) is the LFA for law

enforcement and related functions; and (2) the Federal Emergency Management Agency (DHS/FEMA) is the LFA to implement the Federal Response Plan (FRP) to manage and coordinate Federal support to State and local authorities. For radiological incidents involving WMD, the NRC provides technical support to the LFA.

1.3.4 Initial National Response Plan

The INRP (Reference 4) implements, on an *interim* basis, the domestic incident management authorities, roles, and responsibilities of the Secretary of Homeland Security as defined in Homeland Security Presidential Directive 5 (HSPD-5), "Management of Domestic Incidents" (Reference 5). The INRP, issued on September 30, 2003, provides *interim* guidance on Federal coordinating structures and processes for domestic incident management. The INRP is applicable to domestic incident management in the context of terrorist attacks, major disasters, and other emergencies, including radiological emergencies involving NRC or Agreement State licensees.

Pursuant to the INRP, modifications are required to the current Federal interagency response plans (e.g., FRP, FRERP, CONPLAN) and agency-specific response plans for conformance with the roles and responsibilities and activities of the Department of Homeland Security (DHS). For a radiological emergency within the scope of the FRERP, the basic authorities and responsibilities of the LFA remain unchanged by the INRP. However, the Federal-level interfaces of the LFA are modified (see Section 4.3).

The full (i.e., final) National Response Plan (NRP) is intended, when developed, to integrate the current family of Federal prevention, preparedness, response, and recovery plans into a single all-discipline, all-hazards plan. When implemented, the full NRP is to supersede existing interagency incident management and emergency response plans (e.g., FRP and FRERP), although some plans may continue to function as referenced in the NRP.

1.4 Purpose and Scope of NRC Incident Response Plan

This NRC Incident Response Plan governs NRC response to incidents involving NRC licensee and certificate holders as defined by the Atomic Energy Act of 1954. This Plan describes the functions and kinds of decisions that constitute an NRC response. Taken as a whole, this Plan provides an overview of NRC functions before and during an incident. It serves the following purposes:

- (1) Guides NRC managers who must assure that all appropriate tasks are under way at any stage of a response.
- (2) Reminds each NRC participant of his or her responsibilities (either as an individual or as a team member) throughout a response.
- (3) Identifies NRC interrelationships with other organizations.
- (4) Serves as a training aid to maintain personnel readiness.
- (5) Emphasizes the primary responsibility of the licensee in responding to an incident.

An effective incident response demands a simplified management concept and a clear organization of task responsibilities. This Plan is intended to do the following:

- (1) Provide for defined decisions to increase or decrease the scope of the NRC response so that all participants are aware of the response mode and of their corresponding responsibilities.
- (2) Identify clear responsibilities for advising offsite authorities, advising the licensee, directing the licensee, and making other incident-related decisions.
- (3) Inform NRC personnel and other organizations of NRC response actions and any delegation of authority, particularly when the focus of the response is shifted from Headquarters to the Director of Site Operations (DSO).
- (4) Guide interactions with DHS as prescribed by the INRP.

The responsibilities assigned by the Plan are exercised through NRC management directives and the NRC Incident Response Program Implementing Procedures. The management directives and implementing procedures are not included in this plan; they are operational tools that are subject to more frequent change than the Plan and are contained in separate documents.

2. RESPONSIBILITIES DURING an INCIDENT/EMERGENCY

2.1 Licensee Responsibilities

2.1.1 Limiting the Consequences

The licensee has the immediate and primary continuing responsibility for preventing the occurrence and limiting the consequences of an incident. Limiting the consequences to public health and safety should take clear precedence over adverse publicity or limiting financial loss. During an incident the licensee should take whatever action is deemed necessary to limit the consequences to public health and safety, even if that action is outside the NRC license technical specifications. If time does not permit in an incident, notification of and consultation with NRC is not required before the licensee takes action deemed appropriate.

2.1.2 Recommending Protective Actions

The licensee is responsible for keeping local, State, and Federal authorities (as specified in the licensee's emergency plan) informed of the status of the incident with respect to protection of the public health and safety. The licensee should promptly recommend to State, local, tribal, and Federal authorities specific protective actions to limit the danger to the public, including evacuation, sheltering, and, as appropriate, the prophylactic use of potassium iodide.

2.1.3 Notifying NRC

Licensee notification to NRC must be in compliance with regulatory requirements (e.g., 10 CFR Part 20, Subpart M, "Reports"; 10 CFR Part 30.50, "Reporting Requirements"; 10 CFR Part 40.60, "Reporting requirements"; 10 CFR Part 50.72, "Immediate notification requirements for operating nuclear power reactors"; 10 CFR Part 70.50, "Reporting requirements;" 10 CFR Part 70.74, "Additional reporting requirements"; 10 CFR Part 73.71, "Reporting of safeguards events"; and/or 10 CFR Part 76.120, "Reporting requirements").

2.2 State and Local Government Responsibilities

While the licensee has the primary role in preventing and mitigating incident consequences, the State and local authorities have ultimate responsibility for assuring the protection of the public

from such consequences off site. The licensee, the NRC, and the Department of Homeland Security assist the State and local authorities in assuring protection of the public.

2.3 NRC Responsibilities

The NRC's responsibilities include (1) assessing incident conditions; (2) evaluating protective action recommendations; (3) monitoring, advising, assisting, and directing the licensee; (4) supporting and coordinating with State and local authorities, the Department of Homeland Security, and other Federal agencies; (5) reporting information to appropriate entities; (6) serving, as applicable, as LFA under the FRERP; and (7) coordinating with, or serving as, the Principal Federal Official as designated by the Secretary of Homeland Security.

In any incident, NRC may exercise more than one role, sometimes concurrently, as events progress. Roles are not discrete or mutually exclusive, but instead are incremental. These roles are presented in ascending order of NRC responsibility.

2.3.1 Monitoring Role

In this role, NRC response is passive and involves information acquisition and assessment. The licensee, in conjunction with State and local authorities, has primary responsibility for dealing with the incident. NRC keeps itself apprised of both the situation and the status of response actions, based on data supplied by the licensee, as well as any data obtained from independent sources, reported by NRC personnel on site, or provided by offsite authorities. NRC maintains cognizance of offsite conditions and activities related to the incident. Additional ad hoc information may be requested by NRC, as deemed necessary. Data from all sources is collated, verified, analyzed, and evaluated by NRC to arrive at an independent estimate of the situation and of the adequacy of protective measures being recommended or implemented. NRC serves as the focal point at the Federal level for providing authoritative technical information on the incident related to the onsite situation and licensee activities.

2.3.2 Coordinate and Inform Role

Based on the monitoring role, the NRC may find it appropriate to inform cognizant officials, other agencies, and/or the public about the status of the incident. This role will be exercised if it is clear that responsible parties are not aware of pertinent information or when information is specifically requested by interested parties (e.g., news media, Congress, White House). NRC activities in this role will be coordinated with the Department of Homeland Security (see Section 4.3).

2.3.3 Advisory Role

In this role, the NRC response is expanded to exert influence on the response process, using information gathered by continued monitoring. The primary responsibility for dealing with the incident remains with the licensee. NRC gives advisory support and assists in diagnosing the situation, isolating critical problems, and determining what courses of action and additional precautionary measures are necessary and appropriate. NRC advises the licensee and, as applicable, State and local authorities and other Federal agencies.

In coordination with the Department of Homeland Security, NRC advises State and local authorities on actions to mitigate the consequences of the incident and to protect the public. This advice may confirm the licensee's recommendation or provide additional recommendations.

The 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.

