

Reliability Standard Audit Worksheet¹

NUC-001-3 – Nuclear Plant Interface Coordination [Developer to insert Reliability Standard Number and Title here]

This section to be completed by the Compliance Enforcement Authority.

Audit ID: Audit ID if available; or REG-NCRnnnnn-YYYYMMDD
Registered Entity: Registered name of entity being audited
NCR Number: NCRnnnnn
Compliance Enforcement Authority: Region or NERC performing audit
Compliance Assessment Date(s)²: Month DD, YYYY, to Month DD, YYYY
Compliance Monitoring Method: [On-site Audit | Off-site Audit | Spot Check]
Names of Auditors: Supplied by CEA

Applicability of Requirements [RSAW developer to insert correct applicability]

	BA	DP	GO	GOP	IA	LSE	PA/C	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1				X ³											
R2				X ³											
R3	X ⁴	X ⁴	X ⁴	X ⁴		X ⁴	X ⁴		X ⁴			X ⁴	X ⁴	X ⁴	X ⁴
R4	X ⁴	X ⁴	X ⁴	X ⁴		X ⁴	X ⁴		X ⁴			X ⁴	X ⁴	X ⁴	X ⁴
R5				X ³											
R6	X ⁴	X ⁴	X ⁴	X ^{3,4}		X ⁴	X ⁴		X ⁴			X ⁴	X ⁴	X ⁴	X ⁴
R7				X ³											
R8	X ⁴	X ⁴	X ⁴	X ⁴		X ⁴	X ⁴		X ⁴			X ⁴	X ⁴	X ⁴	X ⁴
R9	X ⁴	X ⁴	X ⁴	X ^{3,4}		X ⁴	X ⁴		X ⁴			X ⁴	X ⁴	X ⁴	X ⁴

¹ NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The NERC RSAW language contained within this document provides a non-exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

² Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs.

³ Applicable to Generator Operators of nuclear plants.

⁴ Defined as Transmission Entities in Section 4.2 of the Standard providing services related to Nuclear Plant Interface Requirements.

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Legend:

Text with blue background:	Fixed text – do not edit
Text entry area with Green background:	Entity-supplied information
Text entry area with white background:	Auditor-supplied information

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Findings

(This section to be completed by the Compliance Enforcement Authority)

Req.	Finding	Summary and Documentation	Functions Monitored
R1			
R2			
R3			
R4			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

Registered Entity Response (Required; Insert additional rows if needed):

SME Name	Title	Organization	Requirement(s)

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R1 Supporting Evidence and Documentation

R1.The Nuclear Plant Generator Operator shall provide the proposed NPIRs in writing to the applicable Transmission Entities and shall verify receipt.

M1.The Nuclear Plant Generator Operator shall, upon request of the Compliance Enforcement Authority, provide a copy of the transmittal and receipt of transmittal of the proposed NPIRs to the responsible Transmission Entities.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
List of Transmission Entities where the Nuclear Plant Generator Operator has an executed Nuclear Plant Interface Requirement (NPIR).
Evidence that proposed NPIRs were communicated to applicable Transmission Entities.
Evidence that applicable Transmission Entities received the proposed NPIRs.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R1

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
<input type="checkbox"/>	Select all or a sample thereof from the list of Transmission Entities with an NPIR, and verify they were

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	provided the proposed NPIRs and that the Nuclear Plant Generator Operator verified receipt.
Note to Auditor: The population of Transmission Entities that the auditor will select from should be those with executed NPIRs. Auditor should verify that the proposed NPIRs were provided prior to the date the NPIR was executed.	

Auditor Notes:

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R2 Supporting Evidence and Documentation

R2. The Nuclear Plant Generator Operator and the applicable Transmission Entities shall have in effect one or more Agreements^{Error! Bookmark not defined.} that include mutually agreed to NPIRs and document how the Nuclear Plant Generator Operator and the applicable Transmission Entities shall address and implement these NPIRs.

M2. The Nuclear Plant Generator Operator and each Transmission Entity shall each have a copy of the Agreement(s) addressing and implementing the NPIRs available for inspection upon request of the Compliance Enforcement Authority.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Agreement(s) addressing implementing the NPIR(s).

