

NUREG-0728, Rev. 4



**U.S. Nuclear Regulatory Commission
Office of Nuclear Security and Incident Response**

April 2005 [Issued for Interim Use Effective April 14, 2005]

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 on the agency's response to radiological and other incidents and emergencies especially incidents involving NRC licensees and certificate holders. The Plan assigns responsibilities for responding to any potentially threatening incident involving NRC-regulated activities and for assuring that the NRC fulfills its statutory mission. This revision, Revision 4, to the Plan reflects the current NRC policy and organization structure and aligns the Plan with the National Response Plan and the National Incident Management System.

Comments regarding this document should be forwarded to the following:

Director, Division of Preparedness and Response
Office of Nuclear Security and Incident Response
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555

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EXECUTIVE SUMMARY

This Revision 4 to NUREG-0728, NRC Incident Response Plan (IRP), incorporates (1) agency policy and organizational roles and responsibilities relative to incident and emergency response set forth in Management Directive 8.2, NRC Incident Response Program; (2) national-level incident management policy and mechanisms provided in the National Response Plan (NRP) and the National Incident Management System (NIMS); (3) enhancements and updates to the NRC's Incident Response Program; and (4) agency organizational changes.

This Plan and Management Directive 8.2 are being revised in parallel to ensure consistent documentation of the NRC Incident Response Program. Planning-related information which was previously contained in Management Directive 8.2 has been relocated to this Plan. In addition, certain detailed information previously contained in this Plan has been incorporated into the implementing procedures for this Plan.

Within the framework of the NIMS, the NRP and associated annexes (Emergency Support Function Annexes, Support Annexes, and Incident Annexes) govern the Federal Government's overall response to an incident. As a signatory to the NRP, the NRC commits to support the NRP concepts, processes, and structures and to carry out NRC's assigned functional responsibilities to ensure effective and efficient incident response. Key NRP concepts incorporated into Revision 4 include Incident of National Significance, Homeland Security Operations Center (HSOC), Interagency Incident Management Group (IIMG), Principal Federal Official (PFO), Joint Field Office (JFO), Interagency Modeling and Atmospheric Assessment Center (IMAAC), and provisions of the NIMS related to incident command and management. In addition, Revision 4 incorporates provisions of the Nuclear/Radiological Incident Annex to the NRP. This annex, which supersedes the Federal Radiological Emergency Response Plan (FRERP), provides for timely, coordinated Federal response to nuclear/radiological incidents and is the principal NRP annex applicable to the NRC.

Revision 4 incorporates several programmatic enhancements and updates and reflects the agency's current organization. The revision of the agency's response modes is noteworthy: the Normal mode is the routine state of agency operations and the ongoing level of response readiness; the Monitoring mode reflects a heightened state of agency readiness associated with incident assessment; the Activation mode reflects agency escalation for extensive incident analysis and evaluation, for consideration of dispatching an NRC site team, or for incidents involving terrorist activities; and the Expanded Activation mode reflects agency escalation for incidents which warrant the full response capabilities of the NRC and which may involve dispatch of an NRC site team.

I. INTRODUCTION

A. Purpose and Scope of Plan

The NRC Incident Response Plan (IRP), NUREG-0728, Revision 4, governs the overall NRC response to radiological incidents and emergency events with a focus on those incidents involving NRC licensees and certificate holders (hereafter referred to as “licensees”). The Plan reflects Commission policy regarding the planning and preparations for, response to, and recovery from incidents and assigns headquarters and regional responsibilities, by organization and by position, to assure the NRC will fulfill its statutory mission.

This Plan is a key document of the NRC Incident Response Program and provides the basis for NRC’s incident-related interface and coordination with licensees and other stakeholders. The Plan is focused on incidents involving facilities and materials licensed by the NRC or an Agreement State; however, the Plan encompasses all incidents in which the NRC has a response role under its statutory authorities or as part of the overall Federal Government response. For completeness, the Plan includes summaries of the responsibilities and activities of the licensees, State/local/tribal governments, and the Federal Government for incidents involving NRC-regulated facilities and materials.

As a signatory of the NRP (Reference 1), the NRC has committed to the national-level policies, concepts, processes, and structures identified therein. Accordingly, this Plan is in alignment with the NRP and applicable parts of the National Incident Management System (Reference 2).

This Plan:

- # Identifies the role and responsibilities of the NRC related to incident response
- # Identifies the NRC’s capabilities and organizational structure for incident response
- # Identifies NRC interrelationships with licensees, State/local/tribal governments, other Federal agencies, and other organizations
- # Emphasizes the licensee’s primary responsibilities relative to incident response
- # Describes NRC response activities and provisions for delegation of incident-related authority vested in the Chairman
- # Guides headquarters and regional staff in carrying out their responsibilities for response to an incident
- # Guides headquarters and regional staff in interactions prescribed in the NRP and associated annexes
- # Identifies the “road map” for implementing procedures and supporting documents related to incident management

B. NRC Statutory Authority

The Atomic Energy Act of 1954, as amended, and the Energy Reorganization Act of 1974 provide the statutory authority for the NRC and the foundation for NRC regulations. The statutory authorities for the NRC’s incident response functions are summarized as follows:

- # **Atomic Energy Act of 1954, as amended (AEA):** Under the AEA, 42 U.S.C. § 2011 *et seq.*, the NRC has broad authority to regulate (by licensing, regulation or order) commercial nuclear power and fuel facilities and the possession, transfer, and use of source, byproduct, and special nuclear materials and other actions to protect the public health and safety and to provide for the common defense and security.
- # **Energy Reorganization Act of 1974:** This Act abolished the Atomic Energy Commission (AEC) and moved the AEC's regulatory function to the NRC, establishing the NRC as an independent regulator of certain nuclear materials and facilities. See 42 U.S.C. § 5801 *et seq.* This Act (in combination with AEA) gives the NRC authority to regulate a limited number of Federal facilities operated by the Department of Energy.
- # **Reorganization Plan No. 1 of 1980:** This plan, which was enacted in Public Law 98-614, establishes the NRC Chairman as the principal executive officer and official spokesman for the Commission. Section 3 of the plan transfers to the Chairman all the functions vested in the Commission pertaining to an emergency involving NRC-licensed or regulated materials and facilities. Under Section 3, the Chairman may delegate this authority in whole or in part to other Commissioners or the NRC staff.
- # **Uranium Mill Tailings Radiation Control Act of 1978:** This Act amended the AEA to give the NRC authority to regulate the radioactive tailings or wastes generated by uranium milling and other operations designed to process ores for uranium or thorium. NRC regulations at 10 C.F.R. Part 40 govern disposal of such material.
- # **Nuclear Non-Proliferation Act of 1978:** This Act (in combination with the AEA) gives the NRC authority to license the export and import of nuclear materials and equipment to ensure that these items are used for peaceful purposes. NRC regulations governing export licensing are set forth in 10 C.F.R. Part 110.
- # **Nuclear Waste Policy Act of 1982/Nuclear Waste Policy Act Amendments of 1987/Energy Policy Act of 1992:** These Acts set forth requirements for development and licensing of Yucca Mountain, a proposed high-level radioactive waste repository being developed by the Department of Energy (DOE). The NRC will consider DOE's eventual license application against technical criteria set forth in NRC regulations in 10 C.F.R. Part 63.
- # **Diplomatic Security and Anti-Terrorism Act of 1986:** This Act, 22 U.S.C. § 4802 *et seq.*, requires the Secretaries of Defense, State, and Energy, the Director of the Arms Control and Disarmament Agency, and the NRC to review the adequacy of the physical security standards currently applicable to the shipment and storage outside the United States of special nuclear material which is subject to U.S. prior consent rights, with special attention to protection against terrorist acts. The Act also amends the AEA to require each licensee or applicant for a license to operate a utilization facility (*e.g.*, a nuclear power reactor) to fingerprint each individual who is permitted unescorted access to the facility or is permitted access to certain safeguards information.
- # **Solar, Wind, Waste, and Geothermal Power Production Incentives Act of 1990:** This Act amended the AEA to require licensing of uranium enrichment facilities under NRC regulations in 10 C.F.R. Parts 40 and 70.

Prohibited transactions involving nuclear materials, 18 U.S.C. § 831, provides for criminal penalties for specified transactions involving nuclear materials and provides that the Attorney General may request assistance from the Secretary of Defense in the enforcement of this section notwithstanding the Posse Comitatus Act.

The mission of the NRC, under the AEA, is to regulate the civilian commercial, industrial, academic, and medical uses of nuclear materials in order to protect the public health and safety and promote the common defense and security. This congressionally-defined NRC mission enables the Nation to use radioactive materials for beneficial civilian purposes while ensuring that public health and safety, the common defense and security, and the environment are protected.

The NRC's scope of responsibility includes regulation of commercial nuclear power plants; research, test, and training reactors; nuclear fuel cycle facilities; medical, academic, and industrial uses of radioactive materials; and the transport, storage, and disposal of nuclear materials and wastes. NRC's regulations are designed to protect the public and occupational workers from radiation hazards in industries using radioactive materials.

II. OVERVIEW: NRC INCIDENT RESPONSE PROGRAM

This section provides a narrative overview of the NRC Incident Response Program and its relationship to both national policy and the response programs of licensees and State/local/tribal governments.

A. Program Scope

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

The headquarters Office of Nuclear Security and Incident Response (NSIR) manages and administers the program. NSIR's responsibilities include: develop and maintain program documentation; staff, operate and maintain the Headquarters Operations Center (HOC); coordinate the staffing of response teams and functions of personnel in the incident response organization; conduct training, drills, and exercises; conduct outreach activities with stakeholders (e.g., licensees, State, local, and tribal government agencies, other Federal entities); integrate NRC's incident management processes and activities with licensees, State/local/tribal governments, and Federal entities; and carry out a process of agency-wide continuing improvement for incident management.

Each of the four regional offices manages and administers the regional elements of the program. The elements include staffing and operation of the regional incident response centers; developing and maintaining region-specific program documentation; staffing incident response teams; conducting training, drills, and exercises; integrating NRC incident response with licensees' and State/local/tribal governments' incident response; and conducting stakeholder outreach activities.

B. Program Documentation

Management Directive 8.2, NRC Incident Response Program (Reference 3), the top-tier document, sets forth policy on the agency's Incident Response Program. The directive specifies the organizational and positional roles and responsibilities of headquarters and regional offices relative to incident management and response and is applicable to all agency employees.

This Plan, NUREG-0728, Revision 4, reflects the NRC policy and organizational structure provided in Management Directive 8.2. This Plan governs the overall NRC response to incidents and assigns responsibilities for assuring that the NRC fulfills its statutory mission relative to incident response.

Headquarters and regional office implementing procedures, separate from this Plan, document the specific functions and responsibilities and contain the detailed information for the NRC's response teams and personnel to implement and carry out the provisions of the Plan. Procedures address such topics as responder notifications and team staffing, lessons learned, communication protocols, system/equipment operation, licensee interface, interagency coordination, and stakeholder outreach.

C. Program Resources

NRC resources associated with the Incident Response Program include personnel, facilities, and systems/equipment. The agency provides 24/7 staffing of the HOC by duty officers familiar with licensee facilities and operations. In response to an incident, NRC personnel provide staffing of the headquarters response teams, and activate the agency's response capabilities. Regional offices provide personnel to staff their respective incident response centers and, as appropriate, a team to be dispatched to the incident location. Further, NRC personnel staffing is maintained sufficient to continually staff positions on a 24/7 basis as necessary to support incident response functions.

The HOC and the regional incident response centers are equipped with communications, information display, and analysis systems. For example, communications systems provide direct linkages, including secure telephone/fax, with licensees and government entities. The Emergency Response Data System (ERDS) displays real-time safety system data from all nuclear power reactor plants. Radiological analysis and consequence assessment processes provide the capability for predicting radiological consequences to the public and/or the environment.

D. Program Readiness

NRC readiness for response to incidents is maintained by planning and preparedness activities such as: plan and procedure maintenance, training, exercises, interagency liaison/coordination, stakeholder outreach, and program assessments. This Plan and the implementing procedures are reviewed and periodically updated to reflect lessons learned and agency organizational changes. Headquarters Operations Officers (HOOs)/Headquarters Emergency Response Officers (HEROs) receive ongoing training and response team members receive both initial and refresher training. The NRC maintains a broad program of emergency exercises and participates, either full-scale or partial, in both facility and materials licensee exercises and Federal interagency exercises on an ongoing basis. The NRC is an integral part of the Federal incident management community and actively participates in interagency policy and planning and preparedness activities with the Homeland Security Council (HSC), Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), and other departments/agencies. The agency maintains a comprehensive program of stakeholder outreach activities to include licensees, Federal/State/local/tribal government agencies, and the public. The agency maintains an aggressive program of continuing improvement related to nuclear/radiological security, emergency preparedness, and incident response.