2.3.4 Limited Direction Role

In rare situations, the NRC may find it necessary to intervene in a limited manner to direct the licensee's onsite response. It is not anticipated that NRC will be required to assume this role, but plans must be made for such a contingency. In such a situation, the NRC will issue formal orders to the licensee to take certain measures and then monitor implementation of the actions ordered. In this role, the licensee continues to make other key incident-related decisions and to operate and manage the facility with licensee personnel. NRC requirements and direction will be channeled to licensee management.

The NRC Chairman has the authority to issue orders and directives to the licensee. This authority may be delegated to the NRC Director of Site Operations (see Section 3.2) at the licensee's site. The reason for this delegation is that more complete information is likely to be available at the site, providing a firmer basis for such orders or directives.

2.4 Department of Homeland Security Responsibilities

The Secretary of Homeland Security is the principal Federal official for domestic incident management. Pursuant to the Homeland Security Act of 2002, the Secretary is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The Secretary shall coordinate the Federal government's resources utilized in response to or recovery from terrorist attacks, major disasters, or other emergencies if and when any one of the following four conditions applies: (1) a Federal department or agency acting under its own authority has requested the assistance of the Secretary; (2) the resources of State and local authorities are overwhelmed *and* Federal assistance has been requested by the appropriate State and local authorities; (3) more than one Federal department or agency has become substantially involved in responding to the incident; or (4) the Secretary has been directed by the President to assume responsibility for managing the domestic incident.

3. NRC RESPONSE AND RESPONSE OPERATIONS

3.1 NRC Response Modes

NRC incident response operations are divided into distinct modes based upon the NRC's assessment of incident severity and/or uncertainty. For incidents at NRC-regulated facilities, the response mode is dependent upon both the licensee emergency classification and an independent NRC assessment of incident conditions. Table 1, Part A, identifies and describes licensee emergency classes for nuclear power plants, as excerpted from NUREG-0654, Rev. 1 (Reference 6). Table 1, Part B, identifies and describes licensee emergency classes for gaseous diffusion plants, regulated under 10 CFR Part 76, and facilities regulated under 10 CFR Part 30 (byproduct material), 10 CFR Part 40 (source material), and 10 CFR Part 70 (special nuclear material), as excerpted from the respective parts of 10 CFR. Table 2 illustrates the typical correlation between NRC response modes and licensee emergency classes.

For an incident that does not directly involve a specific regulated facility (e.g., a transportation incident involving regulated material, a regional electric grid incident, a large-scale natural disaster, domestic threat, or a terrorist threat/attack *not* focused at a specific facility), the NRC's independent assessment is based upon the aggregate of available incident-related information, including information from both licensees and other sources.

(1) NORMAL

The NORMAL mode applies to the routine, state of NRC operations and activities and includes all activities designed to maintain incident response readiness (e.g., 24/7 Headquarters Operations Center staffing by Headquarters Operations Officers/ Headquarters Emergency Response Officers). The NORMAL mode continues through the initial discussion of any report and/or notification to Headquarters or a Regional Office and the joint assessment by Headquarters/Regional personnel of the initial reported information. The designated Headquarters manager and his or her regional counterpart jointly determine NRC response activities. If so instructed, the Headquarters Operations Officer establishes and maintains a telephone link between the reporting individual and the appropriate Headquarters and Regional personnel.

(2) MONITORING

The NRC goes to a heightened state of readiness for information acquisition and assessment—the MONITORING mode—upon a decision by the designated Headquarters and Regional managers. The Regional Office has the lead throughout the MONITORING mode. Headquarters may assume the lead, however, for terrorist-related incidents or for incidents that involve multiple licensees or NRC Regions. The Region appropriately staffs its Incident Response Center. Headquarters supports the Region and may have specific individuals participating in monitoring and/or analysis activities, but the Operations Center is not formally activated. Figure 1 illustrates the role of Headquarters and the responsible Region for the MONITORING mode.

(3) STANDBY

The STANDBY mode is initiated by a decision of the Regional Administrator in consultation with a Headquarters Executive Team member. The purpose of STANDBY is to determine if there is likely need to activate the full NRC response and to prepare for rapid activation should it be necessary.

The criterion for STANDBY is that an event is sufficiently complex or uncertain that it requires more intensive monitoring and, if it involves a regulated facility, preparations to send a NRC team to the site and/or for potential terrorist activities. For example, for an incident at an NRC-regulated facility, the NRC response typically escalates to STANDBY whenever a licensee declares an Alert class of emergency. For an incident involving nuclear and/or radiological issues for which the Homeland Security Advisory System (HSAS) threat level is escalated to ORANGE, the NRC may respond in the STANDBY mode.

Headquarters typically has the lead throughout the STANDBY mode. The Headquarters Operations Center is partially staffed under the leadership of an Executive Team member or designee. The primary Region retains staff in its Incident Response Center to support Headquarters, but the focus during this mode is to prepare a Regional team, as appropriate, to travel to the licensee's site or the location of the incident. Headquarters and the Region maintain continuous communication via the telephone bridge network and each location evaluates available information, makes appropriate notifications, and prepares for rapid activation should it become necessary. If available, the Resident Inspectors assist in the assessment of the situation at the licensee's facility. Figure 2 illustrates the role of Headquarters and the responsible Region for the STANDBY mode.

(4) INITIAL ACTIVATION

The INITIAL ACTIVATION mode is initiated by a decision of an Executive Team member in consultation with the Regional Administrator. The purpose of INITIAL ACTIVATION is to initiate a significant NRC onsite response to a facility-specific incident and/or to prepare for imminent response to terrorist activities. The criteria for INITIAL ACTIVATION may include the following:

- (a) Licensee declaration of a Site Area Emergency or General Emergency (at a nuclear power plant) that is not an obvious overclassification, or
- (b) Judgment by an Executive Team member that the potential for increasing risks requires an NRC onsite response team as soon as possible, or
- (c) HSAS threat level is escalated to RED, or
- (d) Judgment by the Executive Team member that a full Executive Team, led by the Chairman, is necessary to manage NRC response to an incident.

Headquarters has the lead throughout the INITIAL ACTIVATION mode. The Headquarters Operations Center is activated and fully staffed by the response teams. Response team membership may be tailored to the specific event. The Headquarters News Center may be activated. The Region Incident Response Center staffing is adjusted when the NRC Site Team, if appropriate, is dispatched under the leadership of the Regional Administrator (or other designated senior NRC official). Other Regional Offices are alerted and may partially staff their Incident Response Centers or provide resources and/or personnel to the NRC Site Team. The focus of NRC response activities is at Headquarters. Figure 3 illustrates the role of Headquarters and Regional Offices for the INITIAL ACTIVATION mode.

(5) EXPANDED ACTIVATION

The EXPANDED ACTIVATION mode is initiated by a decision of the Executive Team Director (i.e., the NRC Chairman or his designee) following arrival of the NRC Site Team at the licensee's site (or incident location). The decision is made after receipt of a report from the Regional Administrator (or other designated senior NRC official) that the Site Team is prepared to perform NRC response activities. The Regional Administrator at the incident site is designated as the NRC Director of Site Operations (DSO). The DSO

is lead for NRC response activities under specific authorities delegated by the Executive Team Director.

The NRC Site Team has the lead throughout the EXPANDED ACTIVATION mode. The focus of NRC response activities is at the site, although Headquarters retains any authority not specifically delegated to the DSO. The Executive Team Director draws on all Regional and Headquarters personnel to provide support to the DSO. Figure 4 illustrates the role of the NRC Site Team, Headquarters, and Regional Offices for the EXPANDED ACTIVATION mode.

(6) DEACTIVATION

The DEACTIVATION mode is initiated by the decision of the Executive Team Director in consultation with the DSO. The purpose of the DEACTIVATION mode is to ensure that appropriate follow-up actions are assigned and scheduled. The criterion for DEACTIVATION is that the risk or potential risk to the public no longer requires a significant onsite presence by the NRC.