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R2

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
<input type="checkbox"/>	Select all or a sample thereof from the list of Transmission Entities with an NPIR, and obtain the related

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	Agreement(s) and verify it addresses implementing the NPIR(s).
Note to Auditor:	

Auditor Notes:

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R3 Supporting Evidence and Documentation

R3.Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall incorporate the NPIRs into their planning analyses of the electric system and shall communicate the results of these analyses to the Nuclear Plant Generator Operator.

M3.Each Transmission Entity responsible for planning analyses in accordance with the Agreement shall, upon request of the Compliance Enforcement Authority, provide a copy of the planning analyses results transmitted to the Nuclear Plant Generator Operator, showing incorporation of the NPIRs. The Compliance Enforcement Authority shall refer to the Agreements developed in accordance with this standard for specific requirements.

[The RSAW Developer may ask questions of the entity which require a response.]

Registered Entity Response (Required):

Question: [Do you have any NPIRs with any Nuclear Plant Generator Operators?] Yes No

[Include additional information regarding the question here, including the type of response and format of the response requested, as appropriate.]

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
NPIRs with Nuclear Plant Generator Operators.
Planning analyses incorporating the NPIRs.
Evidence of communication of the planning analyses to the Nuclear Plant Generator Operators.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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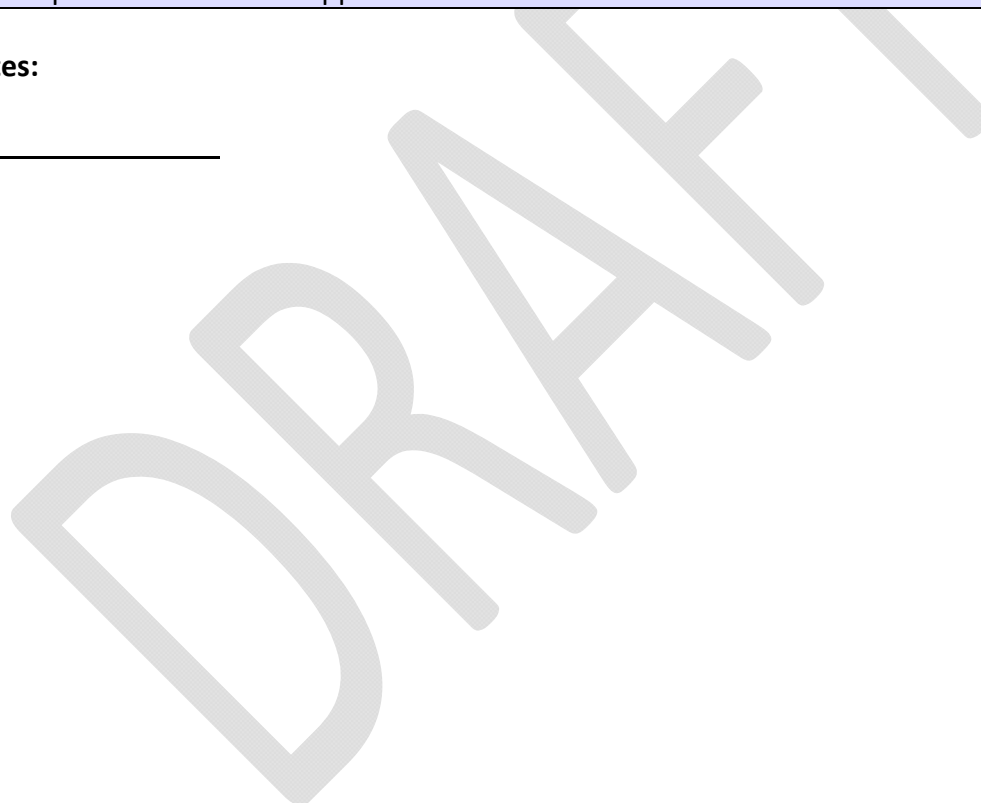
Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R3

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
	Select all or a sample thereof from the list of NPIR(s) with Nuclear Plant Operators, obtain the related planning analyses, and verify they incorporate the NPIR(s).
	Verify the planning analyses were communicated to the Nuclear Plant Operators.
Note to Auditor: See entity's answer to above Question. If auditor can verify the entity does not have any NPIRs, then Requirement R3 is not applicable.	

Auditor Notes:



R4 Supporting Evidence and Documentation

R4. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall

- 4.1.** Incorporate the NPIRs into their operating analyses of the electric system.
- 4.2.** Operate the electric system to meet the NPIRs.
- 4.3.** Inform the Nuclear Plant Generator Operator when the ability to assess the operation of the electric system affecting NPIRs is lost.