E. Licensee Alignment

The NRC responds to incidents under its own statutory authorities and responsibilities in accordance with this Plan and, if applicable, as an integral part of the overall response by the Federal government consistent with the NRP. Licensees respond to incidents involving their licensed facilities and/or material in accordance with their respective NRC-mandated plans, programs, and procedures. The scope and extent of the NRC response to a licensee incident are dependent upon the incident's severity and typically correlates with the information reported by the licensee and the licensee's scope of response.

Facility licensees are responsible for taking immediate actions to ensure safety and security, to mitigate the consequences of an incident, to promptly notify State/local/tribal officials and the

NRC, and to provide appropriate public protective action recommendations to offsite government authorities.

Incident notifications and response activities are facilitated by the NRC-mandated standardized emergency classification scheme for incidents at licensee facilities.

The NRC (1) performs independent assessment of incidents and potential offsite consequences and, as appropriate, confirms or provides recommendations concerning public protective measures; (2) performs oversight of the licensee to include monitoring, evaluation of protective action recommendations, advice, assistance, and, in rare circumstances, direction; and (3) dispatches, if appropriate, an NRC site team of technical experts to the licensee's facility. Under certain extreme circumstances and subject to significant preconditions, the NRC may take possession of special nuclear materials and/or operate certain facilities regulated by the NRC if necessary to protect the health and safety of the public or the common defense and security.

For incidents involving licensed radioactive materials, the respective responsibilities of the licensee and the NRC are unchanged from those for a facility. Response activities would, however, be incident-specific and vary with incident type and location, source term, and potential consequences.

F. Interagency Alignment

Homeland Security Presidential Directive-5 (HSPD-5), Management of Domestic Incidents, (Reference 4) tasks all Federal departments and agencies to support and assist the Secretary of Homeland Security and to adopt and conform to the NIMS and NRP.

NIMS: The NIMS provides a nationwide framework for Federal, State, local, and tribal governments to prevent, prepare for, respond to, and recover from domestic incidents. The NIMS consists of protocols for incident command and management, plus provisions for resource management, communications, and planning and preparedness.

NRP: The NRP, using the NIMS, integrates Federal domestic prevention, preparedness, response, and recovery plans into a single all-discipline, all-hazards plan. The NRP consists of a "base plan" plus multiple subject-specific annexes that expand upon, and further delineate, the interagency roles, responsibilities and activities pertaining to particular incidents. Participation in the NRP allows Federal agencies to draw on the resources of others in exchange for the commitment to provide similar assistance when requested "consistent with [the agency's] own authorities and responsibilities."

The NRP emphasizes that agencies fully retain their independent authorities and responsibilities; but it also anticipates that participating agencies will coordinate their actions by working through NRP-established multi-agency organizations. The Secretary of Homeland Security does not direct policy or resolve conflicts that may arise within these multi-agency organizations. The Secretary, consistent with HSPD-5, provides the mechanisms necessary to coordinate Federal operations and resources and facilitates conflict resolution.

G. National Response Plan and National Incident Management System

The Federal Government's overall response to an incident is governed by the NRP and associated annexes (Emergency Support Function Annexes, Support Annexes, and Incident Annexes) within the framework of the NIMS.

Revision 4 of this Plan brings the Plan into alignment with the NRP and the NIMS. As a signatory to the interagency letter of agreement that promulgated the NRP, the NRC commits to:

- # Supporting NRP concepts, processes, and structures and carrying out NRC's assigned functional responsibilities to ensure effective and efficient incident response
- # Agreeing to the terms and conditions of the Memorandum of Agreement (MOA) for mutual aid set forth in the Financial Management Support Annex of the NRP
- # Providing cooperation, resources, and support to the Secretary of Homeland Security in the implementation of the NRP, as appropriate and consistent with NRC's authorities and responsibilities
- # Cooperating with appropriate Federal incident management leadership to include the Principal Federal Official, Federal Coordinating Officer, and Federal Resource Coordinator, as appropriate and consistent with NRC's authorities and responsibilities
- # Modifying existing NRC incident management and emergency response plans to facilitate compliance with the NRP
- # Forming and maintaining incident management partnerships with State, local, tribal, and regional entities, the private sector, and nongovernmental organizations
- # Utilizing NRC-specific authorities, resources, and programs to facilitate incident management activities in accordance with the NRP
- # Developing, exercising, and refining headquarters and regional capabilities to ensure sustained operational readiness in support of the NRP.

Key NRP concepts adopted by the NRC and incorporated into the provisions of this Plan include:

- # Incident of National Significance. As determined by DHS, an actual or potential high-impact event that requires a coordinated and effective response by an appropriate combination of Federal, State, local, tribal, nongovernmental, and/or private-sector entities in order to save lives and minimize damage and to provide the basis for long-term community recovery and mitigation activities is termed an Incident of National Significance. For such incidents, DHS coordinates the overall Federal response according to provisions of the NRP and annexes.
- # Nuclear/Radiological Incident Annex. Incidents involving nuclear/radioactive materials, including incidents considered Incidents of National Significance, are addressed in this annex to the NRP (see discussion below).
- # Homeland Security Operations Center (HSOC). The NRC and other Federal departments/agencies report incident-related information to the DHS headquarters 24/7 operations center. In addition, the NRC provides staff liaisons on a "situation basis" as requested by DHS to facilitate interagency coordination.
- # Interagency Incident Management Group (IIMG). The NRC provides management-level representation to the IIMG, on a "situation basis" and in parallel with other

Federal departments/agencies, for interagency policy-level support to the Secretary of Homeland Security and the White House.

- # Principal Federal Official (PFO) and Joint Field Office (JFO). During Incidents of National Significance, when a PFO is designated to locally oversee, coordinate, and execute the Secretary of Homeland Security's responsibilities and a JFO is established to coordinate Federal assistance to the affected jurisdictions, the NRC staffs positions in the JFO organization in support of the PFO and other Federal agencies. The JFO may include a joint information center (JIC).
- # Interagency Modeling and Atmospheric Assessment Center (IMAAC). The IMAAC, coordinated by DHS, provides hazardous materials (radiological, chemical, biological) atmospheric dispersion modeling and health effect predictions during an Incident of National Significance and generates the single Federal prediction of atmospheric dispersion and consequences utilizing the best available resources from the Federal Government. The NRC interfaces and coordinates with the IMAAC.
- # NIMS. This Plan and the associated implementing procedures incorporate the provisions of the NIMS related to incident command and management. The NRC will evaluate and adopt, as appropriate, the other provisions of the NIMS which are currently undergoing DHS-coordinated interagency collaborative development.

H. Nuclear/Radiological Incident Annex

The NRP's Nuclear/Radiological Incident Annex (Reference 5), which supersedes the FRERP, provides for timely, coordinated response by Federal agencies to nuclear/radiological incidents and is the principal annex applicable to the NRC. The annex applies to any nuclear/radiological incident that has actual, potential, or perceived radiological consequences within the United States, its territories, possessions, or territorial waters, and requires a response by the Federal Government. The annex does not create any new authorities nor change any existing authorities and nothing in the annex alters or impedes the ability of the NRC or other Federal agencies to carry out their specific authorities and perform their responsibilities under law. Under this annex, the NRC roles/responsibilities are analogous to those under the superseded FRERP and the annex comports closely with the FRERP.

The annex may be implemented (1) concurrently with, and as integral part of, the NRP for Incidents of National Significance or (2) independently as a stand-alone Federal interagency protocol for incidents below the threshold of an Incident of National Significance. Under the annex, NRC is either the Coordinating Agency or a Cooperating Agency. The Coordinating Agency is that Federal agency which owns, has custody of, authorizes, regulates, or is otherwise deemed responsible for the radiological facility or activity involved in the incident. (Note: "Coordinating Agency" equates to "Lead Federal Agency" under the FRERP.) The NRC is the Coordinating Agency for incidents that occur at fixed facilities or activities licensed by the NRC or Agreement States or involving AEA licensed material. For terrorism incidents involving materials or facilities licensed by NRC or Agreement States, NRC is the Coordinating Agency responsible for coordinating technical support and assistance to the Federal Bureau of Investigation (FBI) in the performance of its law enforcement mission.

As the Coordinating Agency, NRC performs the following Federal-level functions: (1) coordinates actions of Federal agencies related to the overall response; (2) coordinates Federal activities related to response and recovery of the radiological aspects of the incident; (3) coordinates security activities related to Federal response operations; (4) ensures coordination of technical data (collection, analysis, storage, and dissemination); (5) ensures that Federal protective action recommendations are developed and provides advice and assistance to State, local, and tribal governments for implementation; (6) coordinates release of Federal information to the public; (7) coordinates release of Federal information to Congress; (8) informs the White House on aspects of the incident; and (9) ensures coordination of demobilization of Federal assets. For Incidents of National Significance, DHS is responsible for the overall coordination of Federal response activities and NRC performs the Coordinating Agency response functions in concert with DHS.

As a Cooperating Agency, the NRC provides technical and resource support to the Coordinating Agency. The NRC is a Cooperating Agency for all nuclear/radiological incidents other than those for which it is the Coordinating Agency. For example, for incidents involving Department of Energy (DOE)-owned/operated facilities and for terrorism incidents involving material not licensed by NRC or Agreement States, NRC would provide technical assistance to other Federal, State, local, and tribal agencies as a Cooperating Agency.

III. KEY PLANNING CONCEPTS

A. Nuclear/Radiological Incidents

The Nuclear/Radiological Incident Annex of the NRP is implemented (1) concurrently with, and as an integral part of, the NRP for nuclear/radiological incidents considered to be Incidents of National Significance or (2) independently for other nuclear/radiological incidents considered to be below the threshold of an Incident of National Significance and, therefore, not requiring overall Federal coordination by DHS.

The Coordinating Agency leads the nuclear/radiological aspects of the response in support of DHS for Incidents of National Significance or, for incidents below the threshold of an Incident of National Significance, leads the overall Federal response. The Cooperating Agencies provide technical and resource support to DHS and to the Coordinating Agency.

B. Incidents Involving Licensees

The licensee, pursuant to provisions of Title 10 of the Code of Federal Regulations, is responsible for controlling the nuclear/radioactive material or facility, protecting against radiological releases, and mitigating the consequences of the incident. The licensee must be prepared to perform essential activities to ensure protection of the public in the event of an incident.

The NRC supports and assists the licensee, conducts an independent assessment of licensees and others to ensure safety and mitigate potential offsite consequences, and provides assistance and recommendations concerning any protective measures. For incidents involving facilities or materials licensed by the NRC or an Agreement State, the NRC is the designated Coordinating Agency under the Nuclear/Radiological Incident Annex.

For a transportation incident, the respective responsibilities of the licensee and NRC are the same as for a regulated facility. Response activities vary with the mode of transportation (e.g., highway, rail, ship, or plane), incident location, incident type, source term, and potential consequences. Response to an incident in the public transportation domain inherently relies on licensee and NRC cooperation with appropriate State, local, tribal, and Federal agencies.

C. Nonlicensee Incidents

For an incident involving a nuclear or radiological facility or material not licensed by the NRC or an Agreement State, another Federal department/agency is the designated Coordinating Agency under the Nuclear/Radiological Incident Annex and the NRC serves as a Cooperating Agency. In this capacity, the NRC provides technical assistance and support to DHS, other Federal entities, and State/local/tribal authorities commensurate with its capabilities and consistent with its statutory authorities.

D. Terrorism Incidents

Terrorism incidents involving nuclear or radioactive materials, including facilities and materials licensed by the NRC or an Agreement State, are considered Incidents of National Significance. For such incidents, DHS coordinates the overall Federal response under the provisions of the NRP and the associated annexes. Under the provisions of the Terrorism Incident Law Enforcement and Investigation Annex, the FBI manages and directs law enforcement and intelligence aspects of the response, while coordinating its activities with appropriate Federal/State/local/tribal governments.

For facilities or material licensed by the NRC or an Agreement State, the NRC is the Coordinating Agency under the Nuclear/Radiological Incident Annex. The NRC performs the functions delineated in the annex and, supported by the designated cooperating agencies, provides technical support and assistance to the FBI in the performance of its law enforcement and criminal investigative mission.

