

NRC Public meeting to discuss:
- The FOF Escalation Process,
Industry Improvements to
Force-on-Force Guidance,
- Feedback on IP 71130.03,
- Open discussion

Office of Nuclear Security and Incident Response (NSIR)
Division of Security Operations (DSO)
Security Performance Evaluation Branch (SPEB)

This meeting is an information meeting only.

Any comments and/or feedback provided during this meeting will be considered, but the agency will not be issuing a response to any comments or considerations made by the public.

Meeting Agenda

- Escalation Process (Open)
 - Overview
 - What has gone right
 - What improvements are being considered
- Nuclear Energy Institute, (NEI) 05-05 Update (Closed)
- NEI 11-02 Update (Closed)
- Inspection Procedure (IP) 71130.03 (Closed)

The Escalation Process

- What is the escalation process for?
 - Dispute adversary characteristics, attributes, or tactics within the scenarios developed by the NRC inspection team.
- What is the threshold criteria for potential disputed items?
 - within the Design Basis Threat;
 - be adequately controlled;
 - safe for use or safely simulated;



Escalation Submittals

- How do I submit an escalation or appeal?
 - An initial phone call is sufficient for initiating the process followed by any written information to substantiate the position.
 - Licensees may use the Addendum in the IP or a similar format.
 - Addendum example in the next slide.
 - Protect the information appropriately.
 - Please submit an uncontrolled cover sheet to submit into ADAMS.

The Escalation Process Form



IP 71130.03 Addendum 3

(U) ADDENDUM 3

(U) FORMAL DISAGREEMENT WITH ADVERSARY CHARACTERISTICS, ATTRIBUTES, OR TACTICS EMPLOYED OR PREPARED AS PART OF AN NRC-EVALUATED FORCE-ON-FORCE EXERCISE

(U) In accordance with Addendum 1, "Trusted Agent Determination and Agreement", licensee personnel who have read and signed trusted agent (TA) forms may formally disagree with an aspect of the adversary characteristics or tactic proposed for use in an exercise through the site's security TA.

(U) The NRC inspection team lead will attempt to resolve the disputed issue with licensee personnel at the lowest level. If the issue is resolved satisfactorily at the site, the team lead is responsible for providing this information to the Chief, Security Performance Evaluation Branch (SPEB), Division of Security Operations, Office of Nuclear Security and Incident Response as soon as reasonably possible.

(U) The NRC inspection team lead should contact the SPEB branch chief to determine if the specific issue has been previously resolved and disseminated. However, the team lead should verify that there is no site-specific issue that could have a direct bearing on the application of a previous decision. If the issue has been previously captured within the escalation process, the NRC inspection team lead should inform the TA of the previous decision and use the results of that decision to continue with the exercise.

(U) If the issue has not been previously identified, the NRC inspection team lead will work with the licensee to attempt to resolve the specific issue. The team lead should gain agreement from the licensee on the wording of the disputed characteristic and how the licensee believes the disputed characteristic deviates from current guidance.

(U) If the issue cannot be satisfactorily resolved by the licensee and the NRC inspection team lead, use this form, or a similar product, to include the disputed characteristic and how the licensee believes the disputed characteristic deviates from current guidance.

(U) Details on the escalation process and timeliness can be found in the "Force-on-Force Escalation Process," ML18221A094.

(U) The licensee should apply the appropriate level of sensitivity to this form after completion, to ensure that any sensitive information (e.g., Safeguards Information) is protected.