Response operations during the early part of this mode are similar to those during the STANDBY mode, except that the NRC Site Team may remain active. In addition, recordings, logs, and other records of the incident are assembled and catalogued for review. The responsibilities for reviews and investigations are assigned. Responsibilities for recovery operations are assigned, and some recovery operations may continue as the NRC returns to the NORMAL mode.

3.2 NRC Response Operations

The NRC response need not escalate through all modes. For example, analogous to the licensees' emergency classification scheme, event severity may dictate that the NRC transition directly from NORMAL to the INITIAL ACTIVATION mode. The transition to EXPANDED ACTIVATION depends upon the decision to establish a NRC Site Team and arrival of the Site Team at the incident site. Alternatively, the NRC response may deactivate directly from the MONITORING mode or from the STANDBY mode. This flexibility permits the NRC response to be commensurate with incident severity and licensee activities.

The NRC Chairman is the senior NRC authority for all aspects of a response and, in carrying out his/her responsibility for directing NRC activities, may choose to make, modify, or set aside any decision. The Chairman becomes the Director of all NRC response activities and personnel, a title meant to imply that the Chairman has both the authority and the responsibility for taking direct charge of any particular activity should the need arise. The Chairman, or his/her designee, is the decisionmaker for escalating and deescalating NRC response modes.

Certain authorities may be delegated by the Chairman to the Deputy Director upon activation of the Headquarters Operations Center. The Deputy Director, who normally will be the Executive Director for Operations (EDO) or another member of the Executive Team (ET), will exercise the delegated authorities unless the Chairman specifically directs otherwise.

Together, the Director and Deputy Director assure that planned actions are under way during the NRC's response modes; they also identify other necessary actions unique to the particular incident. Headquarters and Regional teams carry out those actions. The Director (i.e., the Chairman or designee) may call on the other Commissioners to provide advice and/or perform key missions, as well as keep the Commission informed of the status of agency response.

In the EXPANDED ACTIVATION mode, the Director normally transfers authorities to the Director of Site Operations (DSO) after a qualified official (usually the responsible Regional Administrator) arrives at the site (or location of the incident) with the NRC Site Team, obtains a briefing from licensee management, assesses the situation, and reports back to the Director that he/she is prepared to assume the authorities. The Director may delegate any or all of the following:

- (1) Authority to recommend actions to the licensee
- (2) Authority to recommend offsite actions, where necessary, either confirming the licensee's recommendation or providing additional NRC recommendations
- (3) Authority to direct the licensee to take specified actions when such actions are necessary to protect the public from imminent danger
- (4) Authority to represent the NRC as LFA

Other officials and organizations are immediately informed of the appointment and delegated authority. The DSO assumes supervision of all NRC personnel at the site, represents NRC in interactions with other agencies and the news media, and decides what response actions must be taken, consistent with the delegated authority. The DSO may obtain direct support from any element of NRC. If the DSO is uncertain how best to obtain support, the Executive Team or a designated member of the Executive Team assists and assigns any agency personnel to such tasks as are needed.

3.3 NRC Response Teams and Participants

NRC incident response personnel at both Headquarters and Regional Offices are typically organized by "teams." The NRC's overall response to any incident is under the direction of the NRC Chairman, or his/her designee, and the Chairman is identified as the Director of the Headquarters Executive Team. The NRC's response at the Regional level is under the direction of the respective Regional Administrator, or his/her designee. If a NRC Site Team is established in the EXPANDED ACTIVATION mode, the Director of Site Operations is lead for NRC response under specific authorities delegated by the Chairman.

The NRC teams are typically staffed by experienced and qualified personnel whose routine responsibilities/activities are correlated with the respective team's incident response functions and activities. Team directors are typically experienced and qualified supervisors/managers. Team directors may tailor team staffing for a particular incident and, for an extended incident, determine long-term team staffing. Implementing Procedures identify the specific staffing and functions/activities for each team.

3.3.1 Headquarters Executive Team

The Executive Team has the following positions:

- P Director (Chairman of the Commission or designee)

- P Deputy Director (appointed by the Director, usually the Executive Director for Operations)
- P Members

Members of the Executive Team, apart from the Director and Deputy Director, are typically determined by the type of incident as follows:

- (1) For an incident involving a licensed reactor (power or nonpower), members include:
 - P Deputy Executive Director for Reactor Programs (DEDR)
 - P Deputy Executive Director for Homeland Protection and Preparedness (DEDH)
 - P Director of the Office of Nuclear Reactor Regulation (NRR)
 - P Director of the Office of Nuclear Regulatory Research (RES)

- (5) For an incident involving a regulated nonreactor facility or for transportation events, members include:
 - P Deputy Executive Director for Materials, Research, and State Programs (DEDMRS)
 - P DEDR
 - P Director of the Office of Nuclear Material Safety and Safeguards (NMSS)
 - P Director of RES

- (3) For an incident not directly involving a specific regulated facility or licensed material (e.g., terrorist threat or attack, electric grid event, or natural disaster), members include:
 - P DEDR
 - P DEDR
 - P DEDMRS
 - P Director of the Office of Nuclear Security and Incident Response

Additional members of the Executive Team, at the discretion of the Director, may include: General Counsel; Inspector General; Deputy Executive Director for Management Services; Chief Information Officer; Chief Financial Officer; Director of the Office of Nuclear Security and Incident Response; Director of the Office of Public Affairs; or other senior managers. The Director of the Division of Incident Response Operations may perform an advisory role to the Executive Team. For an extended incident requiring long-term staffing of the Executive Team, members of the Executive 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, but are typically not designated as part of the Executive Team. However, for an extended incident requiring long-term staffing of the Executive Team, other Commissioners may relieve the Chairman as the Director.

3.3.2 Headquarters Support Teams

- P Headquarters Operation Officer(s) and Emergency Response Officer(s)
- P Emergency Officers
- P Protective Measures Team
- P Reactor Safety Team
- P Fuel Cycle Safety Team

- P Safeguards Team
- P Status Officer Team
- P Response Coordination Team
- P Operations Support Team
- P News Center Team
- P Liaison Team
 - o Federal Liaison (Office of Nuclear Security and Incident Response)
 - o State/Tribal Liaison (Office of State and Tribal Programs)
 - o Congressional Liaison (Office of Congressional Affairs)
 - o Public Affairs (Office of Public Affairs)
 - o International Liaison (Office of International Programs)
 - o Federal agency representatives (e.g., Department of Energy, DHS/FEMA)
- P Office of Chief Information Officer representatives

3.3.3 Site and Regional Participants

- P Director of Site Operations (appointed by the Director after onsite evaluation by senior official, usually a Regional Administrator)
- P Regional Administrators (those not appointed Director of Site Operations)
- P Site Team
- P Resident Inspector(s)
- P Base Team (Regional Office personnel *not* at the incident site)
- P Regional Duty Officer
- P Recovery Team

3.3.4 Government and Private Sector Organizations

External organizations with which NRC may interact during an incident include the following:

- P Executive Office of the President (White House)
- P Congress
- P Department of Homeland Security (DHS)
- P DHS/Federal Emergency Management Agency (FEMA)
- P Department of Agriculture (USDA)
- P Department of Commerce (DOC)
- P Department of Defense (DoD)
- P Department of Energy (DOE)
- P Environmental Protection Agency (EPA)
- P Department of Health and Human Services (HHS)
- P Federal Bureau of Investigation (FBI)
- P Central Intelligence Agency (CIA)
- P Department of State (DOS)
- P Department of Transportation (DOT)
- P Federal Aviation Administration (FAA)
- P National Aeronautics and Space Administration (NASA)
- P Center for Disease Control (CDC)
- P US Coast Guard (USCG)
- P US Customs Service (USCS)
- P Transportation Security Administration (TSA)