IV. ROLES AND RESPONSIBILITIES

A. Licensees

Licensees have the following responsibilities for incident response, pursuant to provisions of Title 10 of the Code of Federal Regulations:

- (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 takes clear precedence over adverse publicity or limiting financial loss. During an incident the licensee is required to take whatever action is deemed necessary to limit the consequences to public health and safety.
- (2) **Notifications and Protective Action Recommendations**
The licensee is responsible for initial incident notifications to State, local, tribal, and Federal authorities (as specified in the licensee's emergency plan) and for keeping these entities informed of the status of the incident with respect to protection of the public health and safety. The licensee is required to promptly recommend to State, local, tribal, and Federal authorities specific protective actions to limit the danger to the public, including evacuation and sheltering and the prophylactic use of potassium iodide (KI) as appropriate.
- (3) **Notifying NRC**
The licensee is responsible for notifying the NRC in compliance with regulatory requirements (e.g., 10 CFR Part 20, Subpart M, "Reports"; 10 CFR 30.50, "Reporting Requirements"; 10 CFR 40.60, "Reporting requirements"; 10 CFR 50.72, "Immediate notification requirements for operating nuclear power reactors"; 10 CFR 70.50, "Reporting requirements"; 10 CFR 70.74, "Additional reporting requirements"; 10 CFR 73.71, "Reporting of safeguards events"; and 10 CFR 76.120, "Reporting requirements").

B. State, Local, and Tribal Governments

State governments and, as applicable, local/tribal governments are responsible for determining and implementing measures to protect life, property, and the environment in areas outside the facility boundary or incident location. Although the licensee has the primary role in preventing and mitigating onsite incident consequences, the State authorities are responsible for implementing a response to assure the protection of the public from offsite consequences. These State authorities are assisted by the NRC, DHS, and other Federal Government departments/agencies. In addition, for incidents involving Agreement State licensees, State governments are responsible for notifying the NRC of the incident in a timely and effective manner.

C. NRC

NRC roles and responsibilities for incident response are as follows:

- (1) **Licensee Incidents**
For incidents involving facilities or materials licensed by the NRC or an Agreement State, NRC responsibilities include (1) performing an independent assessment of the safety of

the facility or material; (2) evaluating licensee protective action recommendations; (3) performing oversight of the licensee (monitoring, advising, assisting, and/or directing); (4) supporting and coordinating with State/local/tribal authorities, DHS, and other Federal agencies; (5) reporting information to appropriate entities including the media and the public.

In carrying out its responsibilities related to a licensee incident, the NRC may have more than one licensee interface role, sometimes concurrently, as events progress. These interface roles are not discrete or mutually exclusive, but are generally incremental. The following interface roles are presented in ascending order of NRC responsibility:

- # **Monitor and assess.** In this role, NRC response is limited and involves information acquisition and assessment. The licensee has primary responsibility for ensuring safety and responding to the incident. NRC keeps itself apprised of both the situation and the status of response actions, based on information and electronic data supplied directly 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. Data are collated, 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. 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.
- # **Coordinate and inform.** The NRC will appropriately inform cognizant officials, other agencies, and the public about the status of the incident. This role is exercised when 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, DHS, White House). NRC activities are coordinated with DHS and other Federal entities.
- # **Advisory.** The NRC response is expanded to exert influence on the response process. 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/local/tribal authorities and other Federal agencies. In coordination with DHS, NRC advises State and local/tribal 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.
- # **Assistance.** 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. NRC may also coordinate the deployment of Federal resources to the State and/or other response organizations.
- # **Limited direction.** In rare situations, the NRC may find it necessary to intervene in a limited manner to direct the licensee's onsite response. NRC rarely assumes

this role, but plans are made for such a contingency. The Chairman of the NRC has the authority to issue orders and directives to the licensee and, in such situation, the Chairman or designee issues formal orders to the licensee to take certain measures and then monitor implementation of the actions ordered. The licensee continues to make other incident-related decisions and to operate and manage the facility with licensee personnel.

(2) Nonlicensee Incidents

For nuclear/radiological incidents not involving facilities or materials licensed by the NRC or an Agreement State, the NRC is responsible for providing technical assistance and support, consistent with its statutory authorities. For incidents in which the Nuclear/Radiological Incident Annex is implemented, the NRC serves as a Cooperating Agency and is responsible for (1) providing technical assistance to include source term estimation, plume dispersion, and dose assessment calculations (2) providing assistance concerning protective action measures and (3) providing assistance in Federal radiological monitoring and assessment activities.

D. Federal Government

1. The White House

The President leads the Nation in response to an Incident of National Significance. The President may instruct a Federal department/agency, subject to statutory limitations, to utilize its authorities and resources. Under provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), the President may declare a major disaster or emergency to provide Federal assistance to State/local/tribal entities. The Assistant to the President for Homeland Security, as directed by the President, may convene Federal interagency meetings to coordinate policy issues. The White House uses the mechanisms and provisions of the NRP to coordinate the response activities of Federal departments/agencies.

2. Department of Homeland Security

The Secretary of Homeland Security is responsible for coordinating the overall Federal Government response to Incidents of National Significance in accordance with HSPD-5 and the NRP. The Secretary, in accordance with HSPD-3, "Homeland Security Advisory System," coordinates dissemination of information regarding the risk of terrorist acts and the implementation of measures to reduce vulnerability or increase response capability during a period of heightened alert.

For a nuclear/radiological Incident of National Significance, DHS carries out overall coordination responsibilities according to the provisions of the NRP Base Plan, the Nuclear/Radiological Incident Annex, and other NRP annexes. For nuclear/radiological incidents of lesser severity, below the threshold of an Incident of National Significance and, therefore, not requiring overall coordination by DHS, organizational elements of DHS (e.g., DHS/FEMA); DHS/Infrastructure Analysis and Infrastructure Protection, Customs and Border Protection; Science and Technology Directorate; DHS/U.S. Coast Guard (USCG); DHS/U.S. Secret Service; others) carry out their respective responsibilities according to the provisions of the Nuclear/Radiological Incident Annex and other annexes.

In accordance with provisions of the Stafford Act, DHS/FEMA is responsible for coordinating the provision of Federal resources and assistance to affected State, local, and tribal governments for incidents resulting in presidentially declared disasters or emergencies. All incidents resulting in disaster and emergency declarations under the Stafford Act are considered Incidents of National Significance. However, not all Incidents of National Significance necessarily result in a declaration under the Stafford Act.

3. Federal Bureau of Investigation (FBI)

Under the AEA, the FBI is responsible for investigating all alleged or suspected criminal violations of the act. The Attorney General, typically acting through the FBI, has lead responsibility for criminal investigations of terrorist acts or threats, including those involving nuclear/radioactive materials, and for coordinating activities of other members of the law enforcement community. The FBI also plays a key part in working with the NRC and DHS in determining the credibility of threats involving nuclear facilities and materials.

For a nuclear/radiological terrorism incident, the FBI is responsible for managing and directing the law enforcement and intelligence aspects of incident response under the Terrorism Incident Law Enforcement and Investigation Annex of the NRP. The Coordinating Agency and Cooperating Agencies under the Nuclear/Radiological Incident Annex perform their respective functions delineated in the annex and provide technical support and assistance to the FBI.

4. Federal Departments/Agencies

The responsibilities of other Federal departments/agencies (e.g., DOE, Environmental Protection Agency [EPA], U.S. Department of Agriculture [USDA]) pertaining to nuclear/radiological incidents are delineated in the Nuclear/Radiological Incident Annex. For a nuclear/radiological incident in which the NRC is designated the Coordinating Agency, these departments/agencies serve as Cooperating Agencies and provide technical assistance and support to the NRC.

V. CONCEPT OF OPERATIONS

A. NRC Response Functions

The NRC carries out incident response functions, in accordance with this Plan, under its own statutory authorities and responsibilities (see Section I.B) and, if applicable, as an integral part of the overall Federal response consistent with the NRP. For incidents involving facilities and/or materials licensed by the NRC or an Agreement State, the NRC (1) performs an independent assessment of the incident and potential offsite consequences and, as appropriate, provides/confirms recommendations concerning any protective measures (2) performs oversight of the licensee (monitoring, evaluation of protective action recommendations, advice, assistance, and, in rare circumstances, direction) and (3) dispatches, if appropriate, an NRC team of technical experts to the licensee's site.

As a signatory to the NRP, the NRC supports the NRP concepts, processes, and structures and carries out assigned functional responsibilities to ensure effective and efficient incident management. In addition, NRC cooperates with and supports the Secretary of Homeland Security in implementation of the NRP, as appropriate and consistent with NRC's authorities and responsibilities.

For incidents involving facilities and/or materials licensed by the NRC or an Agreement State, NRC is the Coordinating Agency under the Nuclear/Radiological Incident Annex. Accordingly, the NRC performs the specified Federal-level response functions, as appropriate and consistent with the agency's authorities and responsibilities, including (1) coordinating actions of Federal agencies related to the overall response; (2) coordinating Federal activities related to response and recovery of the radiological aspects of the incident; (3) coordinating security activities related to Federal response operations; (4) ensuring coordination of technical data (collection, analysis, storage, and dissemination); (5) ensuring Federal protective action recommendations are developed in a timely and effective manner and providing advice and assistance to State, local, and tribal governments for implementation; (6) coordinating release of Federal information to the public; (7) coordinating release of Federal information to Congress; (8) informing the White House on all aspects of the incident; and (9) ensuring coordination of demobilization of Federal assets. The designated cooperating agencies (e.g., DOE, EPA, USDA) provide assistance and support to the NRC.

For incidents below the threshold of an Incident of National Significance, the NRC, as Coordinating Agency, performs the Federal-level functions and coordinates the overall Federal response as provided in the annex. For Incidents of National Significance, DHS is responsible for the overall coordination of Federal response activities and the NRC, as Coordinating Agency, performs the Federal-level functions in concert with DHS.

For other nuclear/radiological incidents (e.g., incidents involving DOE-owned material), the NRC is a Cooperating Agency. Accordingly, NRC provides technical assistance and support to DHS and the Coordinating Agency as appropriate and consistent with the agency's authorities and responsibilities.

For non-nuclear/radiological incidents, NRC may be designated a "support agency" or "cooperating agency" under one or more of the Emergency Support Function Annexes, Support Annexes, and/or Incident Annexes. Accordingly, NRC provides technical assistance and support according to the provisions of the annexes as appropriate and consistent with NRC's authorities and responsibilities.

B. NRC Response Organization

The overall response to any incident is under the direction of the NRC Chairman, or his/her designee. Response personnel at both headquarters and regional offices are organized by teams and the Chairman is the Director of the Executive Team. The agency's response at the regional level is under the direction of the respective Regional Administrator or designee. If an NRC site team is established and dispatched to the vicinity of an incident (e.g., licensee's site), the Site Team Director (i.e., director of the NRC site team) assumes lead responsibilities under specific authorities delegated by the Chairman.

NRC headquarters and regional response teams are staffed by experienced and qualified personnel whose routine responsibilities/activities correlate with the respective team's incident response functions and activities. Experienced and qualified supervisors/managers serve as team directors. Team directors tailor team staffing for a particular incident and, for an extended incident, determine long-term team staffing. Team-specific incident response implementing procedures identify the specific staffing and functions/activities for each team.

1. Headquarters Operations Center (HOC)

The HOC is continuously staffed (24 hours a day, 7 days a week) with a HOO/HERO. The HOO and HERO function as a team to receive emergency and non-emergency notifications from NRC licensees, government agencies, and/or private entities. Notifications made to the HOC include safety and security incidents. Depending on the nature of the reported incident, the HOO and HERO notify designated headquarters and regional management-level decision makers. If a decision is made to escalate the NRC response mode, the HOO and HERO promptly notify the appropriate NRC incident response team members. In addition to internal notifications, the HOO and HERO notify other Federal departments/agencies and, if appropriate, licensees and State agencies. The HOO and HERO, while continuing to perform their functions, are an integral part of the headquarters incident response organization. HOO/HERO functions are conducted in accordance with an implementing procedure.

2. Regional Offices

Regional incident response is under the leadership of the respective Regional Administrator with oversight by the Executive Team (ET). Response personnel include selected management and technical staff at the respective regional offices and the resident inspectors at nuclear power plant and nuclear fuel facility sites. For an incident at a licensee site with resident inspectors, the inspectors typically receive prompt notification from the licensee, monitor the licensee's response, and communicate with the respective regional office. Regional response personnel communicate with the HOO/HERO and, if appropriate, additional headquarters response personnel.

Depending on the incident's complexity and severity, the regional office may partially or fully staff its incident response center. For a severe incident at a licensee's site, the regional office staffs its incident response center and dispatches the site team. For an Incident of National Significance in which a JFO is established, the regional office may provide NRC representation consisting of the Senior NRC Official and appropriate support staff. NRC representation at the Joint Field Office is typically supplemented by headquarters and/or other regional offices. Regional office incident response staffing and activities are addressed in an implementing procedure.

