

## A. Introduction

1. **Title:** Nuclear Plant Interface Coordination
2. **Number:** NUC-001-~~3~~2
3. **Purpose:** This standard requires coordination between Nuclear Plant Generator Operators and Transmission Entities for the purpose of ensuring nuclear plant safe operation and shutdown.
4. **Applicability:**
  - 4.1. Nuclear Plant Generator Operators.
  - 4.2. Transmission Entities shall mean all entities that are responsible for providing services related to Nuclear Plant Interface Requirements (NPIRs). Such entities may include one or more of the following:
    - 4.2.1 Transmission Operators.
    - 4.2.2 Transmission Owners.
    - 4.2.3 Transmission Planners.
    - 4.2.4 Transmission Service Providers.
    - 4.2.5 Balancing Authorities.
    - 4.2.6 Reliability Coordinators.
    - 4.2.7 Planning Coordinators.
    - 4.2.8 Distribution Providers.
    - 4.2.9 Load-serving Entities.
    - 4.2.10 Generator Owners.
    - 4.2.11 Generator Operators.
5. **Effective Date:** April 1, 2010

## B. Requirements

- R1. The Nuclear Plant Generator Operator shall provide the proposed NPIRs in writing to the applicable Transmission Entities and shall verify receipt. [*Risk Factor: Lower*]
- R2. The Nuclear Plant Generator Operator and the applicable Transmission Entities shall have in effect one or more Agreements<sup>1</sup> 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. [*Risk Factor: Medium*]
- 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. [*Risk Factor: Medium*]
- R4. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall: [*Risk Factor: High*]

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1. Agreements may include mutually agreed upon procedures or protocols in effect between entities or between departments of a vertically integrated system.

- R4.1.** Incorporate the NPIRs into their operating analyses of the electric system.
- R4.2.** Operate the electric system to meet the NPIRs.
- R4.3.** Inform the Nuclear Plant Generator Operator when the ability to assess the operation of the electric system affecting NPIRs is lost.
- R5.** ~~Per the aAgreements developed in accordance with this standard, t~~The Nuclear Plant Generator Operator shall operate ~~per the Agreements developed in accordance with this standard~~the nuclear plant to meet the NPIRs. [*Risk Factor: High*]
- 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. [*Risk Factor: Medium*]
- 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 setpoints), configuration, operations, limits, ~~protection systems,~~ or capabilities that may impact the ability of the electric system to meet the NPIRs. [*Risk Factor: High*]
- 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., relay setpoints), configuration, operations, limits, ~~protection systems,~~ or capabilities that may impact the ability of the electric system to meet the NPIRs. [*Risk Factor: High*]
- R9.** The Nuclear Plant Generator Operator and the applicable Transmission Entities shall include, as a minimum, the following elements within the ~~agreement~~Agreement(s) identified in R2. ~~Agreements with each Transmission Entity must contain the elements of R9 applicable to that Transmission Entity. Each Agreement does not have to contain each element; however,† the aAgreements, in the aggregate, must address all R9 the elements in R9; however, . each agreement does not have to contain each element. Agreements with each Transmission Entity must contain the elements of R9 applicable to that Transmission Entity.:~~ [*Risk Factor: Medium*]
- R9.1.** Administrative elements: (~~Retirement approved by NERC BOT pending applicable regulatory approval.~~)
  - R9.1.1.** Definitions of key terms used in the agreement. (~~Retirement approved by NERC BOT pending applicable regulatory approval.~~)
  - R9.1.2.** Names of the responsible entities, organizational relationships, and responsibilities related to the NPIRs. (~~Retirement approved by NERC BOT pending applicable regulatory approval.~~)
  - R9.1.3.** A requirement to review the agreement(s) at least every three years. (~~Retirement approved by NERC BOT pending applicable regulatory approval.~~)
  - R9.1.4.** A dispute resolution mechanism. (~~Retirement approved by NERC BOT pending applicable regulatory approval.~~)
- R9.2.** Technical requirements and analysis:
  - R9.2.1.** 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~~Agreement.

- R9.2.2.** Identification of facilities, components, and configuration restrictions that are essential for meeting the NPIRs.
- R9.2.3.** Types of planning and operational analyses performed specifically to support the NPIRs, including the frequency of studies and types of Contingencies and scenarios required.
- R9.3.** Operations and maintenance coordination:
  - R9.3.1.** 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.
  - R9.3.2.** Identification of any maintenance requirements for equipment not owned or controlled by the Nuclear Plant Generator Operator that are necessary to meet the NPIRs.
  - R9.3.3.** Coordination of testing, calibration and maintenance of on-site and off-site power supply systems and related components.
  - R9.3.4.** 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.
  - R9.3.5.** 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.
  - R9.3.6.** Coordination of physical and cyber security protection of the Bulk Electric System at the nuclear plant interface to ensure each asset is covered under at least one entity's plan.
  - R9.3.7.** Coordination of the NPIRs with transmission system Special Protection Systems and underfrequency and undervoltage load shedding programs.
- R9.4.** Communications and training:
  - R9.4.1.** Provisions for communications affecting NPIRs between the Nuclear Plant Generator Operator and Transmission Entities, including communications protocols, notification time requirements, and definitions of applicable unique terms.
  - R9.4.2.** 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.
  - R9.4.3.** Provisions for coordinating investigations of causes of unplanned events affecting the NPIRs and developing solutions to minimize future risk of such events.
  - R9.4.4.** Provisions for supplying information necessary to report to government agencies, as related to NPIRs.
  - R9.4.5.** Provisions for personnel training, as related to NPIRs.