- P Food and Drug Administration (FDA)
- P International Atomic Energy Agency (IAEA)
- P State Executive (Governor)
- P State radiological and logistical personnel
- P State homeland security advisors
- P State emergency services
- P Local (county/city) emergency services
- P Licensee management (corporate headquarters, Technical Support Center, offsite Emergency Operations Facility)
- P Licensee operating personnel
- P The public and the media
- P Plant architects and engineers, construction contractors, nuclear steam system suppliers, and other vendors
- P Nuclear industry advisory groups
- P Consultants
- P Other nongovernment organizations
- P Representatives of Foreign governments or international organizations

3.4 NRC Response Functions

The NRC's preparations for, and response to, an incident may include the following functions:

- (1) Maintain response capability. This function includes tasks required to maintain readiness, such as training personnel and maintaining communications systems.
- (2) Operate emergency communications systems. This function includes tasks that assure proper receipt and handling of all communications during any response mode.
- (3) Evaluating and assessing initial information. This function includes tasks that culminate in decisions as to the severity of an incident and the extent of the initial NRC response.
- (4) Escalate NRC response. This function includes tasks of recommending and deciding on a need for increased NRC participation at any time after the initial response decision.
- (5) Enter MONITORING mode. This function includes tasks that must be completed as soon as possible upon transitioning to the MONITORING mode.
- (6) Enter STANDBY mode. This function includes tasks that must be completed as soon as possible upon transition to the STANDBY mode.
- (7) Enter INITIAL ACTIVATION mode. This function includes tasks that must be completed as soon as possible upon transition to the INITIAL ACTIVATION mode.
- (8) Enter EXPANDED ACTIVATION mode. This function includes tasks that must be completed as soon as possible upon transition to the EXPANDED ACTIVATION mode.
- (9) Enter DEACTIVATION mode. This function includes tasks that must be completed as soon as possible upon transition to the DEACTIVATION mode.

- (10) Evaluate incident and plant status. This function includes tasks needed to assure that response personnel constantly have a complete and accurate status of emergency conditions at the plant or facility.
- (11) Evaluate licensee actions. This function includes tasks that provide an overview of the licensee's actions with respect to preventing or mitigating the actual or potential consequences of an incident and with respect to the adequacy of licensee recommendations to offsite authorities for protective actions for the public.
- (12) Project consequences and plant status. This function includes tasks needed to develop timely projections of the likely future course of an incident.
- (13) Advise, assist, or direct licensee.
 - (a) Advise. This function includes tasks needed to develop sound advice and to ensure that the advice is stated clearly, developed from the best information and projections, and transmitted accurately.
 - (b) Assist. This function includes tasks needed to assure that the licensee is provided the expertise, equipment, and authority to take actions necessary to prevent or mitigate the consequences of the incident.
 - (c) Direct. This function includes tasks needed to control a licensee's actions to determine whether authority to issue orders will be delegated from the Director to the DSO if orders are necessary to protect the public from imminent danger based on accurate information, clearly stated, and accurately conveyed by the DSO.
- (14) Request support from other agencies. This function includes tasks that clarify responsibilities among participating agencies for identifying needs, requesting support, and resolving conflicts in priorities or actions.
- (15) Maintain liaison with the Department of Homeland Security, Congress, the White House, other Federal, State, international, and local agencies. This function includes tasks that identify primary liaison responsibilities for helping to assure that information exchange is adequate, accurate, timely, and consistent.
- (16) Inform public and monitor public information. This function includes tasks needed to assure that NRC information releases are complete, accurate, and consistent, available to all response personnel, coordinated with other response organizations, and accurately and promptly relayed to the public.
- (17) Recommend protective actions for public. This function includes tasks that culminate in NRC decisions to endorse licensee recommendations for protective action or to recommend additional offsite actions to protect public health and safety. Implementation of protective actions in response to a fast moving severe incident (General Emergency) should not await NRC review.
- (18) Provide administrative and logistical support. This function includes tasks needed to assure the availability of adequate transportation, housing, information resources, and any other support needs of NRC response personnel that may be identified during an incident.

- (19) Decide to deescalate. This function includes tasks that provide for orderly reduction of the NRC response.
- (20) Review, investigate, and document response actions. This function includes tasks that formalize the responsibilities for assuring complete and timely documentary follow-up to an incident.
- (21) Recovery. This function includes tasks that formalize the responsibilities for assuring appropriate technical follow-up to an incident.

4. NRC EXTERNAL INTERFACES

4.1 Licensee

The NRC's most frequent interface is with the licensee. The NRC relies upon the licensee for initial notification of an incident or potential incident in accordance with NRC regulations (see Section 2.1.3). Federal Telecommunications System (FTS) lines (forming the Emergency Notification System [ENS]) have been installed at each NRC-regulated nuclear power plant and gaseous diffusion site to facilitate the notification call. With the decision by NRC Headquarters or a Regional Office that a report cannot be handled routinely, a continuous communications link with the licensee may be established over the FTS lines to be maintained for as long as necessary. Additional telephone conferences may also be established.

For power plants and gaseous diffusion facilities, NRC interfaces include the following:

- (1) Licensee emergency plans and essential facility design data are maintained at the Headquarters Operations Center and Regional Incident Response Center.
- (2) NRC Resident Inspectors at each site provide independent assessments of an incident.
- (3) Licensee onsite Technical Support Centers (TSCs) and offsite Emergency Operations Facilities (EOFs) provide for effective communication. Upon transfer of NRC authority to a Director of Site Operations, face-to-face communication typically becomes the dominant means of exchanging information and interacting with the licensee.
- (4) For power plants, the Emergency Response Data System (ERDS) provides the NRC Headquarters Operations Center (and many States) with real-time, automatically transmitted plant data. ERDS provides direct electronic transmission of selected plant parameters, enabling independent assessment of incident conditions by NRC without extended oral communications with the licensee.

4.2 State/Local Government

The interface with offsite authorities is also extensive. These offsite authorities (typically the Governor or his designated representative) have responsibilities for deciding what protective actions are to be taken for the public. It is the responsibility of local government to assure that the appropriate actions are carried out. A major emphasis in the NRC response to emergencies is the capability to provide offsite authorities with an evaluation of license recommendations and provide a clear and concise protective action recommendation that represents the position of the Federal Government. These recommendations are normally presented to offsite authorities in coordination with DHS. In order to effectively perform this task, NRC establishes communication channels with

State officials (e.g., the Governor or his or her office, emergency management agencies, and radiological health organizations).

4.3 Federal Government

4.3.1 FRP and FRERP

As provided in the FRERP (see Section 1.3), NRC is the Lead Federal Agency (LFA) for incidents and emergencies occurring at nuclear facilities regulated by the NRC or an Agreement State and incidents and emergencies involving the transportation of radioactive materials licensed by the NRC or an Agreement State. The NRC's roles and responsibilities for response to an incident (including interfaces, coordination, and communications with other Federal, State, and local agencies, as set forth in this NRC Incident Response Plan and delineated in the implementing procedures) are consistent with both the FRERP and FRP, and other Federal-level response plans and protocols.

4.3.2 INRP

In conformance with the provisions of the INRP (see Section 1.3), and supplemental to the provisions of the FRERP, this NRC Incident Response Plan includes the following interfaces with the Department of Homeland Security and other Federal entities: (1) the Homeland Security Operations Center, (2) Interagency Incident Management Group, (3) the Assistant to the President for Homeland Security, (4) Principal Federal Official, and 5) Joint Field Office.

(1) Homeland Security Operations Center (HSOC)

The HSOC, located at DHS headquarters, is the primary national-level hub for operational communications and information pertaining to domestic incident management. The HSOC integrates and provides overall steady state threat monitoring and situational awareness for domestic incident management on a 24/7 basis and, in this capacity, serves as the primary point of coordination for the Secretary of Homeland Security.