3. Headquarters Executive Team (ET)

The ET, typically under the leadership of the Chairman, is the NRC's senior decision-making body for incident response. The ET's essential functions are (1) support licensees and State/local/tribal decision makers to assure that radiological consequences are minimized and (2) communicate and coordinate effectively with Federal stakeholders. The ET:

- Leads Federal response under NRC statutory authorities
- Responds as the Coordinating Agency or a Cooperating Agency under the NRP
- Supports and assists decision-making to assure that risk to the public is minimized
- Communicates appropriateness of actions to protect the public to Federal departments/agencies, Congress, media, and other stakeholders
- Coordinates Federal resources to licensee or support organizations when licensee capabilities are exceeded

The ET is led by the Director (NRC Chairman or designee) and the Deputy Director (appointed by the Director, typically the Executive Director for Operations [EDO]). Additional team members may include: the Deputy Executive Directors, the Director of the Office of Nuclear Reactor Regulation (NRR), the Director of the Office of Nuclear Regulatory Research (RES), the Director of the Office of Nuclear Material Safety and Safeguards (NMSS), and/or the Director of the Office of Nuclear Security and Incident Response (NSIR).

At the discretion of the Director, additional management support to the ET may include: the Director of Communications, the Office of General Counsel, the Office of the Inspector General, the Office of the Chief Financial Officer, the Office of Enforcement, the Office of Public Affairs, the Office of Investigations, the Office of Information Services, the Office of Administration, and/or other senior managers. For an extended incident requiring long-term staffing of the ET, members of the Team may be relieved by other senior managers as authorized by the Director.

Other Commissioners are kept informed of the incident but are typically not designated as part of the ET. For an extended incident requiring long-term staffing of the ET, other Commissioners may relieve the Chairman as the Director. The staffing and activities of the ET are addressed in an implementing procedure.

4. Headquarters Support Teams

The headquarters support teams provide technical expertise and support to the ET. One team assesses the licensee actions to ensure safety and project future conditions. Another team monitors and independently determines potential radiological exposure to the public and provides assistance to licensees and governmental agencies in determination of public protective measures. Additional teams assess licensee actions to ensure safeguards/security and coordinate security response with law enforcement and intelligence agencies; provide liaison with DHS and other Federal departments/agencies; communicate and coordinate with Federal agencies, State governmental agencies, and other stakeholder organizations; communicate with media representatives and the public; and provide administrative support for the effective functioning of the NRC response organization. The staffing and activities of the support teams are addressed in an implementing procedure.

C. NRC Response Modes

The NRC response is flexible and tailored to the specific incident(s). Predesignated response modes enable the agency to activate response capabilities in a structured manner and focus the agency's response, as appropriate, at the region, headquarters, or incident site. This flexibility permits the NRC response to be commensurate with incident characteristics and severity and with licensee activities. The appropriate response mode is based on the NRC's assessment of incident severity and/or uncertainty. NRC's performance measure in this area is to make a decision regarding the appropriate agency response mode within 30 minutes of receiving initial notification of an incident. The NRC response modes are addressed in an implementing procedure.

The NRC Chairman is the senior authority for all aspects of emergency response. The Chairman becomes the Director of the ET with the authority and the responsibility for leading the agency in responding to emergencies. The Director may call on other Commissioners to provide advice and/or perform key functions.

Certain authorities may be delegated by the Chairman to the Deputy Director of the ET. The Deputy Director, typically the EDO, exercises the delegated authorities unless the Chairman specifically directs otherwise. Together, the Director and Deputy Director assure that planned actions are under way during the response modes and, in addition, identify other necessary actions unique to the particular incident. The headquarters and regional teams carry out those actions.

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. (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, describes 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.) The NRC response mode for other types of incidents (e.g., a transportation incident involving regulated material, regional electric grid incident affecting multiple licensed facilities, large-scale natural disaster, national-level domestic threat, and/or 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.

The NRC's deactivation of activated response capabilities and, if applicable, participation in recovery activities are performed in a structured manner but are flexible and tailored to the specific incident(s). 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 personal needs of response personnel, and developing lessons learned. Recovery may include radiological cleanup activities in accordance with mechanisms of the National Response Plan and the development, coordination, and execution of restoration plans for impacted communities. Deactivation and recovery are addressed in an implementing procedure.

1. NORMAL Mode

The routine (i.e., normal) state of NRC operations includes all activities designed to maintain

incident response readiness (e.g., 24/7 staffing by HOOs/HEROs). In addition, the NRC is poised to respond at its alternate Continuity of Operations (COOP) site. The regional offices are prepared to back up each other and headquarters. When warranted (e.g., during National Special Security Events), the NRC may dispatch staff to the HSOC and other sites to enhance coordination and communications.

2. MONITORING Mode

The NRC escalates to the MONITORING mode, a heightened state of readiness for incident assessment, upon decision by designated headquarters and regional managers. For a facility-specific or region-specific incident, the responsible regional office has the lead for agency response and appropriately staffs its incident response center. Headquarters supports the region and may have specific individuals participating in monitoring and/or analysis activities, but the HOC is not staffed and activated.

The NRC may escalate to the MONITORING mode for situations that are not facility or region-specific (e.g., natural phenomena involving multiple licensees, multi-region electric grid incident, international incident, terrorism-related incidents). For such situations, headquarters has the lead for agency response and the regions provide appropriate support. Figure 1 illustrates the role of headquarters and regional offices for the MONITORING mode.

3. ACTIVATION Mode

The NRC escalates to the ACTIVATION mode if an incident is sufficiently complex or uncertain that it warrants extensive analysis and evaluation by the agency, if it warrants consideration for sending an NRC site team to the vicinity of the incident, or if the incident involves terrorist activities. In the ACTIVATION mode, the lead for agency response shifts from the region to headquarters. The HOC is activated with partial staffing by the support teams under the leadership of a partially-staffed ET. For a facility-specific or location-specific incident (e.g., a transportation incident), the responsible regional office continues staffing of its incident response center and may prepare a site team to travel to the licensee's site or the location of the incident. Headquarters and the regional office maintain continuous communication, evaluate available information, make appropriate notifications, and prepare for escalation of response should it be necessary. Other regional offices provide appropriate support. Figure 2 illustrates the role of headquarters and regional offices for the ACTIVATION mode.

4. EXPANDED ACTIVATION Mode

The NRC escalates to the EXPANDED ACTIVATION mode if the incident severity and/or situation uncertainty warrants the full response capabilities of the NRC. EXPANDED ACTIVATION may be initiated in response to a facility-specific incident at a licensee's site, incident(s) involving multiple licensees' facilities, terrorist attack or other incidents in which the full capabilities of the NRC are needed to support the overall Federal response. Headquarters typically continues to lead the agency's response in the EXPANDED ACTIVATION mode. The ET Director leads the agency response and the HOC is activated with full staffing by the ET and support teams. Team membership is tailored to the specific incident. The regional office incident response center is fully staffed and, if appropriate, staffing is adjusted to accommodate a site team. Other regional offices may partially staff their incident response centers or provide resources and/or personnel to the NRC site team. Figure 3 illustrates the role of headquarters and regional offices for the EXPANDED ACTIVATION mode.

The EXPANDED ACTIVATION mode may involve dispatch of an NRC site team to the licensee's site or the vicinity of an incident under the leadership of the Regional Administrator or designee. The Site Team Director is delegated specific authorities from the ET Director to lead NRC response activities. The focus of NRC response is at the incident site and the site team may have the lead for most of the agency response. At the site, the Site Team Director assumes supervision of NRC personnel, represents NRC in interactions with other agencies (e.g., represents the NRC locally as Coordinating Agency or Cooperating Agency), and decides what response actions must be taken, consistent with the delegated authority. The ET Director retains any authority not specifically delegated to the Site Team Director. Figure 4 illustrates the role of the site team, headquarters, and regional offices during EXPANDED ACTIVATION.

D. NRC External Coordination

1. Licensees

For incidents involving facilities and/or materials licensed by the NRC or an Agreement State, the NRC continually interfaces and coordinates with the licensee. The NRC relies upon the licensee for providing the initial notification of an incident or potential incident in accordance with NRC regulations and guidance (see Section IV.A.3). Following the initial notification, the NRC may establish and maintain a continuous communications link with the licensee via the Federal Telecommunications System (FTS) telephone lines and/or other means. In addition, if appropriate, the NRC may dispatch a site team to the incident site.

2. State, Local, and Tribal Governments

a. Protective Action Recommendations

For incidents involving facilities and/or materials licensed by the NRC or an Agreement State, the NRC coordinates with State and, as appropriate, local/tribal authorities. These offsite authorities have responsibilities for deciding what public protective actions are to be implemented. A major emphasis in the NRC incident response is providing offsite authorities with an evaluation of license protective action recommendations that represent the position of the Federal Government. In order to effectively perform this task, NRC establishes communication channels with government officials (e.g., the Governor's office, emergency management agencies, and radiological health organizations) at both the headquarters and regional levels. The NRC typically coordinates such communications with DHS.

b. Incident Command System

State/local/tribal government agencies, consistent with implementation of the NIMS, use the incident command system as the organization structure for their response to an incident. As such, these agencies may establish and/or support multi-agency coordination centers (e.g., emergency operations centers (EOCs) and incident command posts).

For incidents involving facilities and/or materials licensed by the NRC or an Agreement State and consistent with the need for interagency coordination, the NRC may provide NRC representatives to the multi-agency coordination center(s). Staffing for the representative(s) is provided by the respective regional office with headquarters and other regional offices providing backup personnel to support shift-work and/or long-term

activities. The NRC representative(s) interfaces with the representatives of other agencies/organizations and coordinates NRC activities via communication with the region, headquarters, and, if established, the NRC Site Team.

3. Department of Homeland Security

NRC coordination and interactions with DHS regarding incident response may occur at multiple levels over an extended period of time and involve both headquarters and regional personnel. Figure 5 illustrates overall NRC interface with DHS and Figure 6 illustrates NRC interface within the multiagency coordination system.

a. Homeland Security Operations Center

Homeland Security Operations Center (HSOC)

The HSOC, located at DHS headquarters, serves as the primary national-level hub for operational communications and information pertaining to domestic incident management. The HSOC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private sector reporting. It facilitates homeland security information-sharing and operational coordination with other Federal, State, local, tribal, and non-governmental emergency response organizations.

National Response Coordination Center (NRCC)

The NRCC, a component of the HSOC located at FEMA headquarters, is a multiagency center that provides overall Federal response coordination for Incidents of National Significance. The NRCC supports the efforts of regional and field components and, during an incident, may operate on a 24/7 basis with staffing by representatives from Federal departments/agencies associated with the Emergency Support Function Annexes.

NRC Information Reporting

The NRC reports incident-related information to the HSOC through execution of an implementing procedure. The HOO/HERO notifies the HSOC upon notification that a licensee has declared an event (to include facility events, significant transportation events, or events that occur in the field or at industrial sites). The threshold for such notifications is below the minimum reporting threshold mandated by DHS (i.e., actual or potential Incident of National Significance). If the NRC transitions to a response mode, additional notifications are made to the HSOC. Incident updates are reported to entities that were part of the initial notification process and, therefore, the HSOC is informed of interactions between the NRC and other Federal agencies, State, local, and tribal governments, and private/non-government entities.

NRC Staffing

The NRC and other Federal departments/agencies provide staff-level representation to the HSOC in order to integrate a spectrum of interagency subject matter expertise and reach-back capability to meet the demands of a wide range of potential incidents. Many agencies support the HSOC on a routine basis by shift staffing; however, the NRC and other selected agencies provide HSOC support as warranted on a situational basis. Headquarters provides staff-level technical liaisons to the HSOC as provided in an implementing procedure. The liaison, as necessary, also serves as the agency's representative to the NRCC.

b. Incident of National Significance

The Secretary of Homeland Security, in consultation with other departments and agencies as appropriate, determines whether an incident is an Incident of National Significance. The criteria for an Incident of National Significance derive from HSPD-5 and are generally qualitative (e.g., resources of State and local /tribal authorities are overwhelmed; threats or incidents related to high-profile, large-scale events present high-probability targets such as National Special Security Events (NSSEs); and the President directs the Secretary of Homeland Security to assume responsibility for managing an incident).

The NRC staff and DHS have developed the following definitive criteria for an Incident of National Significance involving radiological facilities or materials licensed by the NRC or an Agreement State (Reference 7):

Nuclear Power Plants

For radiological incidents at nuclear power plants, the criteria for an Incident of National Significance typically correlate with the licensee emergency classification scheme.