## C. Measures

- 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. (Requirement 1)
- M2.** The Nuclear Plant Generator Operator and each Transmission Entity shall each have a copy of the Agreement(s) addressing the elements in Requirement 9 available for inspection upon request of the Compliance Enforcement Authority. (Requirement 2 and 9)
- 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. (Requirement 3)
- 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. (Requirement 4.3)
- 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 Agreements developed in accordance with this standard. (Requirement 5)
- 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. (Requirement 6)
- M7.** The Nuclear Plant Generator Operator shall provide evidence that it informed the applicable Transmission Entities of changes to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that would impact the ability of the Transmission Entities to meet the NPIRs. (Requirement 7)
- M8.** The Transmission Entities shall each provide evidence that it informed the Nuclear Plant Generator Operator of changes to electric system design, configuration, operations, limits, protection systems, or capabilities that would impact the ability of the Nuclear Plant Generator Operator to meet the NPIRs. (Requirement 8)

#### **D. Compliance**

- 1. Compliance Monitoring Process**
  - 1.1. Compliance Enforcement Authority**

Regional Entity.
  - 1.2. Compliance Monitoring Period and Reset Time Frame**

Not applicable.
  - 1.3. Compliance Monitoring and Enforcement Processes:**

Compliance Audits  
Self-Certifications  
Spot Checking  
Compliance Violation Investigations  
Self-Reporting  
Complaints

#### 1.4. Data Retention

The Responsible Entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- For Measure 1, the Nuclear Plant Generator Operator shall keep its latest transmittals and receipts.
- For Measure 2, the Nuclear Plant Generator Operator and each Transmission Entity shall have its current, in-force ~~agreement~~ Agreement.
- For Measure 3, the Transmission Entity shall have the latest planning analysis results.
- For Measures 4.3, 6 and 8, the Transmission Entity shall keep evidence for two years plus current.
- For Measures 5, 6 and 7, the Nuclear Plant Generator Operator shall keep evidence for two years plus current.

If a Responsible Entity is found non-compliant it shall keep information related to the noncompliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

#### 1.5. Additional Compliance Information

None.

### 2. Violation Severity Levels

- 2.1. Lower:** Agreement(s) exist per this standard and NPIRs were identified and implemented, but documentation described in M1-M8 was not provided.
- 2.2. Moderate:** Agreement(s) exist per R2 and NPIRs were identified and implemented, but one or more elements of the Agreement in R9 were not met.
- 2.3. High:** One or more requirements of R3 through R8 were not met.
- 2.4. Severe:** No proposed NPIRs were submitted per R1, no Agreement exists per this standard, or the Agreements were not implemented.

### E. Regional Differences

The design basis for Canadian (CANDU) Nuclear Power Plants (NPPs) does not result in the same licensing requirements as U.S. NPPs. Nuclear Regulatory Commission (NRC) design criteria specifies that in addition to emergency on-site electrical power, electrical power from the electric network also be provided to permit safe shutdown. ~~This requirement is specified in such NRC Regulations as 10 CFR 50 Appendix A—General Design Criterion 17 and 10 CFR 50.63 Loss of all~~

~~alternating current power.~~ There are no equivalent Canadian Regulatory requirements for electrical power from the electric network to be provided to permit safe shutdown, Station Blackout (SBO) or coping times as they do not form part of the licensing basis for CANDU NPPs.  
Therefore, the definition of Nuclear Plant Licensing Requirements (NPLR) for Canadian CANDU ~~units NPPs~~ will be as follows:

**Nuclear Plant Licensing Requirements (NPLR)** are requirements included in the design basis of the nuclear plant and are statutorily mandated for the operation of the plant; when used in this standard, NPLR shall mean nuclear power plant licensing requirements for avoiding preventable challenges to nuclear safety as a result of an electric system disturbance, transient, or condition.

F. **Associated Documents**

**Version History**

Version	Date	Action	Change Tracking
1	May 2, 2007	Approved by Board of Trustees	New
2	To be determined	Modifications for Order 716 to Requirement R9.3.5 and footnote 1; modifications to bring compliance elements into conformance with the latest version of the ERO Rules of Procedure.	Revision
2	August 5, 2009	Adopted by Board of Trustees	Revised
2	January 22, 2010	Approved by FERC on January 21, 2010 Added Effective Date	Update
2	February 7, 2013	R9.1, R9.1.1, R9.1.2, R9.1.3, and R9.1.4 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	