Issue Date: 11/15/23 A3-1 71130.03

(U) Issue Narrative:

(U) LICENSEE REPRESENTATIVE: _____ (U) Printed Name/Signature/Date

(U) Position _____ (U) Position

(U) MANAGER: _____ (U) Printed Name/Signature/Date

(U) Position _____ (U) Position

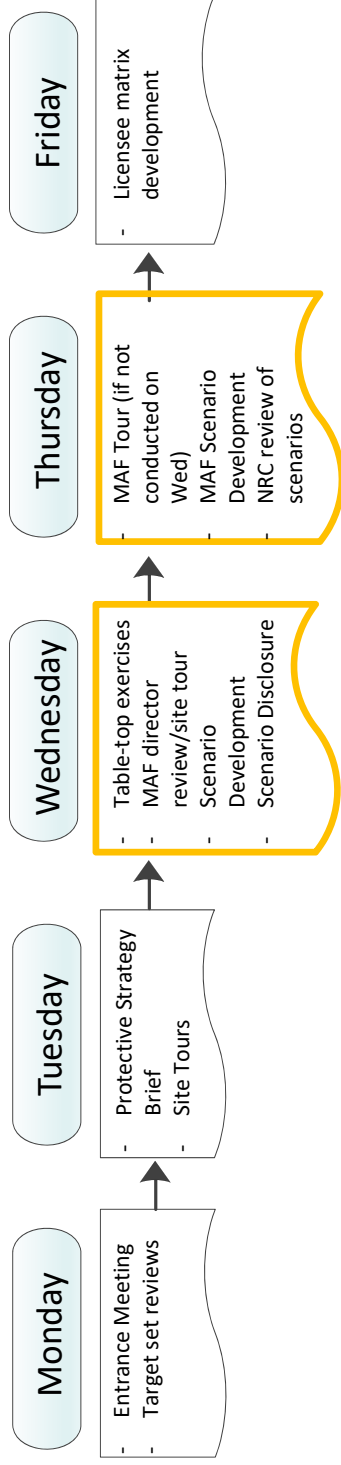
(U) NSIR REPRESENTATIVE: _____ (U) Printed Name/Signature/Date