The following would likely be considered Incidents of National Significance:

- G** General Emergency declaration at a nuclear power plant resulting from an “accident” (i.e., non-terrorist incident) due to natural disaster, equipment failure, operator errors, etc.
- G** General Emergency, Site Area Emergency, or Alert declaration at a nuclear power plant resulting from a terrorist incident.

The following would likely be considered below the threshold for an Incident of National Significance:

- G** Site Area Emergency, Alert, or Unusual Event declaration at a nuclear power plant resulting from an “accident” (i.e., non-terrorist incident) due to natural disaster, equipment failure, operator errors, etc.

Facilities/Materials

For radiological incidents involving facilities (other than nuclear power plants) or materials licensed by the NRC or an Agreement State, the criteria for an Incident of National Significance generally correlate with the above nuclear power plant criteria with respect to radiological source term magnitude and potential impact on public health and safety.

The following would likely be considered Incidents of National Significance:

- G** Facilities (other than nuclear power plants): Alert or higher emergency class declaration resulting from a terrorist incident.
- G** Materials (i.e., incidents outside nuclear/radiological facility boundaries): Terrorist incidents involving an improvised nuclear device (IND), radiological dispersal device (RDD), and/or radiological exposure device.

The following would likely be considered below the threshold for an Incident of National Significance:

- G Facilities (other than nuclear power plants): Any “accident” (i.e., non-terrorist incident) due to natural disaster, equipment failure, operator errors, etc.
- G Materials (i.e., incidents outside nuclear/radiological facility boundaries): Any “accident” (i.e., non-terrorist incident) due to natural disaster, equipment failure, operator errors, etc.

c. Interagency Incident Management Group

Interagency Incident Management Group (IIMG)

The IIMG is convened during Incidents of National Significance and periods of heightened national alert as requested by the Secretary of Homeland Security. The IIMG, located at DHS headquarters, provides policy-level support to the Secretary and other national authorities. It consists of management-level, senior representatives from DHS components, other selected Federal departments/agencies, and selected State/local/tribal agencies. IIMG members officially represent, and provide time-sensitive reach-back to, their respective agencies.

NRC Staffing

In coordination with DHS, NRC headquarters provides qualified managers at the Senior Executive Service (SES) level as representatives to the IIMG as specified in an implementing procedure. The NRC’s representative coordinates with the representatives of other departments/agencies and provides reach-back to headquarters.

d. Principal Federal Official and Joint Field Office

Principal Federal Official (PFO) and Joint Field Office (JFO)

The PFO and JFO are established as part of the DHS-coordinated Federal response to an Incident of National Significance. The PFO is the Federal official designated by the Secretary of Homeland Security to act as his/her representative *locally* to oversee, coordinate, and execute the Secretary’s incident management responsibilities under HSPD-5. The PFO is typically located at the JFO and *coordinates* the activities of the Federal officials involved in incident management activities acting under their own authorities. In addition, the PFO provides a channel for communicating with the media and the public about the incident. The PFO does *not* direct or replace the incident command structure and does not have directive authority over Federal/State officials, including the NRC Site Team, who retain their authorities as defined in existing statutes and directives.

The JFO, a temporary Federal facility established to coordinate Federal assistance to the affected jurisdiction(s), provides a central location for Federal, State, local, tribal, non-governmental, and private-sector organizations with primary responsibility for incident support and coordination. The JFO focus is providing support to on-scene efforts and conducting broad support operations beyond the incident site. The JFO is

intended to combine, within a single Federal facility, the traditional functions of the FBI Joint Operations Center (JOC), the FEMA Disaster Field Office, and, in some situations, joint information centers (JICs).

The JFO utilizes the scalable organizational structure of the NIMS and the organization adapts to the magnitude and complexity of the incident. The Coordination Group manages JFO activities and consists of the PFO, Senior Federal Law Enforcement Officer, Federal Coordinating Officer, Senior Federal Officials with jurisdictional responsibility or functional authority, selected State/local/tribal officials, and appropriate private-sector representatives. The Senior Federal Officials, including the Senior NRC Official if provided, use the existing authorities, expertise, and capabilities of their respective departments/agencies to assist in incident management in coordination with other members of the Coordination Group.

NRC Staffing

The NRC, as Coordinating Agency under the Nuclear/Radiological Incident Annex and Supporting (Cooperating) Agency under other NRP annexes, supports the JFO structure with staffing appropriate to the specific incident. The NRC may staff the Senior NRC Official position to participate in the Coordination Group and provide additional technical staff to support the Senior NRC Official. JFO staffing is typically provided by the respective Regional Office with Headquarters and other Regional Offices providing backup personnel to support shift work and/or long-term activities. NRC staffing to the JFO is addressed in an implementing procedure. Figure 7 illustrates NRC interface within the JFO.

e. Federal Emergency Management Agency

DHS/FEMA, in consultation with the Coordinating Agency, coordinates the provision of Federal resources and assistance to affected State/local/tribal governments under the Stafford Act. In addition, DHS/FEMA maintains integrated, coordinated information regarding the status of all resource support activities.

The NRC, as Coordinating Agency, interfaces with FEMA regarding issues/activities related to the Stafford Act. The NRC, as a Cooperating Agency, may interface with FEMA regarding provision of NRC technical assistance and support for the incident.

4. Federal Interagency Assets

Federal interagency assets for a nuclear/radiological incident are available upon request by the Coordinating Agency or DHS. The NRC may access and/or contribute to these assets.

a. Interagency Modeling and Atmospheric Assessment Center (IMAAC)

The IMAAC, is the Federal center responsible for providing hazardous materials, atmospheric dispersion modeling, and health effect predictions during an Incident of National Significance. Under DHS coordination, IMAAC generates the *single* Federal prediction of atmospheric dispersion and consequences utilizing the best available resources from the Federal Government. IMAAC products are to be recognized for single utilization by Federal agencies and for distribution to all levels of government and to local responders.

The NRC, for a radiological incident involving a NRC-licensed facility, uses the agency-developed radiological assessment tools and methodologies to independently generate a source term and dose assessment based on facility or event conditions and other data supplied by the licensee in accordance with an implementing procedure.

As Coordinating Agency, the NRC shares source term information with IMAAC and uses IMAAC capabilities to confirm and/or modify the NRC assessments. IMAAC supports the NRC and develops dose assessments, using the source information, to provide confirmation and overall refinement using the NRC source term and dose assessment calculations. When available, IMAAC results are compared to those obtained by the NRC and licensee. As Coordinating Agency, the NRC may request/coordinate data from the IMAAC, and coordinate the release of these data to other government agencies.

b. Advisory Team for Environment, Food, and Health

The Federal Advisory Team develops coordinated advice and recommendations concerning environmental, food health, and animal health matters for use by DHS, the JFO Coordination Group, the Coordinating Agency, and State/local/tribal governments. The Advisory Team includes representatives from DHS, EPA, USDA, Food and Drug Administration (FDA), Centers for Disease Control and Prevention, and other Federal agencies.

As Coordinating Agency, the NRC is a member of the Advisory Team and coordinates the composition and activities of the Advisory Team in accordance with an implementing procedure. As a Cooperating Agency, the NRC may participate as a member of the Team as requested by the Coordinating Agency.

c. Federal Radiological Monitoring & Assessment Center

The FRMAC is established at or near the incident location in coordination with DHS, the Coordinating Agency, other Federal agencies, and State/local/tribal authorities. DOE is responsible for developing and maintaining FRMAC policies and procedures, determining FRMAC composition, and maintaining FRMAC operational readiness. A FRMAC normally includes representation from DOE, EPA, Department of Commerce, National Communications System, U.S. Army Corps of Engineers, and other Federal agencies as needed. DOE coordinates radiological monitoring and assessment activities during the initial phases of incident response and typically transfers this responsibility to EPA during the recovery process.

As Coordinating Agency, the NRC provides representation to the FRMAC and coordinates FRMAC activities as provided in an implementing procedure. As a Cooperating Agency, the NRC may provide representatives to the FRMAC at the request of the Coordinating Agency.

d. Radiological Assistance Program (Department of Energy - DOE)

The DOE maintains Radiological Assistance Program (RAP) teams at DOE field locations as a first-responder resource to assess, evaluate, and mitigate the hazards of a radiological incident. The NRC, or other Federal agency or State, may acquire RAP team assistance on a 24/7 basis via request to DOE.

e. Other Interagency Assets

The NRC, as Coordinating Agency, may access additional nuclear/radiological Federal assets as provided in the Nuclear/Radiological Incident Annex to the NRP. Examples include the Aerial Measurement System (AMS) to provide wide-area radiation monitoring; the Radiation Emergency Assistance Center/Training Site (REAC/TS) to provide medical assistance, advisory teams, and training related to nuclear/radiological incidents; and the Accident Response Group (ARG) for response to an incident involving U.S. nuclear weapons.

5. The White House

As the Coordinating Agency, the NRC in concert with DHS will provide incident-related information to the White House for Incidents of National Significance and other significant events. In addition, the NRC may interface and coordinate with the White House through the HSC and/or the National Security Council (NSC) regarding interagency policy-level issues and courses of action. Interface with White House and/or the HSC/NSC typically involves the Chairman or his/her designee.

6. Congress

As the Coordinating Agency, the NRC in concert with DHS may provide incident-related information to Congress. For example, members of Congress will be informed about significant events involving facilities or materials in their States and districts. Such interface is typically coordinated by the Office of Congressional Affairs (OCA).

7. International Organizations

As the Coordinating Agency, the NRC in concert with DHS, informs and coordinates with the Department of State (DOS) for an incident with actual or potential foreign impact. Although DOS is responsible for official interactions with foreign governments, NRC has bilateral agreements with governments and organizations (e.g., Canada Nuclear Safety Commission, International Atomic Energy Agency) that permit direct interface and exchange of information. Such interface is typically coordinated by the Office of International Programs (OIP).

8. Public/Media

As the Coordinating Agency, the NRC in concert with DHS, provides incident-related information to the public. At the Federal level, communication with the public is accomplished in accordance with procedures outlined in annexes to the NRP (ESF #15, External Affairs, and the Public Affairs Support Annex). NRC's interface with the media and release of information to the public is coordinated by the OPA and may include the News Center, JIC in the vicinity of the licensee's site, and/or a DHS-coordinated Joint Information Center integral with the JFO.

E. Continuity of Operations (COOP) Planning

This Plan sets forth the agency's incident response and emergency decisionmaking functions when normal facilities and equipment are available. These important functions are a subset of the agency's minimum essential functions. The NRC Plan for COOP (Reference 8) describes the agency's minimum essential functions and the comprehensive and effective program to ensure that capabilities exist to continue these minimal essential functions, uninterrupted,

across a wide range of potential emergencies and disruptions, including loss of normal facilities and equipment.

This Plan may be activated under the umbrella of the agency's COOP. Available members of Headquarters senior management and others will form a COOP Management Team to address interagency coordination at the headquarters level, restoration of operations, and other functions (additional to the minimum essential functions) that may arise in a COOP emergency.

Each Federal department/agency must contribute to the national capability by maintaining a COOP plan that provides for continuity of its minimum essential functions. Continuity of Government (COG) provides for continuity at the next level, the executive branch, by coordinating department and agency COOP plans to meet the Federal Government's policy goals. Although NRC is a participant in COG activities, the COG plan is maintained at the executive branch level.

VI. INCIDENT RESPONSE MANAGEMENT and ADMINISTRATION

The NRC Incident Response Program integrates the overall NRC capabilities associated with the planning and preparation for, response to, and recovery from radiological incidents and/or emergency events. The program, focused on incidents involving nuclear/radiological facilities and materials licensed by the NRC or an Agreement State, encompasses all incidents in which the NRC has a response role under its statutory authority or as part of the overall response of the Federal Government.

The program is maintained in coordination with the NRC's licensees and other stakeholders.

A. Authorities and Responsibilities

1. Management Directive 8.2

Management Directive 8.2, NRC Incident Response Program, and the associated Handbook 8.2 specify agency policy, the organizational roles/responsibilities of headquarters and regional offices, and the positional authorities and responsibilities relative to the program.

2. Office of Nuclear Security and Incident Response (NSIR)

NSIR is responsible for the management and administration of the NRC Incident Response Program. NSIR responsibilities include the following:

- (1) Develop and maintain agency plans, program requirements, and procedures for planning, preparedness, response and recovery related to incidents. Ensure the NRC response to incidents is consistent with the agency's role and responsibilities and is coordinated with the DHS, other Federal/State activities, and licensees.
- (2) Develop, maintain, and integrate agency plans, program requirements, and procedures for response to incidents that threaten the continuity of government (COG) or COOP.
- (3) Develop, maintain, and administer the agency personnel qualification program related to incident response.
- (4) Manage the HOC. Receive, screen, and promptly communicate operational event information reported to the center.
- (5) Conduct and coordinate exercises with licensees and Federal/State/local/tribal entities to achieve and test readiness objectives.
- (6) Oversee the regional incident response program. Provide guidance to regional offices and assess regional office response capabilities.
- (7) Conduct outreach and communication activities with licensees, Agreement States, and other stakeholders.
- (8) Conduct investigations of significant operational events involving facilities or materials licensed by the NRC.