M4. Each Transmission Entity responsible for operating the electric system in accordance with the Agreement shall demonstrate or provide evidence of the following, upon request of the Compliance Enforcement Authority:

- M4.1** The NPIRs have been incorporated into the current operating analysis of the electric system. (Requirement 4.1)
- M4.2** The electric system was operated to meet the NPIRs. (Requirement 4.2)
- M4.3** The Transmission Entity informed the Nuclear Plant Generator Operator when it became aware it lost the capability to assess the operation of the electric system affecting the NPIRs

[The RSAW Developer may ask questions of the entity which require a response.]

Registered Entity Response (Required):

Question: [Do you have any NPIRs with any Nuclear Plant Generator Operators?] Yes No

[Include additional information regarding the question here, including the type of response and format of the response requested, as appropriate.]

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
(R4 Part 4.1) Operating analyses of the electric system.
(R4 Part 4.3) Notification of the Nuclear Plant Generator Operator in instances where the ability to assess the operation of the electric system affecting the NPIRs is lost.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

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File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R4

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
	(R4 Part 4.1) Select all or a sample thereof from the list of NPIR(s) with Nuclear Plant Operators, obtain the related operating analyses, and verify they incorporate the NPIR(s).
	(R4 Part 4.2) Understand entity's process for operating the electric system to meet the NPIR(s).
	(R4 Part 4.3) For instances where entity lost the ability to assess the operation of the electric system affecting an NPIR, examine evidence to verify entity informed the Nuclear Plant Generator Operator.

Note to Auditor: See entity's answer to above Question. If auditor can verify the entity does not have any NPIRs, then Requirement R4 is not applicable.

Depending on the risk of compliance with this requirement to the reliability of the Bulk Electric System (BES), the auditor should attempt to identify potential instances where entity may have lost the ability to assess the operation of the electric system affecting an NPIR and verify the applicable Nuclear Plant Generator Operator was informed. Potential instances can be gleaned from inquiries of Nuclear Plant Generator Operators or from auditor analysis of events occurring on the BES in the entity's area, in cases where the risk of noncompliance to the BES is higher. In cases where such risk is lower, inquiry of the entity regarding the occurrence of such events may be appropriate.

Auditor Notes:

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R5 Supporting Evidence and Documentation

R5.Per the Agreements developed in accordance with this standard, the Nuclear Plant Generator Operator shall operate the nuclear plant to meet the NPIRs.

M5.The Nuclear Plant Generator Operator shall, upon request of the Compliance Enforcement Authority, demonstrate or provide evidence that the Nuclear Power Plant is being operated consistent with the NPIRs as per the Agreements developed in accordance with this standard.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R5

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
	Understand entity's process for operating the nuclear plant to meet the NPIR(s).

Note to Auditor: Depending on the risk of compliance with this requirement to the reliability of the Bulk Electric System (BES), the auditor should attempt to identify potential instances where entity may not have operated its nuclear plant to meet an NPIR. Potential instances can be gleaned from inquiries of Transmission Entities or from auditor analysis of events occurring on the BES in the entity's area, in cases where the risk of noncompliance to the BES is higher. In cases where such risk is lower, inquiry of the entity regarding their processes of operating nuclear plants to meet NPIRs should suffice.

Auditor Notes:

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R6 Supporting Evidence and Documentation

R6.Per the Agreements developed in accordance with this standard, the applicable Transmission Entities and the Nuclear Plant Generator Operator shall coordinate outages and maintenance activities which affect the NPIRs.

M6.The Transmission Entities and Nuclear Plant Generator Operator shall, upon request of the Compliance Enforcement Authority, provide evidence of the coordination between the Transmission Entities and the Nuclear Plant Generator Operator regarding outages and maintenance activities which affect the NPIRs.

[The RSAW Developer may ask questions of the entity which require a response.]

Registered Entity Response (Required):

Question: [Do you have any NPIRs with any Nuclear Plant Generator Operators?] Yes No

[Include additional information regarding the question here, including the type of response and format of the response requested, as appropriate.]