(U) Position _____ (U) Position

Issue Date: 11/15/23 A3-2 71130.03

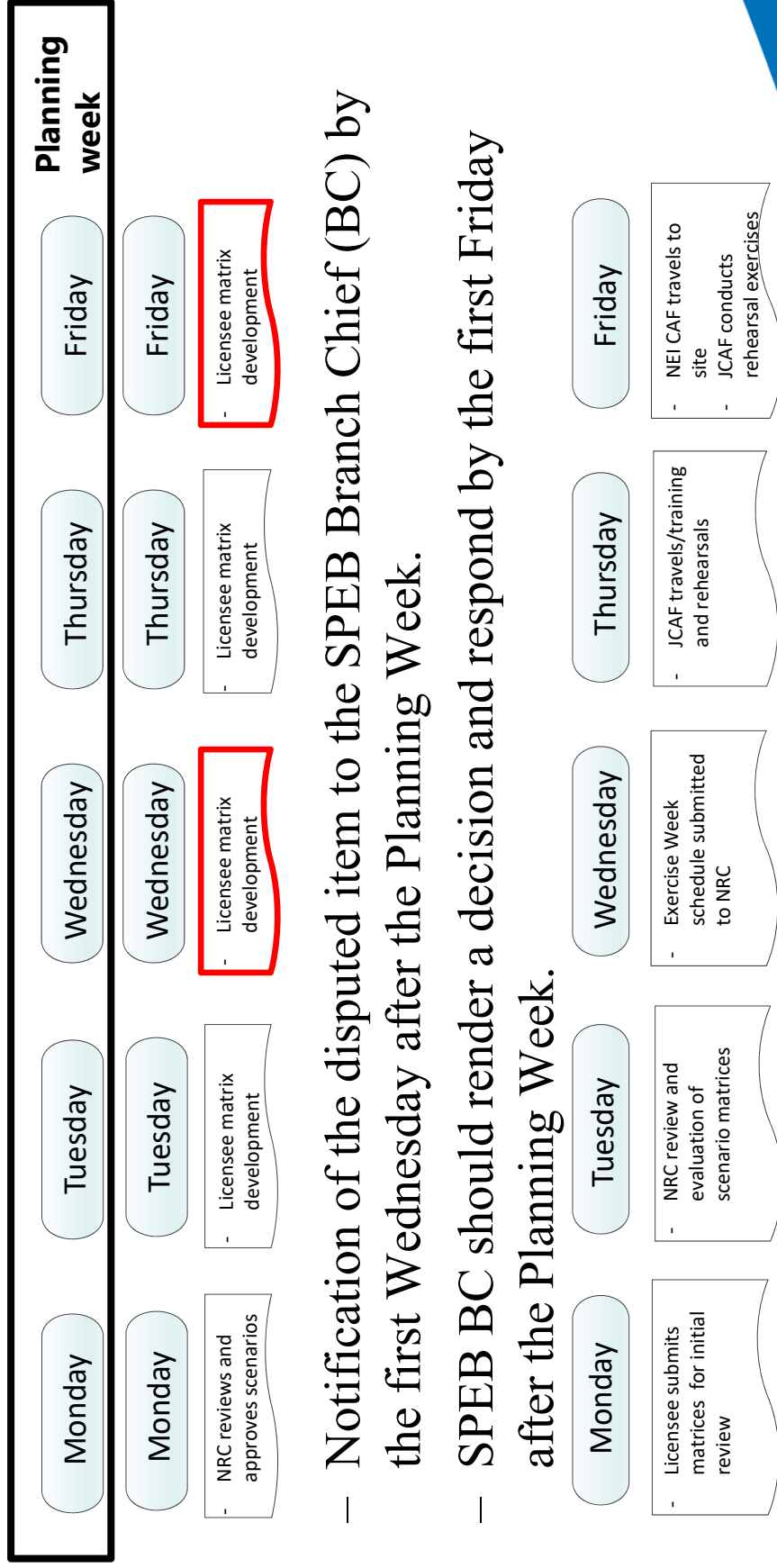
Escalation Process Timeline

Planning Week Schedule

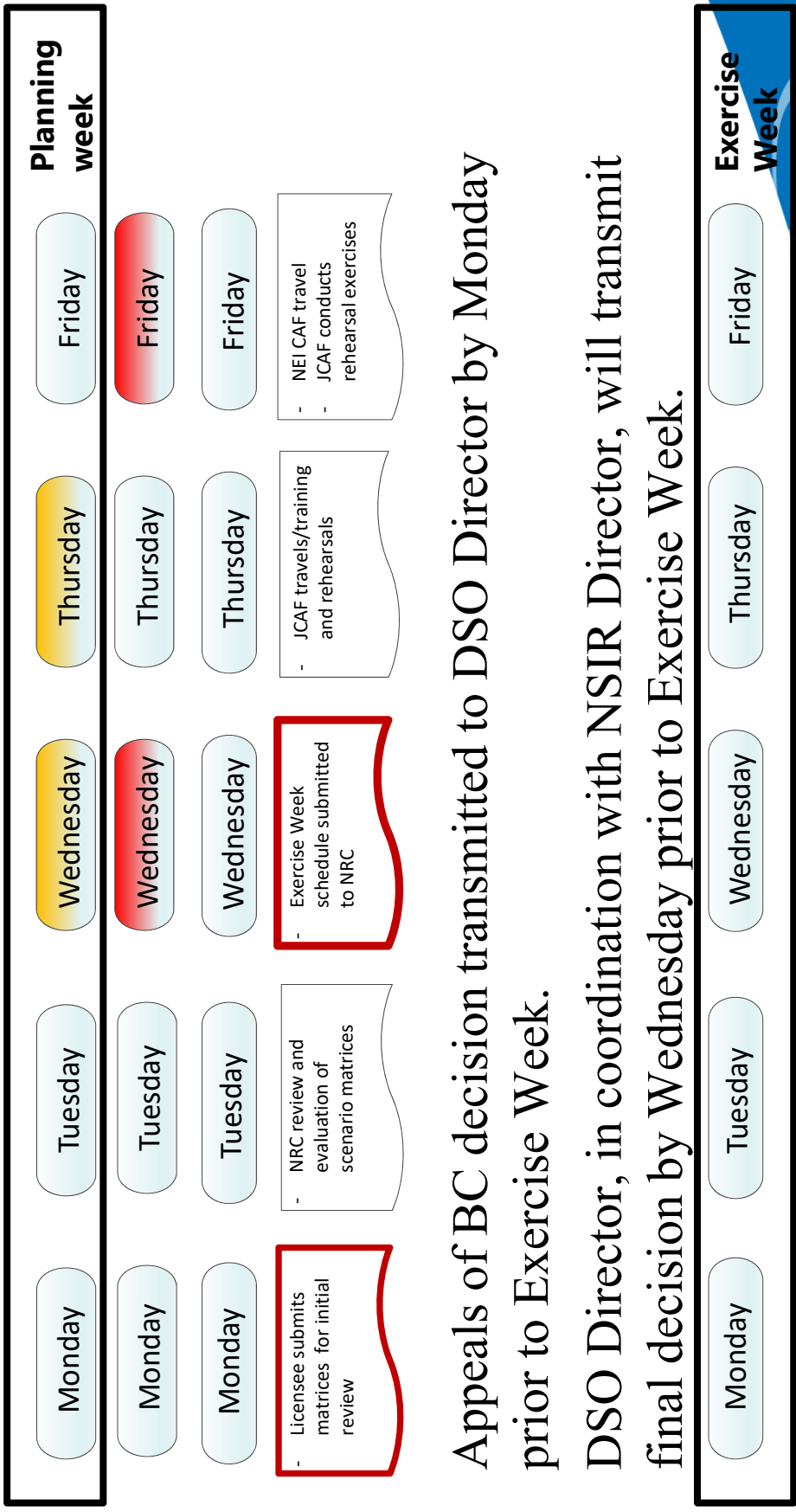


- All attempts should be made by the licensee and the inspection team to resolve issues on-site during the Planning Week.
 - Scenarios are disclosed on Wed afternoon, this is the first opportunity to engage with the team on concerns.
 - The licensee should/may ask additional questions after the Mock Adversary Force (MAF) director has developed the scenarios on Thursday.

Escalation Process Timeline



Escalation Process Timeline



Changes after Escalation

Process Closure

- Exercise scenarios should be developed and followed as closely as possible to their original intent.
- Instances may arise that necessitate small revisions. These include information identified in the mission narrative(s) as:
 - incorrect,
 - changed,
 - or details that were missed during MAF planning and rehearsals
- These items could be identified by either the licensee exercise development team or MAF and warrant a minor revision to the exercise.
- **The licensee should also account for small revisions by the MAF during the final development of the exercise (i.e., minor changes to planned zone breaches).**



Changes after Escalation

Process Closure cont.

- NRC inspection Team Lead (TL) or SPEB BC should be notified as soon as possible.
- The NRC inspection team lead will determine whether the proposed revisions are a departure from the original scenario that:
 - could add significant value to, or
 - change the intent of the scenario.
- These items must be resolved quickly due to the short timeline for the exercises.
- The NRC inspection team lead, in consultation with the SPEB BC, will work with the licensee to implement any appropriate adjustments.



Discussion Topics on the Process

- Should the number of weeks in between the planning and exercise weeks be increased?
 - More data is needed by the staff to evaluate
 - Allow further development of the exercise scenario control measures.
 - Allow more time to gather data needed for escalation items.
 - Update the submittal and response timelines to allow more evaluation time by licensee and NRC staff.
- Entry criteria into the escalation process.
 - Do the entry items need to be expanded?

Questions/Comments?

Closed Meeting Discussion Topics

- **NEI 05-05 Update**
- **NEI 11-02 Update**
- **Inspection Procedure 71130.03**