- (9) Perform programmatic oversight of the agency's Incident Response Program. Chair a joint headquarters/regional oversight committee and ensure performance of periodic assessments and continual improvements to the agency's program.

B. Plan, Procedures, and Agreements

This Plan reflects the policy and organizational responsibilities set forth in Management Directive 8.2. It governs the overall NRC response to incidents and assigns responsibilities to assure that the agency fulfills its statutory mission relative to incident response. The implementing procedures, separate from this Plan, document the specific functions and responsibilities and contain the detailed information for response teams and personnel to implement and carry out the provisions of the Plan. Appendix C lists the implementing procedures.

1. Headquarters Implementing Procedures

NSIR is responsible for developing, managing, and administering the headquarters implementing procedures. The implementing procedures are generally organized to correlate with the structure, functions, and responsibilities of the Headquarters response teams. Several implementing procedures address functions of the HOC and these procedures are integrated with other procedures utilized by the NRC's incident response organization.

2. Regional Implementing Procedures

Standardized regional implementing procedures are applicable to all regional offices. NSIR is responsible for developing, managing, and administering these procedures. Some procedures (e.g., State/local/tribal interfaces, COOP activities) vary among the regions and some procedures (e.g., hurricane response) are not applicable to all regions. The respective regional offices, under the guidance and oversight of NSIR, are responsible for developing, managing, and administering these region-specific procedures

3. Memoranda of Agreement/Understanding (MOA/MOU)

In addition to Management Directive 8.2, this Plan, and the associated implementing procedures, the NRC may establish MOA/Memoranda of Understanding (MOU) with other Federal departments/agencies to provide support or services relating to the NRC's Incident Response Program. Where appropriate, commitments to be fulfilled by NRC will be addressed in implementing procedures. These Memoranda will be maintained and periodically reviewed to assure that they meet current program needs.

4. Document Management

a. Current/Superseded Documents

Revision 4 (April 2005) of this Plan supercedes all prior revisions and/or versions. In addition, Revision 4 takes priority over and supercedes all other documents on incident response which contradict Revision 4.

The following documents are superseded upon issuance of Revision 4:

- G** NUREG/BR-0230, Response Coordination Manual 1996, September 1996
- G** NUREG-1471, Concept of Operations, February 1994
- G** NUREG-0845, Agency Procedures for NRC IRP, February 1983

b. Document Maintenance – review/update/distribution

This Plan and the associated implementing procedures are formally reviewed, updated as appropriate, and distributed to Headquarters /Regional offices on a periodic basis in accordance with the document maintenance implementing procedure.

C. Supporting Programs

Associated with the NRC Incident Response Program are a number of “supporting programs” which either directly correlate with, or are an integral part of, the agency’s response capabilities. These supporting programs address personnel resources (e.g., notification and training of responders), communications equipment, facility operations/maintenance; response tools (e.g., consequence assessment model), stakeholder outreach, and readiness (e.g., exercises, lessons learned). Documentation associated with supporting programs is included within implementing procedures.

VII. REFERENCES

1. National Response Plan, December 2004
2. National Incident Management System, March 1, 2004
3. NRC Incident Response Program, Management Directive 8.2
4. Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents, February 28, 2003
5. Nuclear/Radiological Incident Annex to NRP, December 2004
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. Memorandum to the Commission, April 12, 2004, Subject: Results from Nuclear Regulatory Commission and Department of Homeland Security Tabletop Exercise
8. Plan for Continuity of Operations (COOP), USNRC, June 2003

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 Material Facilities and Gaseous Diffusion Plants**

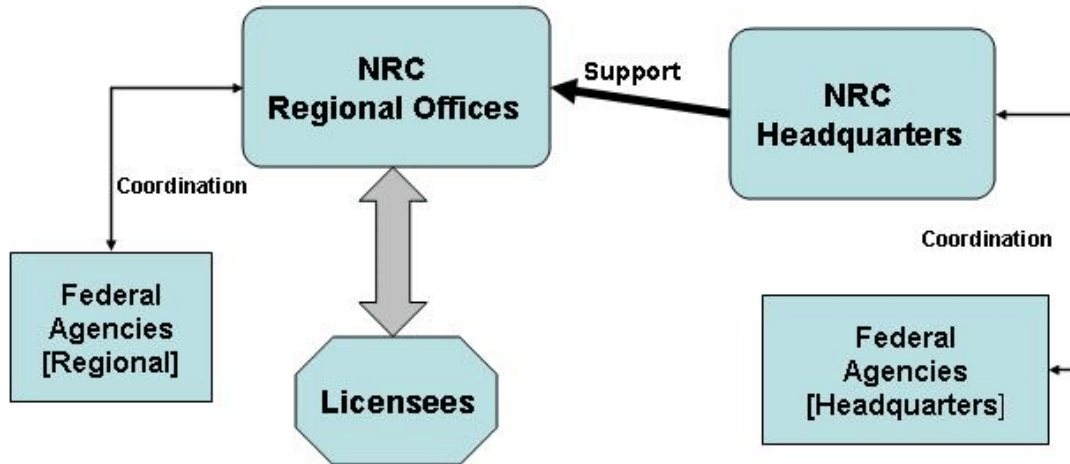
Alert	Site Area Emergency
Events may occur, are in progress, or have occurred that could lead to a release of radioactive material, but the release is not expected to require a response by an offsite response organization to protect persons off site.	Events may occur, are in progress, or have occurred 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;" and 10 CFR Part 30, "Domestic Licensing of Byproduct Material"

Table 1

Monitoring NRC Response Mode

NRC regional office typically has agency lead for licensee-specific incidents*

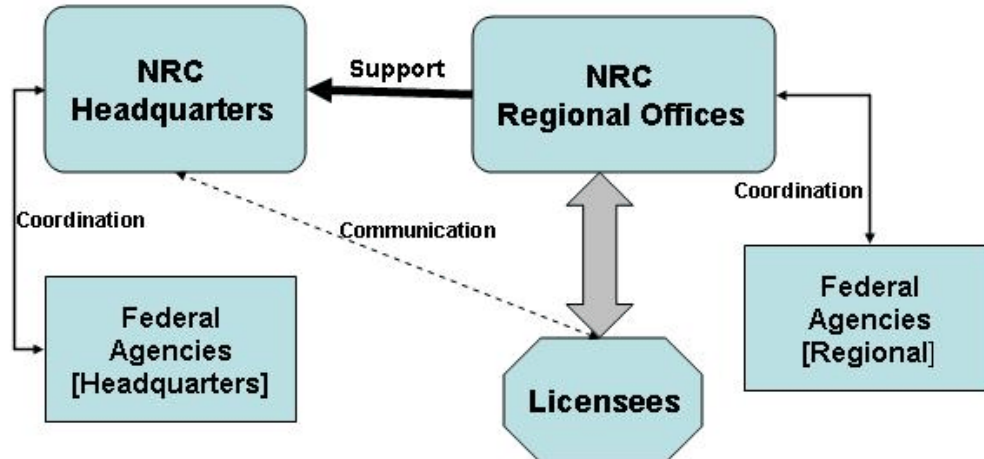


* Headquarters may have agency lead for incidents related to terrorism and/or involving multiple licensees.

Figure 1

Activation NRC Response Mode

NRC headquarters has agency lead for all types of incidents*



* For licensee-specific incidents, the Regional Office may prepare and dispatch a NRC site team.

Figure 2

Expanded Activation (w/o site team) NRC Response Mode

NRC headquarters has agency lead for all types of incidents*

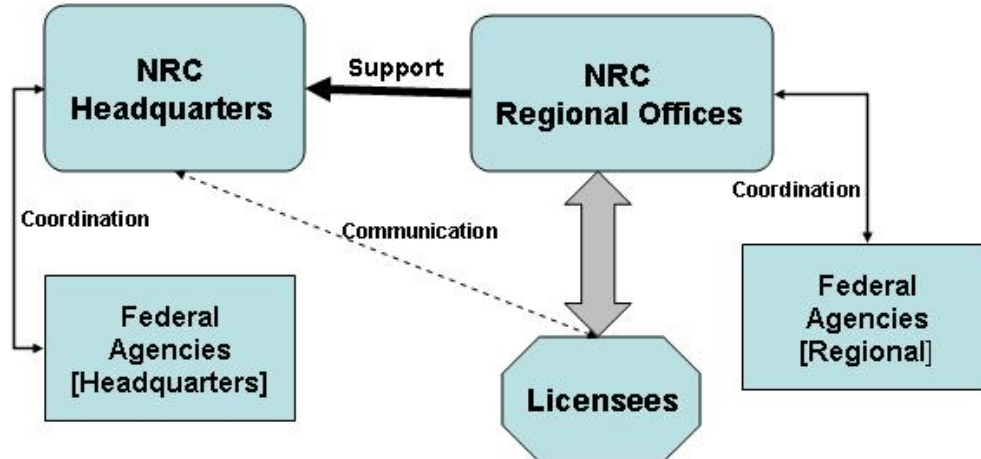
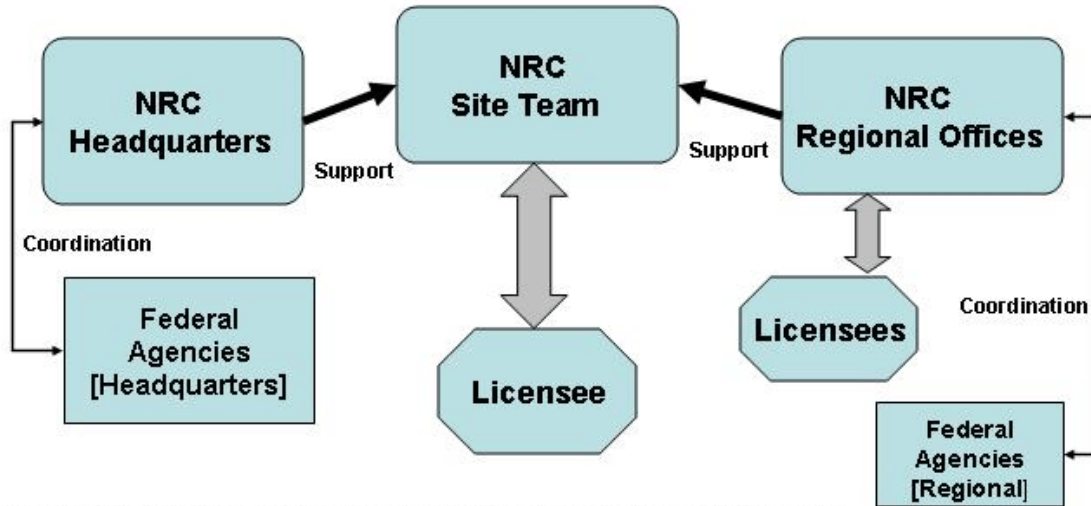


Figure 3

Expanded Activation (with site team) NRC Response Mode

NRC Site Team is staffed/activated at incident site*



*Headquarters retains authority and agency lead for all decisions/actions not specifically delegated to the Site Team Director.