The NRC supports the Secretary of Homeland Security by communicating and coordinating with the HSOC. When appropriate, the NRC establishes and maintains real-time communication links between the NRC Headquarters Operations Center and the HSOC. During the EXPANDED ACTIVATION mode, the NRC Site Team may communicate directly with the HSOC. Figure 5 illustrates NRC communication links with the HSOC.

NRC reports to the HSOC include the following:

- Initiation of the NRC Incident Response Plan to prevent, respond to, or recover from an incident for which the NRC has responsibility under law
- Submission of requests for assistance to or receipt of a request from another Federal department or agency in the context of a domestic incident
- Receipt of requests for assistance from State, local, or tribal governments, nongovernmental organizations, or the private sector in the context of a domestic incident

(2) Interagency Incident Management Group (IIMG)

To facilitate national-level incident management and coordination of Federal operations and resources, the Secretary of Homeland Security may activate a tailorable, task-organized headquarters-level IIMG comprising senior representatives from DHS components and other Federal departments and agencies and nongovernmental organizations. At the request of the Secretary of Homeland Security through the NRC Headquarters Operations Center, the NRC provides representatives to staff the IIMG. Once activated, the NRC representatives support the IIMG consistent with DHS procedures governing the assembly and operational interaction of IIMG members, as well as procedures governing the interaction of the IIMG with other Federal, State, and local incident management entities.

The NRC representatives to the IIMG are selected from a designated pool of Headquarters technical staff or managers experienced with NRC roles and responsibilities and interagency liaison. During an incident, it is anticipated that NRC representatives will alternate on a shift schedule with one individual participating as an IIMG member at all times.

(3) The Assistant to the President for Homeland Security

The Assistant to the President for Homeland Security, as stated in HSPD-5, is responsible for interagency policy coordination regarding domestic incident management, as directed by the President. The NRC recognizes that, notwithstanding the roles and responsibilities of the Assistant to the President for Homeland Security, there is no intent to impact or impede the ability of the NRC to take issues of concern directly to the President, the Assistant to the President for Homeland Security, the Assistant to the President for National Security Affairs, or any member of the President's staff.

(4) Principal Federal Official (PFO)

When an incident meeting the criteria set forth in HSPD-5 occurs, or in anticipation of such an incident, the Secretary of Homeland Security may designate a Federal officer to serve as the Principal Federal Official (PFO) to act as his representative locally and to oversee and coordinate Federal activities relevant to the incident.

Federal assets and resources are requested and deployed consistent with the procedures identified in the FRP, CONPLAN, and other related plans (see Section 1.3). Using the protocols detailed therein, the PFO, as designated by the Secretary, will oversee the coordination of the deployment and application of Federal assets and resources in support of the on-scene incident commander. The PFO will do this in coordination with other Federal officials identified in existing plans, such as the Federal Coordinating Officer (FCO) and the Federal Bureau of Investigation's Special Agent in Charge (SAC) on scene. The FCO, the FBI SAC, and other Federal incident management officials designated in existing plans maintain their authorities and responsibilities as defined in the FRP and other existing plans, statutes, and Presidential directives. Nothing in the INRP impacts or impedes the ability or the authorities of the FBI SAC or other designated Federal officials to carry out their duties under the law or to coordinate directly with their department or agency chain of command in the execution of these duties.

For a radiological emergency meeting the criteria of the FRERP, the PFO, if designated, oversees the coordination of the deployment and application of Federal assets and resources

in collaboration with other FRERP-identified officials. Other incident management officials and organizations, such as the FRERP-designated LFA, maintain their basic authorities and responsibilities, as defined in the FRERP.

The NRC, as the LFA under the FRERP, carries out the LFA roles and responsibilities in collaboration and coordination with the PFO. The NRC Chairman (or DSO when established) coordinates directly with the PFO regarding offsite response operations and activities, including Federal, State and local interfaces. The NRC's statutory responsibilities and interface with licensees remain unchanged. In specific circumstances, the NRC Chairman (or DSO) may be designated as the PFO by the Secretary of Homeland Security. Figure 6 (Section A) illustrates the typical NRC interface with the PFO when the NRC is the LFA.

For domestic incidents other than radiological emergencies for which NRC is the LFA under the FRERP, the NRC provides support, as appropriate and consistent with applicable authorities, to the PFO in the fulfillment of the requirements identified by the Secretary of Homeland Security. Figure 6 (Section B) illustrates the typical NRC interface with the PFO for incidents in which the NRC is not the LFA.

(5) Joint Field Office (JFO)

To improve the efficiency and effectiveness of Federal incident management activities, the operations of various Federal entities established at the local level are to be collocated in a JFO when feasible. The JFO may incorporate existing entities such as the Joint Operations Center, Disaster Field Office, and other Federal offices and teams that provide support on scene. When feasible, the JFO will be collocated with a State or local emergency operations center.

The PFO will ensure that adequate connectivity is maintained between the JFO and the HSOC; tribal, local, county, State, and regional EOCs; nongovernmental EOCs; and relevant elements of the private sector. To the extent feasible, staffing of the JFO will include representatives of State, local, and tribal first responder communities, as well as representatives of senior State, local, and tribal government and emergency management officials.

The NRC, to the extent feasible and consistent with interim procedures published by the Secretary, supports and provides representatives to the JFO. NRC representatives to the JFO will be incident-specific and may be provided by Headquarters and/or the Regional Offices. Alternatively, for NRC's EXPANDED ACTIVATION mode, the NRC Site Team may provide representatives to the JFO. Notwithstanding NRC support to the JFO, it is noteworthy that existing NRC regulations and guidance for the staffing and functions of NRC licensees' emergency response facilities, including provisions for the collocation of NRC's Site Team, remain unchanged.

5. NRC Incident Response Program and Procedures

5.1 Incident Response Program

The NRC Incident Response Program involves both preparedness and response. The program is developed and maintained in coordination with the NRC's licensees and other stakeholders. The Office of Nuclear Security and Incident Response (NSIR) administers the NRC Incident Response Program. NSIR is responsible for the following functions related to preparedness and response:

- P Develops NRC policy, plans, program requirements, and procedures for NRC preparedness and response to incidents. Ensures that the NRC response is consistent with the NRC role and licensee responsibilities and is coordinated with the Department of Homeland Security (DHS) and other Federal and State response activities.
- P Manages the NRC Operations Center. Receives, screens, and promptly communicates operational event information reported to the NRC Operations Center.
- P Develops, maintains, and integrates NRC response plans, procedures, and training of personnel and organizations.
- P Conducts and coordinates exercises to achieve and test readiness objectives.
- P Oversees the NRC Regional readiness and response programs. Provides response planning and procedural guidance to Regional Offices and assesses Regional Office response capabilities.
- P Develops, maintains, and integrates NRC plans, procedures, and training for response to domestic and international radiological events and to any incidents that threaten the continuity of government (COG) or continuity of NRC operations (COOP).
- P Conducts outreach and communication activities with licensees, Agreement States, and other stakeholders.
- P Develops NRC plans, procedures, and training for the investigation of significant operational events involving reactors or materials licensed by the NRC.

5.2 Implementing Procedures

The NRC Incident Response Program Implementing Procedures document the individual and team responsibilities for incident response decisions and tasks. These implementing procedures are designed primarily to aid NRC managers and staff in assuring that all appropriate response activities are under way during the respective response modes. They also are used by response personnel to define individual and team responsibilities. Headquarters implementing procedures are administered by NSIR. Regional implementing procedures are administered by the respective Regional Office.