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
List of outages related to NPIRs occurring over the audit period.
Evidence of coordination.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

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Compliance Assessment Approach Specific to NUC-001-3, R6

This section to be completed by the Compliance Enforcement Authority

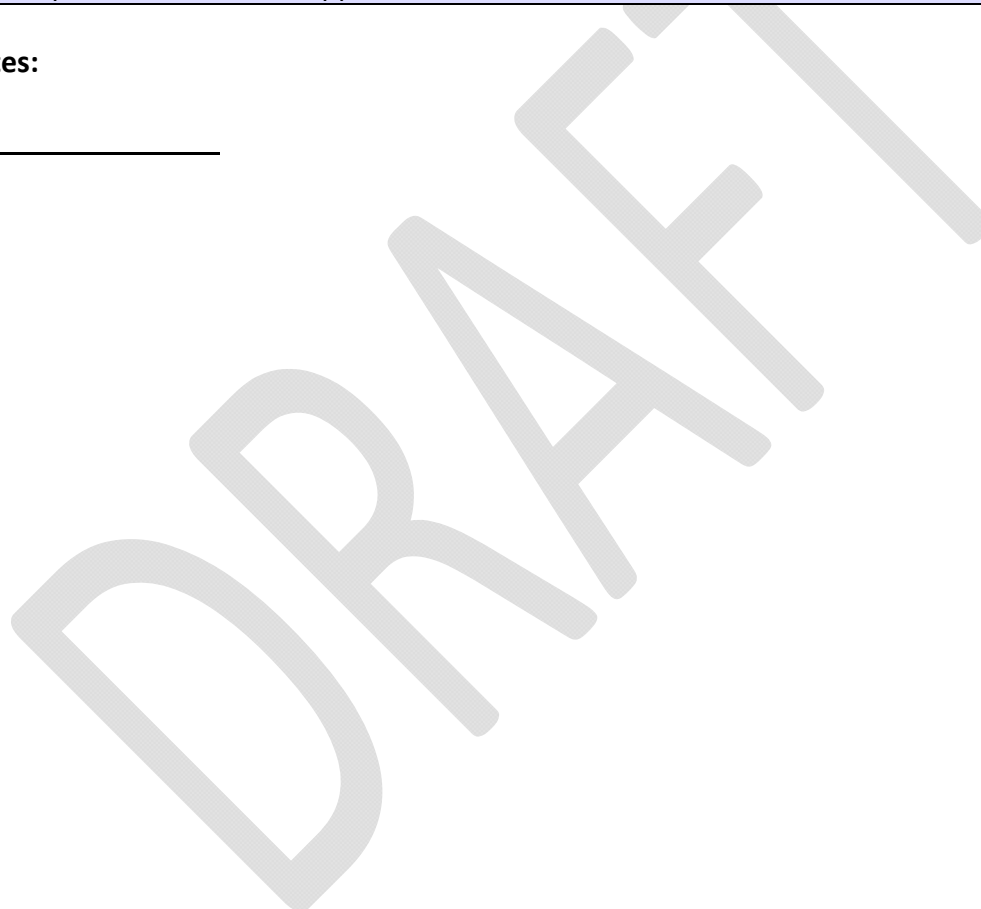
The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.

	For a sample of outages, examine evidence to verify that outage was appropriately coordinated in accordance with Requirement R6.
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Note to Auditor: See entity's answer to above Question. If auditor can verify the entity does not have any NPIRs, then Requirement R6 is not applicable.

Auditor Notes:



R7 Supporting Evidence and Documentation

R7. Per the Agreements developed in accordance with this standard, the Nuclear Plant Generator Operator shall inform the applicable Transmission Entities of actual or proposed changes to nuclear plant design (e.g., protective relay setpoints), configuration, operations, limits, or capabilities that may impact the ability of the electric system to meet the NPIRs.

M7. The Nuclear Plant Generator Operator shall provide evidence that it informed the applicable Transmission Entities of changes to nuclear plant design (e.g., protective relay setpoints), configuration, operations, limits, or capabilities that would impact the ability of the Transmission Entities to meet the NPIRs.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
List of actual and proposed changes to nuclear plant design, configuration, operations, limits, or capabilities that may impact the ability of the electric system to meet the NPIRs.
Evidence of communication with Transmission Entities.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.					
File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R7

This section to be completed by the Compliance Enforcement Authority

The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.