Figure 4

NRC Interface With Department of Homeland Security

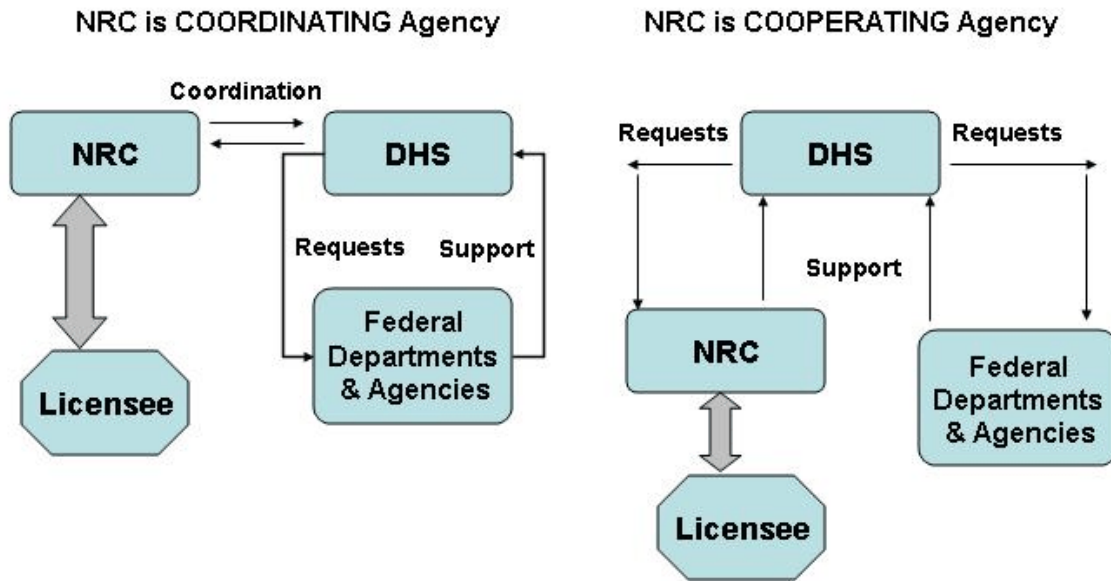


Figure 5

Multiagency Coordination

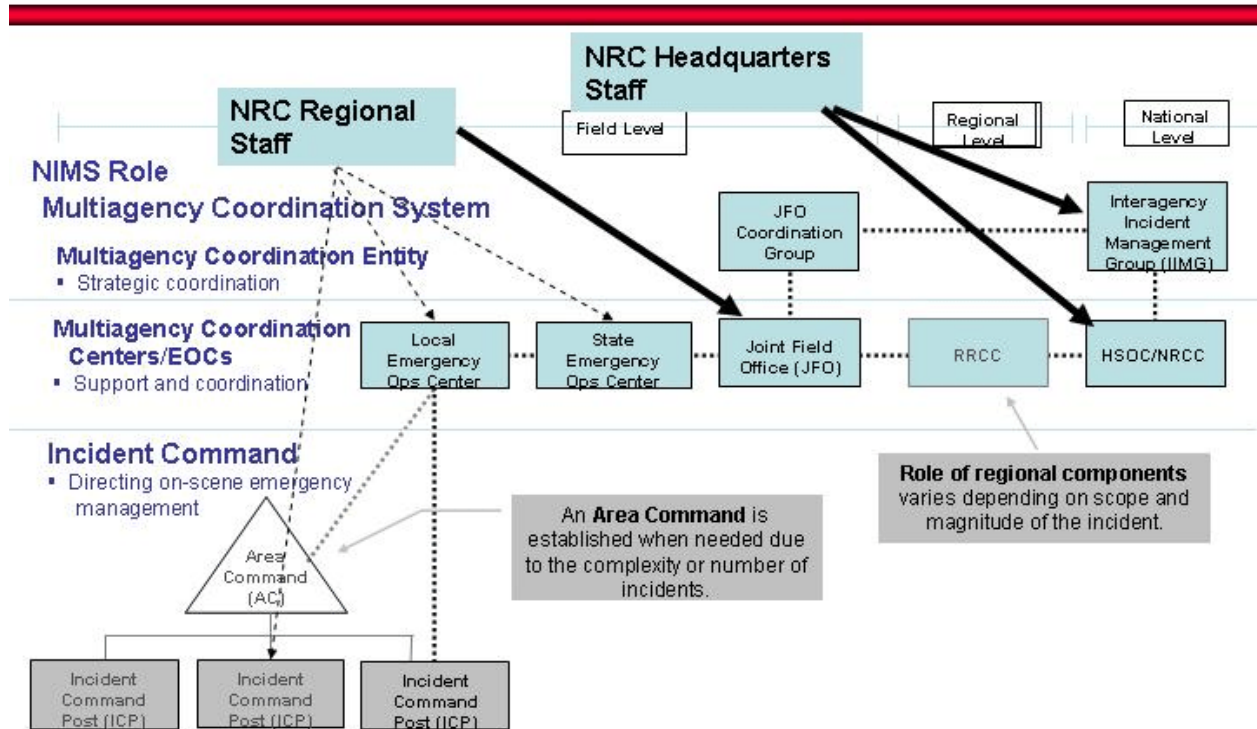


Figure 6

Principal Federal Official/Joint Field Office (PFO/JFO)

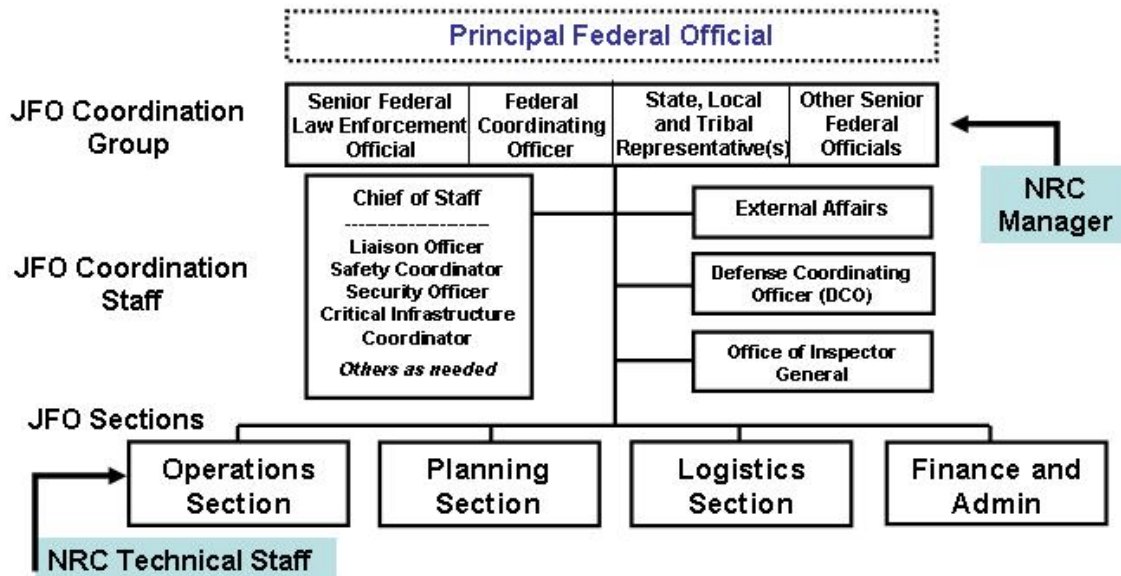


Figure 7

Appendix A¹

Key Terms and Authorities

The **Atomic Energy Act of 1954**, 42 U.S.C. §§ 2011- 2297 (2003), and the **Energy Reorganization Act of 1974**, 5 U.S.C. §§ 5313-5316, 42 U.S.C. §§ 5801- 5891 (2002), provide the statutory authority for both the DOE and the NRC, and the foundation for NRC regulation of 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.

Catastrophic Incident. Any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. It could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic incidents are Incidents of National Significance.

Chain of Command. A series of command, control, executive, or management positions in hierarchical order of authority.

Consequence Management. Predominantly an emergency management function and included measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism. The requirements of consequence management and crisis management are combined in the NRP.

Credible Threat. A potential terrorist threat that, based on a threat assessment, is credible and likely to involve Weapons of Mass Destruction (WMD).

Crisis Management. Predominantly a law enforcement function and included measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism. The requirements of consequence management and crisis management are combined in the NRP.

Critical Infrastructures. Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Defense Support of Civil Authorities (DSCA). Refers to DOD support, including Federal military forces, DOD civilians and DOD contractor personnel, and DOD agencies and components, for domestic emergencies and for designated law enforcement and other activities.

¹This Appendix consists of excerpted information from the National Response Plan, December 2004.

Emergency. As defined by the Stafford Act, an emergency is “any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State 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.”

Emergency Operations Center (EOC). The physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, county, city, tribal), or by some combination thereof.

Emergency Public Information. Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

Emergency Support Function (ESF). A grouping of government and certain private-sector capabilities into an organizational structure to provide the support, resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal, when feasible, following domestic incidents. The ESFs serve as the primary operational-level mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility.

Evacuation. Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Federal. Of or pertaining to the Federal Government of the United States of America.

Federal Coordinating Officer (FCO). The Federal officer who is appointed to manage Federal resource support activities related to Stafford Act disasters and emergencies. The FCO is responsible for coordinating the timely delivery of Federal disaster assistance resources and programs to the affected State and local governments, individual victims, and the private sector.

Federal On-Scene Coordinator (FOOSC or OSC). The Federal official predesignated by the EPA or the USCG to coordinate responses under subpart D of the NCP, or the government official designated to coordinate and direct removal actions under subpart E of the NCP.

Federal Resource Coordinator (FRC). The Federal official appointed to manage Federal resource support activities related to non-Stafford Act incidents. The FRC is responsible for coordinating support from other Federal departments and agencies using interagency agreements and MOUs.

First Responder. Local and nongovernmental police, fire, and emergency personnel who in the early stages of an incident are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101), as well as emergency management, public health, clinical care, public works, and other skilled support personnel

(such as equipment operators) who provide immediate support services during prevention, response, and recovery operations. First responders may include personnel from Federal, State, local, tribal, or nongovernmental organizations.

The **Homeland Security Act of 2002**, Pub. Law 107- 296, 116 Stat. 2135 (2002) (codified predominantly at 6 U.S.C. §§ 101-557 and in other scattered sections of the U.S.C.), established the Department of Homeland Security with the mandate and legal authority to protect the American people from the continuing threat of terrorism. Congress assigned DHS the primary missions to: Prevent terrorist attacks within the United States; Reduce the vulnerability of the United States to terrorism at home; Minimize the damage and assist in the recovery from terrorist attacks that occur; and act as the focal point regarding natural and manmade crises and emergency planning.

Homeland Security Presidential Directive-1: Organization and Operation of the Homeland Security Council, Oct. 29, 2001. This directive establishes policies for the creation of the HSC, which shall ensure the coordination of all homeland security-related activities among executive departments and agencies and promote the effective development and implementation of all homeland security policies.

Homeland Security Presidential Directive-3: Homeland Security Advisory System, March 11, 2002. This directive establishes policy for the creation of a Homeland Security Advisory System, which shall provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to Federal, State, and local authorities and to the American people. Such a system would provide warnings in the form of a set of graduated “Threat Conditions” that would increase as the risk of the threat increases. At each Threat Condition, Federal departments/agencies would implement a corresponding set of “Protective Measures” to further reduce vulnerability or increase response capability during a period of heightened alert.

Homeland Security Presidential Directive-5: Management of Domestic Incidents, February 28, 2003, is intended to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system. In HSPD-5 the President designates the Secretary of Homeland Security as the PFO for domestic incident management and empowers the Secretary to coordinate Federal resources used in response to or recovery from terrorist attacks, major disasters, or other emergencies in specific cases. The directive assigns specific responsibilities to the Attorney General, Secretary of Defense, Secretary of State, and the Assistants to the President for Homeland Security and National Security Affairs, and directs the heads of all Federal departments and agencies to provide their “full and prompt cooperation, resources, and support,” as appropriate and consistent with their own responsibilities for protecting national security. HSPD-5 notes that it does not alter, or impede the ability to carry out, the authorities of Federal departments and agencies to perform their responsibilities under law.

Homeland Security Presidential Directive-7: Critical Infrastructure Identification, Prioritization, and Protection, Dec. 17, 2003. This directive establishes a national policy for Federal departments and agencies to identify and prioritize U.S. critical infrastructure and key resources and to protect them from terrorist attacks.

Homeland Security Presidential Directive-8: National Preparedness, Dec. 17, 2003. This directive establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other

emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

Incident. An occurrence or event, natural or human-caused, that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Incident Action Plan. An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

Incident Command Post (ICP). The field location at which the primary tactical-level, on-scene incident command functions are performed. The ICP may be collocated with the incident base or other incident facilities and is normally identified by a green rotating or flashing light.

Incident Command System (ICS). A standardized onscene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents.

Incident Commander (IC). The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

Incident of National Significance. Based on criteria established in HSPD-5, an actual or potential high-impact event that requires a coordinated and effective response by and appropriate combination of Federal, State, local, tribal, nongovernmental, 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.

Infrastructure. The manmade physical systems, assets, projects, and structures, publicly and/or privately owned, that are used by or provide benefit to the public. Examples of infrastructure include utilities, bridges, levees, drinking water systems, electrical systems, communications systems, dams, sewage systems, and roads.

Interagency Modeling and Atmospheric Assessment Center (IMAAC). An interagency center responsible for production, coordination, and dissemination of consequence predictions for an airborne hazardous material release. The IMAAC generates the single Federal prediction of atmospheric dispersions and their consequences utilizing the best available resources from the Federal Government.

Interim Operating Facility (IOF). The IOF is a temporary field facility used by a DHS/EPR/FEMA-led ERT in the early stages of an incident when the team cannot operate at the State EOC due to space limitations or other reasons, and the JFO is not yet established. An IOF is generally located at or near the State EOC, or near the incident site. The IOF remains in operation until the JFO is established.