The implementing procedures identify:

- P Functions that should be under way in a particular response mode
- P Responsibilities and authorities for accomplishing those functions
- P Responsibilities for key interfaces with other organizations

- P Actions that should be taken to ensure a comprehensive, effective, and coordinated response consistent with the NRC's response mode

6. REFERENCES

- (1) Federal Response Plan (FRP), Interim, January 2003
- (2) Federal Radiological Emergency Response Plan (FRERP), May 1, 1996
- (3) United States Government Interagency Domestic Terrorism Concept of Operations Plan (CONPLAN), January 2001
- (4) Initial National Response Plan (INRP), September 30, 2003
- (5) Homeland Security Presidential Directive 5 (HSPD-5), "Management of Domestic Incidents," February 28, 2003
- (6) "Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants," NUREG-0654/FEMA-REP-1, Rev. 1, November 1980
- (7) Department of Homeland Security procedures related to the Initial National Response Plan – To Be Determined

**Table 1
Description of Licensee Emergency Classes**

A. Nuclear Power Plants*

Notification of Unusual Event	Alert	Site Area Emergency	General Emergency
Events are in process or have occurred which 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.	Events are in process or have occurred which involve an actual or potential substantial degradation of the level of safety of the plant. Any releases are expected to be limited to small fractions of the EPA Protective Action Guideline exposure levels.	Events are in process or have occurred which involve actual or likely major failures of plant functions needed for protection of the public. Any releases are not expected to exceed EPA Protective Action Guideline exposure levels except near the site boundary.	Events are in process or have occurred which involve actual or imminent substantial core degradation or melting with potential for loss of containment integrity. Releases can be reasonably expected to exceed EPA Protective Action Guideline exposure levels offsite for more than the immediate site area.

*“Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants,” NUREG-0654/FEMA-REP-1, Rev. 1, November 1980

B. Regulated Facilities and Gaseous Diffusion Plants**

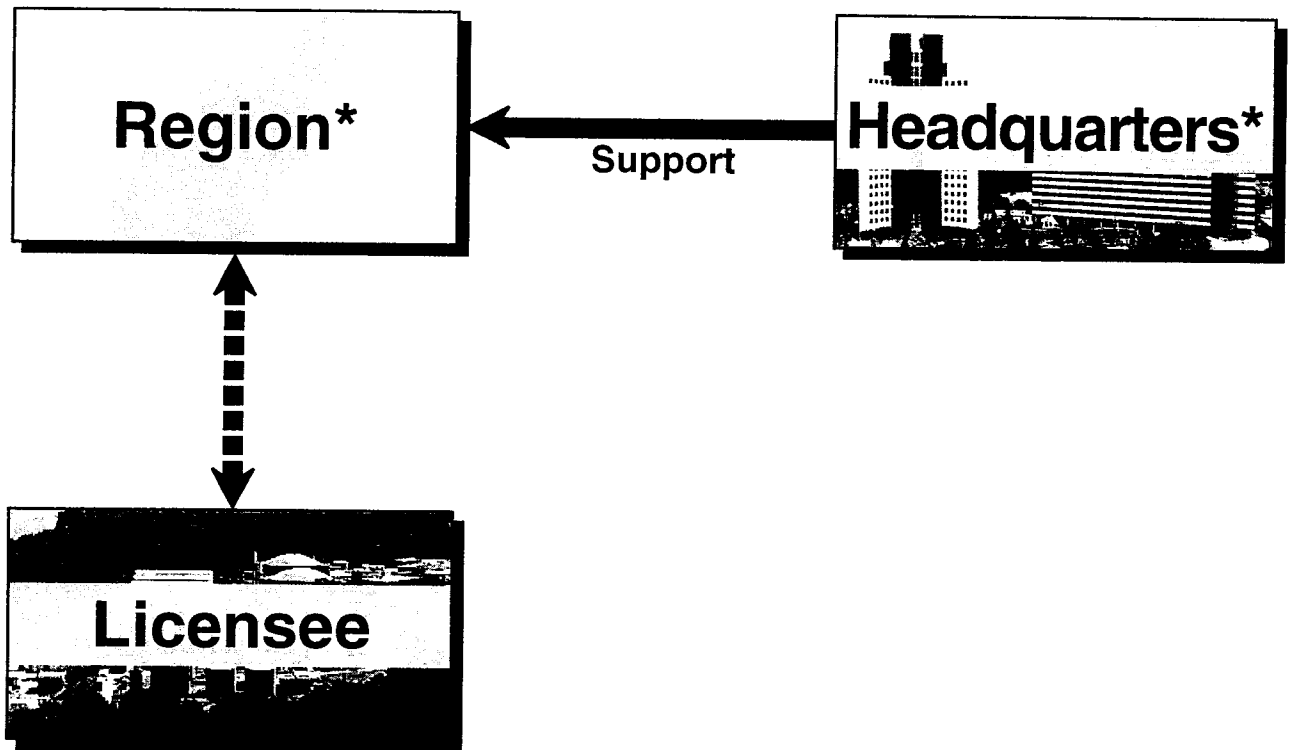
Alert	Site Area Emergency
Events may occur, are in progress, or have occurred that could lead to a release of radioactive material, but the release is not expected to require a response by an offsite response organization to protect persons off site.	Events may occur, are in progress, or have occurred that could lead to a significant release of radioactive material and that could require a response by offsite response organizations to protect persons offsite.

** 10 CFR Part 76, “Certification of Gaseous Diffusion Plants.”
 10 CFR Part 70, “Domestic Licensing of Special Nuclear Material;”
 10 CFR Part 40, “Domestic Licensing of Source Material”
 10 CFR Part 30, “Domestic Licensing of Byproduct Material”

Table 2

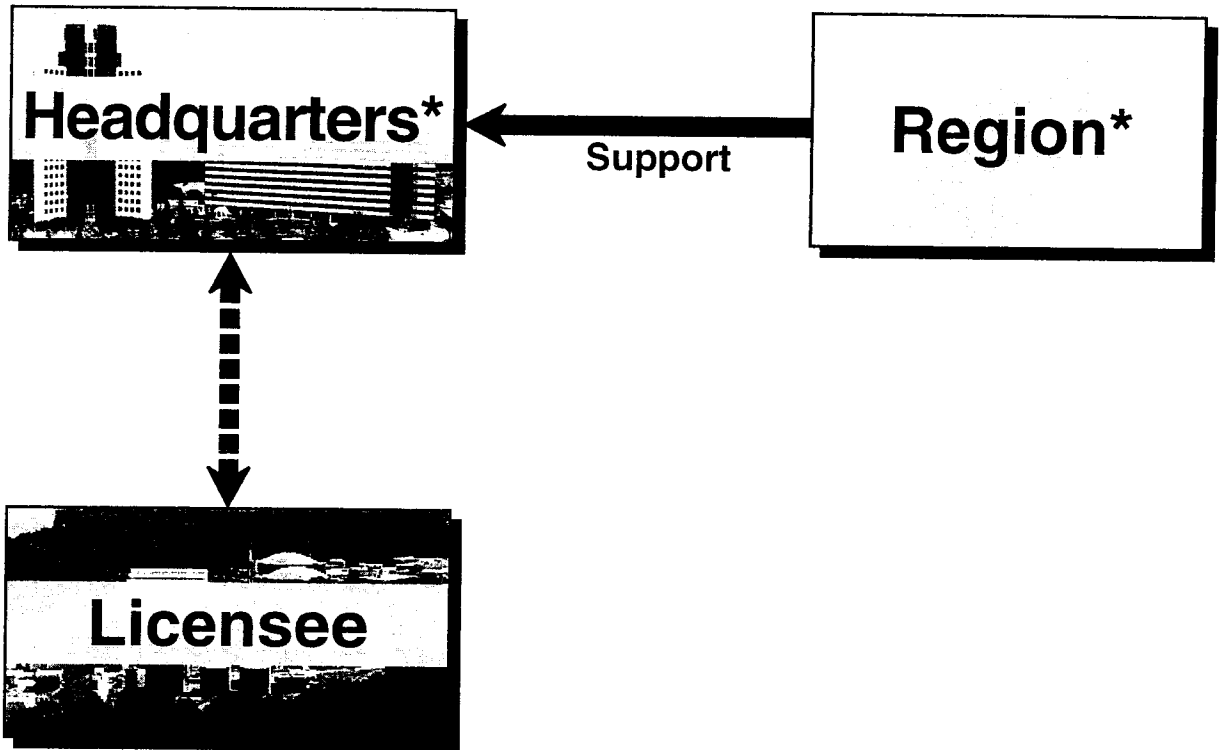
**Typical Correlation Between NRC Response Modes and Licensee
Emergency Classes**