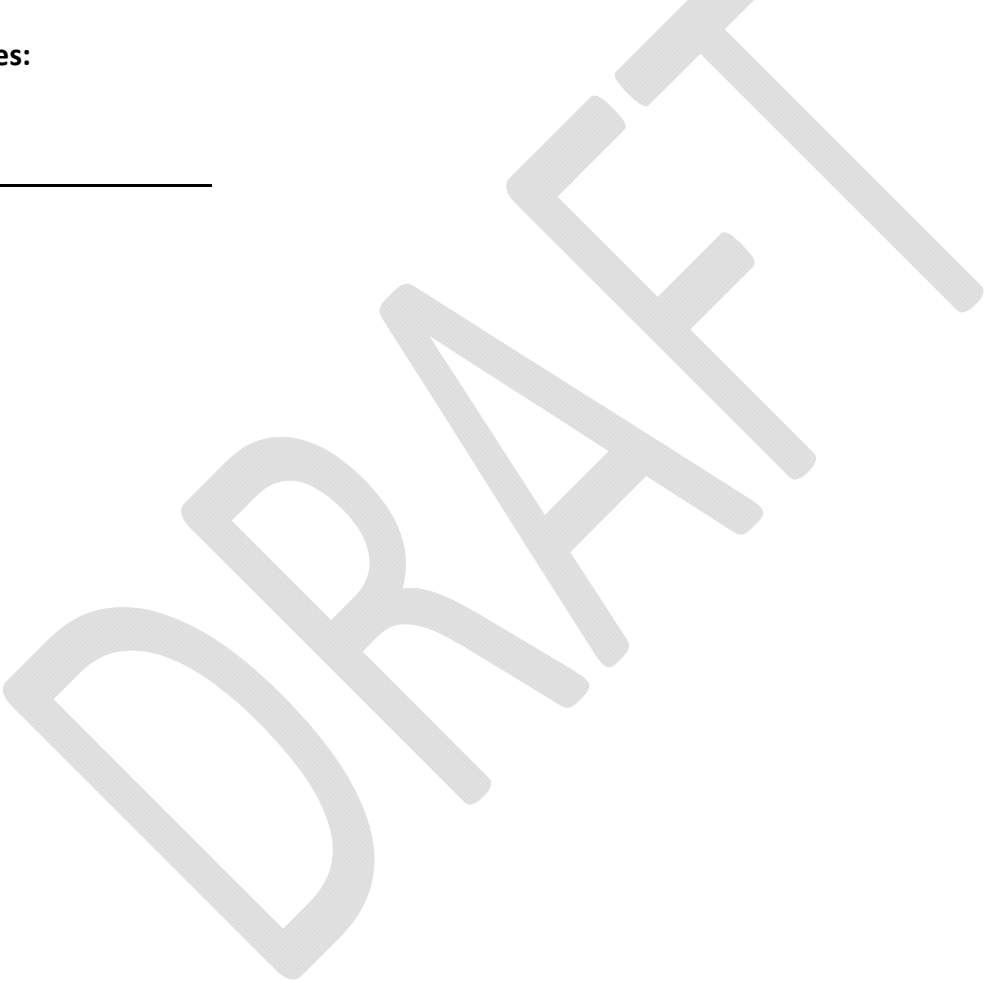
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	For a sample of actual or proposed changes, examine evidence to verify that change was communicated to Transmission Entity with related NPIR.
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Note to Auditor: In order to establish a population to sample, auditor should determine the types of changes that would impact the ability of the electric system to meet the NPIRs and inquire of the entity whether any such changes occurred during the audit period. In addition, auditors may also obtain sample items through inquiries of Transmission Entities with related NPIRs regarding changes made and whether they were communicated. Also, auditor analysis of events in the entity’s area may reveal changes that were not communicated.

Auditor Notes:



R8 Supporting Evidence and Documentation

R8. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall inform the Nuclear Plant Generator Operator of actual or proposed changes to electric system design (e.g., protective relay setpoints), configuration, operations, limits, or capabilities that may impact the ability of the electric system to meet the NPIRs.

M8. The Transmission Entities shall each provide evidence that it informed the Nuclear Plant Generator Operator of changes to electric system design (e.g., protective relay setpoints), configuration, operations, limits, or capabilities that would impact the ability of the Nuclear Plant Generator Operator to meet the NPIRs.

[The RSAW Developer may ask questions of the entity which require a response.]

Registered Entity Response (Required):

Question: [Do you have any NPIRs with any Nuclear Plant Generator Operators?] Yes No

[Include additional information regarding the question here, including the type of response and format of the response requested, as appropriate.]