Joint Field Office (JFO). A temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO will combine the traditional functions of the JOC, the FEMA DFO, and the JIC within a single Federal facility.

Joint Information Center (JIC). A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC.

Joint Information System (JIS). Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during a crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the IC; advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

Joint Operations Center (JOC). The JOC is the focal point for all Federal investigative law enforcement activities during a terrorist or potential terrorist incident or any other significant criminal incident, and is managed by the SFLEO. The JOC becomes a component of the JFO when the NRP is activated.

Major Disaster. As defined by the Stafford Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Mission Assignment. The vehicle used by DHS/EPR/FEMA to support Federal operations in a Stafford Act major disaster or emergency declaration. It orders immediate, short-term emergency response assistance when an applicable State or local government is overwhelmed by the event and lacks the capability to perform, or contract for, the necessary work.

Mitigation. Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often developed in accordance with lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, flood plain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury.

Multiagency Command Center (MACC). An interagency coordination center established by DHS/USSS during NSSEs as a component of the JFO. The MACC serves as the focal point for interagency security planning and coordination, including the coordination of all NSSE-related information from other intra-agency centers (e.g., police command posts, Secret Service security rooms) and other interagency centers (e.g., intelligence operations centers, joint information centers).

Multiagency Coordination System. Provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, EOCs, specific multiagency coordination entities, personnel, procedures, and communications. The systems assist agencies and organizations to fully integrate the subsystems of NIMS.

National Counterterrorism Center (NCTC). The NCTC serves as the primary Federal organization for analyzing and integrating all intelligence possessed or acquired by the U.S. Government pertaining to terrorism and counterterrorism, excepting purely domestic counterterrorism information. The NCTC may, consistent with applicable law, receive, retain, and disseminate information from any Federal, State, or local government or other source necessary to fulfill its responsibilities.

National Incident Management System (NIMS). A system mandated by HSPD-5 that provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and NGOs to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology.

National Infrastructure Coordinating Center (NICC). Managed by the DHS Information Analysis and Infrastructure Protection Directorate, the NICC monitors the Nation's critical infrastructure and key resources on an ongoing basis. In the event of an incident, the NICC provides a coordinating vehicle to share information with critical infrastructure and key resources information-sharing entities.

National Response Center. A national communications center for activities related to oil and hazardous substance response actions. The National Response Center, located at DHS/USCG Headquarters in Washington, DC, receives and relays notices of oil and hazardous substances releases to the appropriate Federal OSC.

National Response Team (NRT). The NRT, comprised of the 16 Federal agencies with major environmental and public health responsibilities, is the primary vehicle for coordinating Federal agency activities under the NCP. The NRT carries out national planning and response coordination and is the head of a highly organized Federal oil and hazardous substance emergency response network. EPA serves as the NRT Chair, and DHS/USCG serves as Vice Chair.

National Special Security Event (NSSE). A designated event that, by virtue of its political, economic, social, or religious significance, may be the target of terrorism or other criminal activity.

Nongovernmental Organization (NGO). A nonprofit entity that is based on interests of its members, individuals, or institutions and that is not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Nuclear Incident Response Team (NIRT). Created by the Homeland Security Act to provide DHS with a nuclear/radiological response capability. When activated, the NIRT consists of specialized Federal response teams drawn from DOE and/or EPA. These teams may become DHS operational assets providing technical expertise and equipment when activated during a crisis or in response to a nuclear/radiological incident as part of the DHS Federal response.

On-Scene Coordinator (OSC). See **Federal On-Scene Coordinator**.

Preparedness. The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental entities to identify threats, determine vulnerabilities, and identify required resources.

Prevention. Actions taken to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

The **Price-Anderson Amendments Act of 1988**, Pub.L. No. 100-408, 102 Stat. 1066 (1988) (amending the Atomic Energy Act of 1954 and codified at 42 U.S.C. §§ 2014, 2210, 2273, 2282a (2003)), provides for indemnification of governments and individuals affected by nuclear incidents.

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

Private Sector. Organizations and entities that are not part of any governmental structure. Includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, private emergency response organizations, and private voluntary organizations.

Radiological Emergency Response Teams (RERTs). Teams provided by EPA's Office of Radiation and Indoor Air to support and respond to incidents or sites containing radiological hazards. These teams provide expertise in radiation monitoring, radionuclide analyses, radiation health physics, and risk assessment. RERTs can provide both mobile and fixed laboratory support during a response.

Recovery. The development, coordination, and execution of service and site restoration plans for impacted communities and the reconstitution of government operations and services through individual, private-sector, nongovernmental, and public assistance programs that: identify needs and define resources; provide housing and promote restoration; address long-term care and treatment of affected persons; implement additional measures for community restoration; incorporate mitigation measures and techniques, as feasible; evaluate the incident to identify lessons learned; and develop initiatives to mitigate the effects of future incidents.

Regional Response Teams (RRTs). Regional counterparts to the National Response Team, the RRTs comprise regional representatives of the Federal agencies on the NRT and representatives of each State within the region. The RRTs serve as planning and preparedness bodies before a response, and provide coordination and advice to the Federal OSC during response actions.

Response. Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of incident mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include: applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into the nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

The **Robert T. Stafford Disaster Relief and Emergency Assistance Act**, 93 Pub. L. No. 288, 88 Stat. 143 (1974) (codified as amended at 42 U.S.C. §§ 5121- 5206, and scattered sections of 12 U.S.C., 16 U.S.C., 20 U.S.C., 26 U.S.C., 38 U.S.C. (2002)), establishes the programs and processes for the Federal Government to provide disaster and emergency assistance to States, local governments, tribal nations, individuals, and qualified private nonprofit organizations. The Act covers all hazards including natural disasters and terrorist events. The Act includes a process for Governors to request Federal disaster and emergency assistance from the President and for the President to declare a major disaster or emergency.

Senior Federal Official (SFO). An individual representing a Federal department or agency with primary statutory responsibility for incident management. SFOs utilize existing authorities, expertise, and capabilities to aid in management of the incident working in coordination with other members of the JFO Coordination Group.

Subject-Matter Expert (SME). An individual who is a technical expert in a specific area or in performing a specialized job, task, or skill.

Terrorism. Any activity that (1) involves an act that (a) is dangerous to human life or potentially destructive of critical infrastructure or key resources; and (b) is a violation of the criminal laws of the United States or of any State or other subdivision of the United States; and (2) appears to be intended (a) to intimidate or coerce a civilian population; (b) to influence the policy of a government by intimidation or coercion; or (c) to affect the conduct of a government by mass destruction, assassination, or kidnaping.

Threat. An indication of possible violence, harm, or danger.

Unified Command. An application of ICS used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command to establish their designated Incident Commanders at a single ICP and to establish a common set of objectives and strategies and a single Incident Action Plan.

Weapons of Mass Destruction (WMD). As defined in Title 18, U.S.C. § 2332a: (1) any explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant charge of more than 4 ounces, or missile having an explosive or incendiary charge of more than one-quarter ounce, or mine or similar device; (2) any weapon that is designed or intended to cause death or serious bodily injury through the release, dissemination, or impact of toxic or poisonous chemicals or their precursors; (3) any weapon involving a disease organism; or (4) any weapon that is designed to release radiation or radioactivity at a level dangerous to human life.

Appendix B ²

Acronyms and Initialisms

CDRG Catastrophic Disaster Response Group
CERCLA Comprehensive Environmental Response, Compensation, and Liability Act
CFO Chief Financial Officer
CONPLAN U.S. Government Interagency Domestic Terrorism Concept of Operations Plan
DCO Defense Coordinating Officer
DEST Domestic Emergency Support Team
DFO Disaster Field Office
DHS Department of Homeland Security
DMAT Disaster Medical Assistance Team
DMORT Disaster Mortuary Operational Response Team
DOC Department of Commerce
DOD Department of Defense
DOE Department of Energy
DOI Department of the Interior
DOJ Department of Justice
DOL Department of Labor
DOS Department of State
DOT Department of Transportation
DRC Disaster Recovery Center
DRM Disaster Recovery Manager
DSCA Defense Support of Civil Authorities
DTRIM Domestic Threat Reduction and Incident Management
EOC Emergency Operations Center
EPA Environmental Protection Agency
EPCRA Emergency Planning and Community Right-to-Know Act
EPR Emergency Preparedness and Response
ERT Environmental Response Team (EPA)
ERT-A Emergency Response Team—Advance Element
ERT-N National Emergency Response Team
ESF Emergency Support Function
ESFLG Emergency Support Function Leaders Group
EST Emergency Support Team
FBI Federal Bureau of Investigation
FCO Federal Coordinating Officer
FEMA Federal Emergency Management Agency
FIRST Federal Incident Response Support Team
FMC Federal Mobilization Center
FOC FEMA Operations Center
FRC Federal Resource Coordinator
FRERP Federal Radiological Emergency Response Plan
FRP Federal Response Plan
GAR Governor's Authorized Representative
GIS Geographical Information System

²This Appendix consists of excerpted information from the National Response Plan, December 2004.

GSA General Services Administration
HHS Department of Health and Human Services
HQ Headquarters
HSAS Homeland Security Advisory System
HSC Homeland Security Council
HSOC Homeland Security Operations Center
HSPD Homeland Security Presidential Directive
IAIP Information Analysis and Infrastructure Protection
IC Incident Command
ICP Incident Command Post
ICS Incident Command System
IIMG Interagency Incident Management Group
IMT Incident Management Team
INRP Initial National Response Plan
IOF Interim Operating Facility
JFO Joint Field Office
JIC Joint Information Center
JIS Joint Information System
JOC Joint Operations Center
JTF Joint Task Force
JTTF Joint Terrorism Task Force
MAC Entity Multiagency Coordinating Entity
MACC Multiagency Command Center
MERS Mobile Emergency Response Support
MOA Memorandum of Agreement
MOU Memorandum of Understanding
NASA National Aeronautics and Space Administration
NAWAS National Warning System
NCP National Oil and Hazardous Substances Pollution Contingency Plan
NCR National Capital Region
NCS National Communications System
NCTC National Counterterrorism Center
NDMS National Disaster Medical System
NEP National Exercise Program
NGO Nongovernmental Organization
NICC National Infrastructure Coordinating Center
NICC National Interagency Coordination Center
NIMS National Incident Management System
NIPP National Infrastructure Protection Plan
NIRT Nuclear Incident Response Team
NJTTF National Joint Terrorism Task Force
NMRT National Medical Response Team
NOAA National Oceanic and Atmospheric Administration
NRC Nuclear Regulatory Commission
NRCC National Response Coordination Center
NRP National Response Plan
NRT National Response Team
NSC National Security Council
NSSE National Special Security Event
NVOAD National Voluntary Organizations Active in Disaster
OSC On-Scene Coordinator

OSHA Occupational Safety and Health Administration
OSLGCP DHS Office of State and Local Government Coordination and Preparedness
PCC Policy Coordination Committee
PDA Preliminary Damage Assessment
PDD Presidential Decision Directive
PFO Principal Federal Official
POC Point of Contact
RCRA Resource Conservation and Recovery Act
RISC Regional Interagency Steering Committee
RRCC Regional Response Coordination Center
RRT Regional Response Team
ROC Regional Operations Center
SAC Special Agent-in-Charge
SAR Search and Rescue
SCO State Coordinating Officer
SFLEO Senior Federal Law Enforcement Official
SFO Senior Federal Official
SIOC Strategic Information and Operations Center
SOG Standard Operating Guideline
SOP Standard Operating Procedure
START Scientific and Technical Advisory and Response Team
TSA Transportation Security Administration
TSC Terrorist Screening Center
US&R Urban Search and Rescue
USACE U.S. Army Corps of Engineers
USCG U.S. Coast Guard
USDA U.S. Department of Agriculture
USSS U.S. Secret Service
VMAT Veterinarian Medical Assistance Team
WAWAS Washington Area Warning System
WMD Weapons of Mass Destruction

Appendix C

NRC Incident Response Plan Implementing Procedures (Topical Listing)

Headquarters Implementing Procedures

- # HOO/HERO Incident Notifications
- # Responder Notifications and Team Staffing
- # Executive Team
- # Headquarters Support Teams
- # External Coordination
- # Responder Protection and Health/Safety
- # Maintenance of Incident Response Documentation
- # Qualification of Responders
- # Incident Response Facilities/Systems/Equipment
- # Communications
- # Emergency Response Data System
- # Consequence Assessment Models
- # Lessons Learned
- # Natural Phenomena

Regional Implementing Procedures

- # Standardized Regional Implementing Procedures
- # Region-specific Implementing Procedures

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