NRC Response Mode	Licensee Emergency Class			
	Notification of Unusual Event	Alert	Site Area Emergency	General Emergency
NORMAL				
MONITORING	XXXXXXXXXX			
STANDBY		XXXXXXXXXX		
INITIAL ACTIVATION			XXXXXXXXXX	XXXXXXXXXX
EXPANDED ACTIVATION			XXXXXXXXXX	XXXXXXXXXX



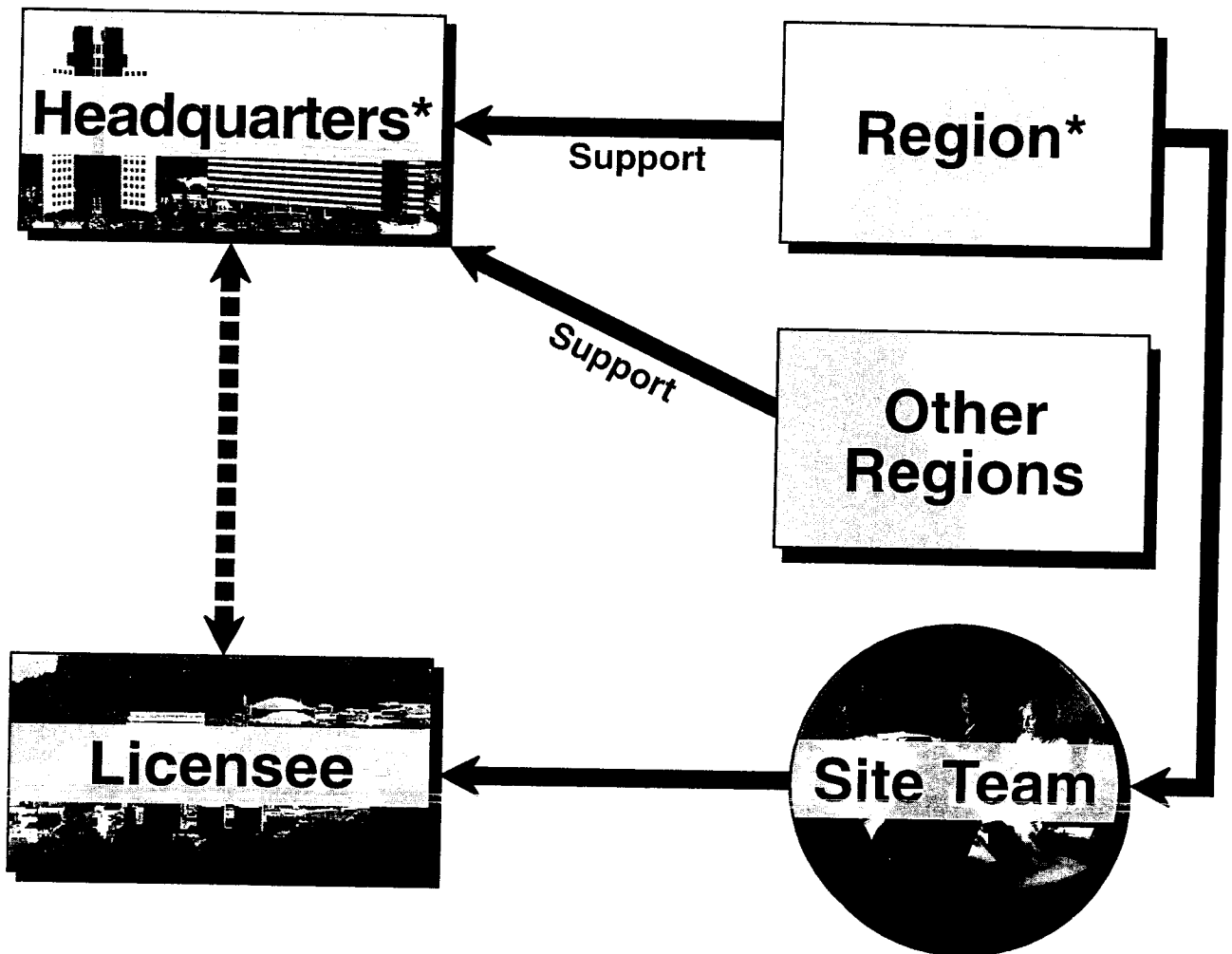
* Region typically has lead. Headquarters supports Region. Headquarters may have lead for terrorist incidents and/or incidents involving multiple licensees.

Figure 1 - MONITORING Mode



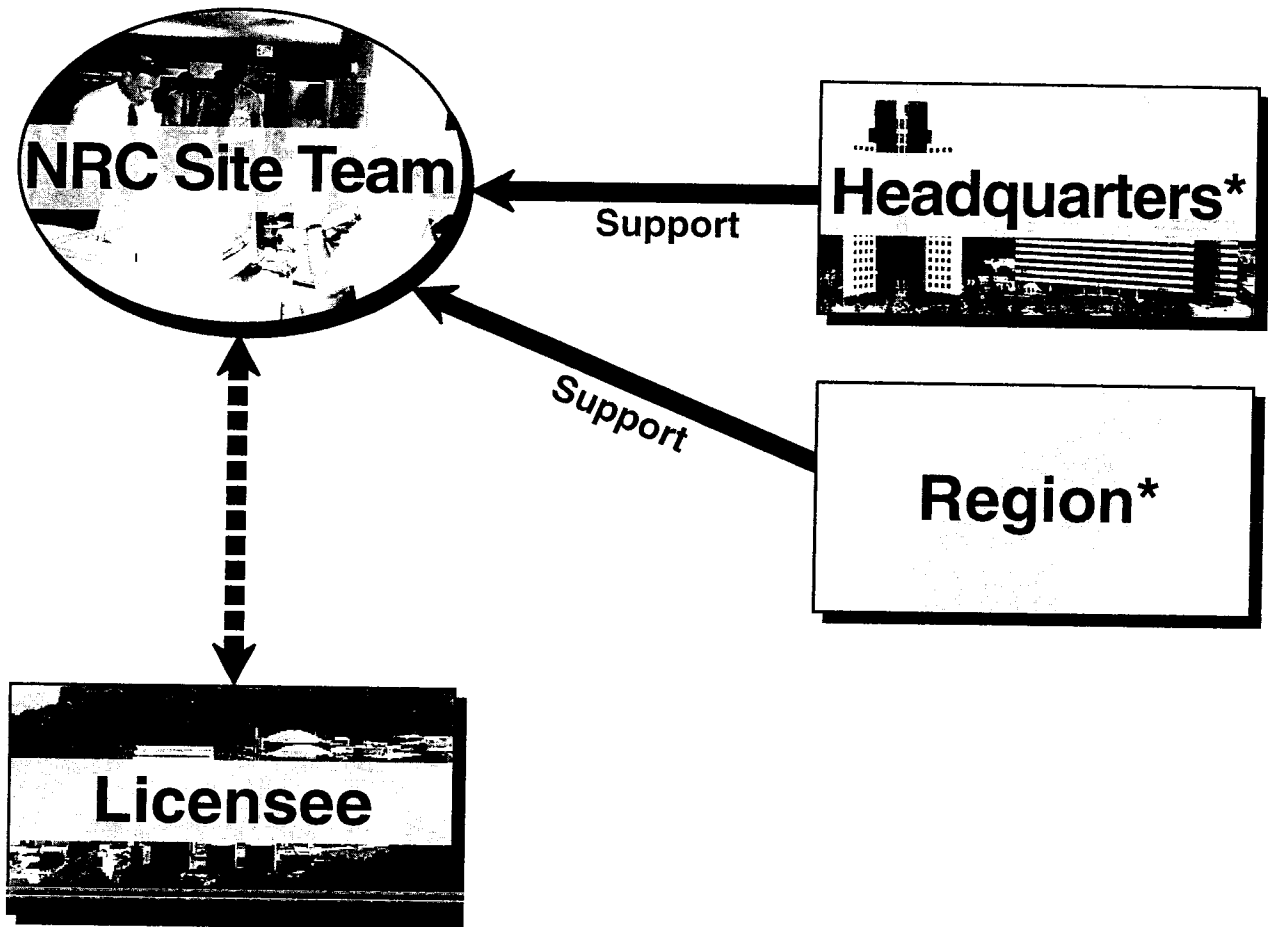
* Headquarters typically has lead. Region supports Headquarters and initiates preparations for Regional team to travel to incident site.