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
List of actual and proposed changes to nuclear plant design, configuration, operations, limits, or capabilities that may impact the ability of the electric system to meet the NPIRs.
Evidence of communication with Nuclear Plant Operators.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R8

This section to be completed by the Compliance Enforcement Authority

<i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.</i>	
	For a sample of actual or proposed changes, examine evidence to verify that change was communicated to Nuclear Plant Operators with related NPIR.

Note to Auditor: See entity's answer to above Question. If auditor can verify the entity does not have any NPIRs, then Requirement R8 is not applicable.

In order to establish a population to sample, auditor should determine the types of changes that would impact the ability of the electric system to meet the NPIRs and inquire of the entity whether any such changes occurred during the audit period. In addition, auditors may also obtain sample items through inquiries of Nuclear Plant Operators with related NPIRs regarding changes made and whether they were communicated. Also, auditor analysis of events in the entity's area may reveal changes that were not communicated.

Auditor Notes:

R9 Supporting Evidence and Documentation

R9. The Nuclear Plant Generator Operator and the applicable Transmission Entities shall include the following elements in aggregate within the Agreement(s) identified in R2.

- Where multiple Agreements with a single Transmission Entity are put into effect, the R9 elements must be addressed in aggregate within the Agreements; however, each Agreement does not have to contain each element. The Nuclear Plant Generator Operator and the Transmission Entity are responsible for ensuring all the R9 elements are addressed in aggregate within the Agreements.
- Where Agreements with multiple Transmission Entities are required, the Nuclear Plant Generator Operator is responsible for ensuring all the R9 elements are addressed in aggregate within the Agreements with the Transmission Entities. The Agreements with each Transmission Entity do not have to contain each element; however, the Agreements with the multiple Transmission Entities, in the aggregate, must address all R9 elements. For each Agreement(s), the Nuclear Plant Generator Operator and the Transmission Entity are responsible to ensure the Agreement(s) contain(s) the elements of R9 applicable to that Transmission Entity. :

9.1. Not used. *[Note: Part 9.1 was retired under the Paragraph 81 project.. The NUC SDT proposes to leave this Part blank to avoid renumbering Requirement parts.]*

9.2. Technical requirements and analysis:

9.2.1. Identification of parameters, limits, configurations, and operating scenarios included in the NPIRs and, as applicable, procedures for providing any specific data not provided within the Agreement.

9.2.2. Identification of facilities, components, and configuration restrictions that are essential for meeting the NPIRs.

9.2.3. Types of planning and operational analyses performed specifically to support the NPIRs, including the frequency of studies and types of Contingencies and scenarios required.

9.3. Operations and maintenance coordination

9.3.1. Designation of ownership of electrical facilities at the interface between the electric system and the nuclear plant and responsibilities for operational control coordination and maintenance of these facilities.

9.3.2. Identification of any maintenance requirements for equipment not owned or controlled by the Nuclear Plant Generator Operator that are necessary to meet the NPIRs.

9.3.3. Coordination of testing, calibration and maintenance of on-site and off-site power supply systems and related components.

9.3.4. Provisions to address mitigating actions needed to avoid violating NPIRs and to address periods when responsible Transmission Entity loses the ability to assess the capability of the electric system to meet the NPIRs. These provisions shall include responsibility to notify the Nuclear Plant Generator Operator within a specified time frame.

9.3.5. Provision for considering, within the restoration process, the requirements and urgency of a nuclear plant that has lost all off-site and on-site AC power.

9.3.6. Coordination of physical and cyber security protection at the nuclear plant interface to ensure each asset is covered under at least one entity's plan.

Coordination of the NPIRs with transmission system Special Protection Systems and any programs that reduce or shed load based on underfrequency or undervoltage.

9.4. Communications and training Administrative elements:

9.4.1. Provisions for communications affecting the NPIRs between the Nuclear Plant Generator Operator and Transmission Entities, including communications protocols, notification time requirements, and definitions of applicable unique terms.

9.4.2. Provisions for coordination during an off-normal or emergency event affecting the NPIRs, including the need to provide timely information explaining the event, an estimate of when the system will be returned to a normal state, and the actual time the system is returned to normal.

9.4.3. Provisions for coordinating investigations of causes of unplanned events affecting the NPIRs and developing solutions to minimize future risk of such events.