Figure 2 - STANDBY Mode



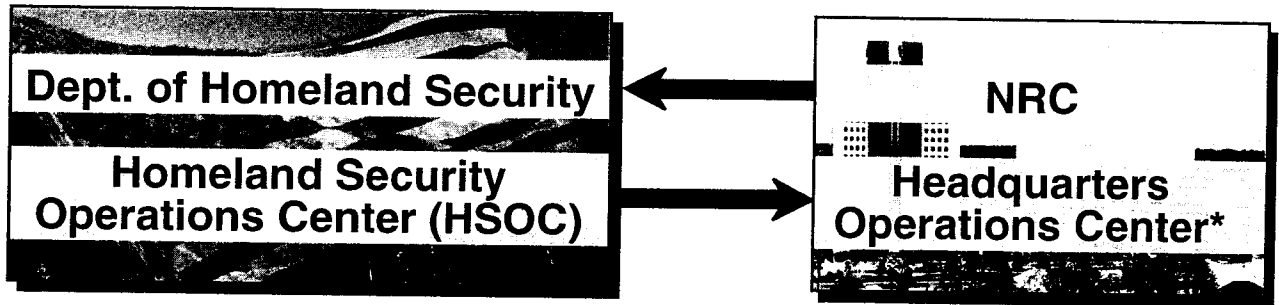
* Headquarters typically has lead. Region dispatches designated NRC Site Team to incident site. Other Regional Offices support Headquarters and may partially staff the NRC Site Team.

Figure 3 - INITIAL ACTIVATION Mode



* NRC Site Team, led by NRC's Director of Site Operations and collocated with the licensee's emergency response organization at the incident site, has the lead. Headquarters and all Regional Offices support the NRC Site Team.

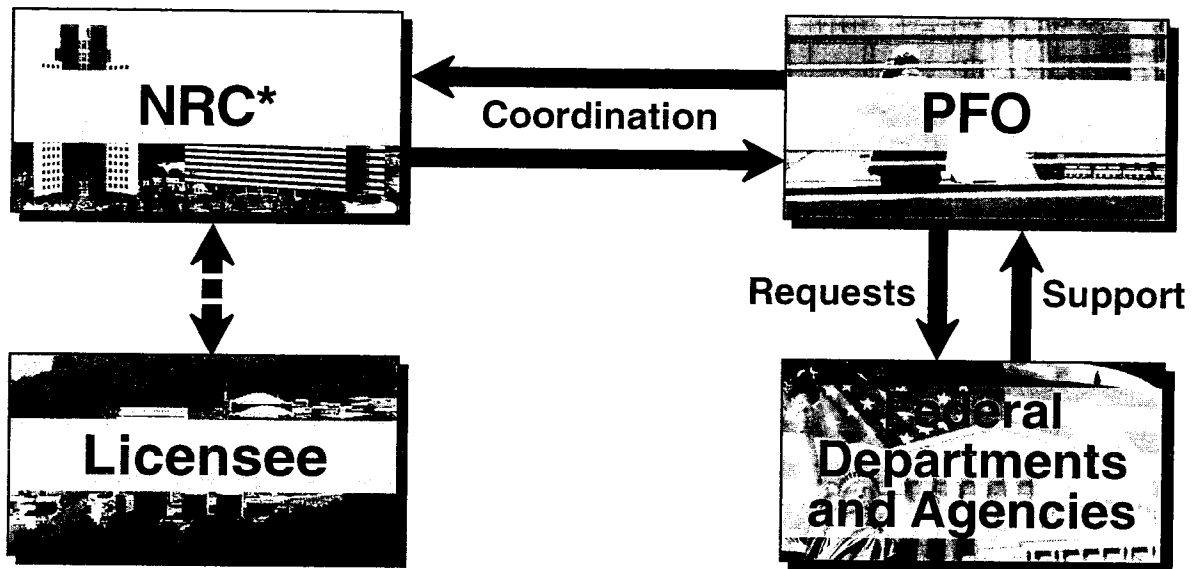
Figure 4 - EXPANDED ACTIVATION Mode



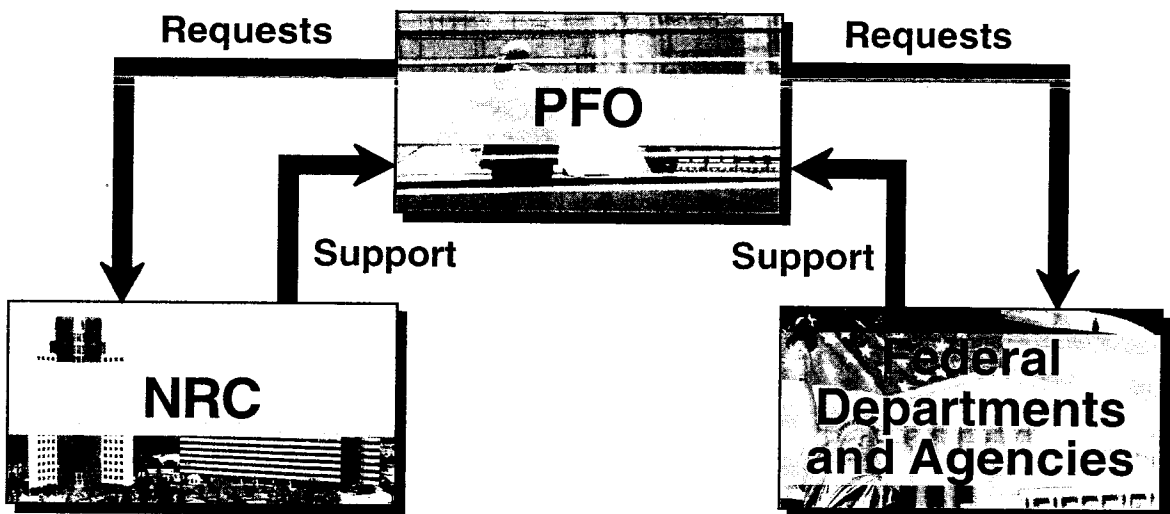
* During EXPANDED ACTIVATION mode, the NRC Site Team may communicate directly with the HSOC.

Figure 5 - NRC Interface with HSOC

A. Incidents for which NRC is LFA under FRERP



B. Other Incidents



* NRC Chairman communicates/coordinates directly with PFO. During EXPANDED ACTIVATION mode, the Director of Site Operations (DSO) communicates/coordinates directly with PFO.

Figure 6 - NRC Interface with Principal Federal Official (PFO)