9.4.4. Provisions for supplying information necessary to report to government agencies, as related to NPIRs.

9.4.5. Provisions for personnel training, as related to NPIRs.

M9. The Nuclear Plant Generator Operator shall have a copy of the Agreement(s) addressing the elements in Requirement 9 available for inspection upon request of the Compliance Enforcement Authority. Each Transmission Entity shall have a copy of the Agreement(s) addressing the elements in Requirement 9 for which it is responsible available for inspection upon request of the Compliance Enforcement Authority.

Registered Entity Response (Required):

Compliance Narrative:

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.

Copy of the Agreement(s) addressing the elements in Requirement R9 for which entity is responsible.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

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Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to NUC-001-3, R8

This section to be completed by the Compliance Enforcement Authority

<p><i>The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer’s Guide for more information.</i></p>	
	<p>Review evidence and verify that either the multiple Agreements with a single Transmission Entity, or multiple Agreements with multiple Transmission Entities address the following in the aggregate in accordance with Requirement R9:</p>
	<p>(Part 9.2.1) Identification of parameters, limits, configurations, and operating scenarios included in the NPIRs and, as applicable, procedures for providing any specific data not provided within the Agreement.</p>
	<p>(Part 9.2.2) Identification of facilities, components, and configuration restrictions that are essential for meeting the NPIRs.</p>
	<p>(Part 9.2.3) Types of planning and operational analyses performed specifically to support the NPIRs, including the frequency of studies and types of Contingencies and scenarios required.</p>
	<p>(Part 9.3.1) Designation of ownership of electrical facilities at the interface between the electric system and the nuclear plant and responsibilities for operational control coordination and maintenance of these facilities.</p>
	<p>(Part 9.3.2) Identification of any maintenance requirements for equipment not owned or controlled by the Nuclear Plant Generator Operator that are necessary to meet the NPIRs.</p>
	<p>(Part 9.3.3) Coordination of testing, calibration and maintenance of on-site and off-site power supply systems and related components.</p>
	<p>(Part 9.3.4) Provisions to address mitigating actions needed to avoid violating NPIRs and to address periods when responsible Transmission Entity loses the ability to assess the capability of the electric system to meet the NPIRs. These provisions shall include responsibility to notify the Nuclear Plant Generator Operator within a specified time frame.</p>
	<p>(Part 9.3.5) Provision for considering, within the restoration process, the requirements and urgency of a nuclear plant that has lost all off-site and on-site AC power.</p>
	<p>(Part 9.3.6) Coordination of physical and cyber security protection at the nuclear plant interface to ensure each asset is covered under at least one entity’s plan.</p>
	<p>(Part 9.3.7) Coordination of the NPIRs with transmission system Special Protection Systems and any</p>

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	programs that reduce or shed load based on underfrequency or undervoltage.
	(Part 9.4.1) Provisions for communications affecting the NPIRs between the Nuclear Plant Generator Operator and Transmission Entities, including communications protocols, notification time requirements, and definitions of applicable unique terms.
	(Part 9.4.2) Provisions for coordination during an off-normal or emergency event affecting the NPIRs, including the need to provide timely information explaining the event, an estimate of when the system will be returned to a normal state, and the actual time the system is returned to normal.
	(Part 9.4.3) Provisions for coordinating investigations of causes of unplanned events affecting the NPIRs and developing solutions to minimize future risk of such events.
	(Part 9.4.4) Provisions for supplying information necessary to report to government agencies, as related to NPIRs.
	(Part 9.4.5) Provisions for personnel training, as related to NPIRs.

Note to Auditor:

Auditor Notes:

Additional Information:

Reliability Standard

The RSAW developer should provide the following information without hyperlinks. Update the information below as appropriate.

The full text of NUC-001-3 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology [If developer deems reference applicable]

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

Regulatory Language [Developer to ensure RSAW has been provided to NERC Legal for links to appropriate Regulatory Language – See example below]

E.g. FERC Order No. 742 paragraph 34: “Based on NERC’s.....”

E.g. FERC Order No. 742 Paragraph 55, Commission Determination: “We affirm NERC’s.....”

Selected Glossary Terms [If developer deems applicable]

The following Glossary terms are provided for convenience only. Please refer to the NERC web site for the current enforceable terms.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	XX/XX/XXXX	RSAW Working Group	New Document

ⁱ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity's discretion.

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