

Safety Standards

of the

Nuclear Safety Standards Commission (KTA)

KTA 1201 (2015-11)

Requirements for the Operating Manual

(Anforderungen an das Betriebshandbuch)

The previous version of this safety
standard was issued in 2009-11

If there is any doubt regarding the information contained in this translation, the German wording shall apply.

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KTA SAFETY STANDARD

2015-11

Requirements for the Operating Manual

KTA 1201

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1985-12 (BAnz. No. 33a of Februar 18, 1986)
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PLEASE NOTE: Only the original German version of this safety standard represents the joint resolution of the 35-member Nuclear Safety Standards Commission (Kerntechnischer Ausschuss, KTA). The German version was made public in the Federal Gazette (Bundesanzeiger) on May 06, 2015. Copies of the German versions of the KTA safety standards may be mail-ordered through the Wolters Kluwer Deutschland GmbH (info@wolterskluwer.de). Downloads of the English translations are available at the KTA website (<http://www.kta-gs.de>).

All questions regarding this English translation should please be directed to the KTA office:

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Comments by the Editor:

Taking into account the meaning and usage of auxiliary verbs in the German language, in this translation the following agreements are effective:

shall	indicates a mandatory requirement,
shall basically	is used in the case of mandatory requirements to which specific exceptions (and only those!) are permitted. It is a requirement of the KTA that these exceptions - other than those in the case of shall normally - are specified in the text of the safety standard,
shall normally	indicates a requirement to which exceptions are allowed. However, exceptions used shall be substantiated during the licensing procedure,
should	indicates a recommendation or an example of good practice,
may	indicates an acceptable or permissible method within the scope of this safety standard.

Basic Principles

(1) The safety standards of the Nuclear Safety Standards Commission (KTA) have the objective to specify safety-related requirements, compliance of which provides the necessary precautions in accordance with the state of the art in science and technology against damage arising from the construction and operation of the facility (Sec.7 para.2 subpara.3 Atomic Energy Act - AtG) in order to achieve the fundamental safety functions specified in the Atomic Energy Act and the Radio-logical Protection Ordinance (StrlSchV) and further detailed in the Safety Requirements for Nuclear Power Plants as well as in the Interpretations of the Safety Requirements for Nuclear Power Plants.

(2) The "Safety Requirements for Nuclear Power Plants" (SiAnf) demand that the radiological safety goals specified in SiAnf Nr. 2.5 must be attained. Essential in this regard are specified written instructions, which are required according to SiAnf Nr. 6 "Regulations for the operating rules". The operating manual shall normally contain the administrative procedures and technical actions required for the specified normal operation and for the control and mitigation of design basis accidents (incidents).

(3) According to SiAnf Nr. 6 (1) a) the operating rules must contain a sufficiently complete set of regulations (safety specifications – SSp), which - via abidance to the safety specifications - ensure, that the design, surveillance and operation of the plant is in full compliance with the "Safety Requirements for Nuclear Power Plants" and the conditions specified in the license. The safety specifications must include procedural limits and plant states that must be abided. In addition, they must include requirements for the effectiveness, availability and environmental conditions of safety related systems (limits and conditions for safe operation).

(4) In fulfillment of Sec. 3 of the Ordinance on the Procedure for Licensing Facilities under Sec. 7 AtG (Nuclear Licensing Procedure Ordinance - AtVfV), so-called safety specifications (SSp) are submitted together with the license application. These safety specifications present the safety-related framework within which the facility must be operated in order to fulfill the protective purpose pursued by Sec. 1 no. 2 AtG. The safety specifications are contained in the operating manual.

(5) The objective of this safety standard is to specify the requirements applying to the content and layout of the operating manual.

(6) Requirements for the testing manual are specified in safety standard KTA 1202 "Requirements for the Testing Manual".

(7) The content and layout of the emergency manual relating to the "plant-internal accident management" are specified in safety standard KTA 1203 "Requirements for the Emergency Manual". The transition from the operating manual to the emergency manual is dealt with in the present safety standard.

1 Scope

(1) This safety standard applies to the contents and layout of the operating manual of a nuclear power plant.

(2) It is recommended to apply the outline and structure as specified in this safety standard; different outlines and structures are permissible, provided, they present the required contents. The contents related requirements for the operating manual under the present safety standard relate to the suggested outline and structure. They shall be properly converted when using a different outline and structure.

(3) Neither the technical instructions regarding plant regulations nor the maintenance documents nor the design and construction documents shall be considered as part of the operating manual.

2 Definitions

(1) Operating manual

The operating manual contains all operation and safety-related regulations, including the safety specifications, that are required for specified normal operation of the plant and for the elimination of defects and for the control and mitigation of design basis accidents (incidents), and it contains an appendix with various listings, documents and additional regulations that are the basis of the operational part of the operating manual and that are supplemental or explanatory to this part.

(2) Plant organization

Plant organization has two aspects, that of the plant organizational structure describing the hierarchical structure and that of the plant administrative organization describing the operational procedures and processes.

(3) No-power operation

The phase of no-power operation begins at the point of permanent subcriticality and ends at the point of reaching criticality with the intent of beginning power operation.

Note:

Practical differentiations to power operation are specified in the operating manual.

(4) Shift group

Shift group is understood to identify that group of people of one shift that are involved in monitoring plant operation in the control room and in the plant.

(5) Shift personnel

Shift personnel is the entire staff in all shift groups.

(6) Protective goals (fundamental safety functions)

Protective goals are main safety functions, which comprise subsidiary safety functions. The protective goals must ensure, that the associated acceptance targets and acceptance criteria are met.

Note:

The protective goals that must be contained in the operating manual are specified for each plant during the licensing procedure.

(7) Safety specifications (SSp – in accordance with Sec. 3 para. 1 no. 6 AtVfV)

Safety specifications are a compilation of all plant regulations, important information and measures that are relevant to the safety of the plant and its operation, as well as of the information and measures required for the control and mitigation of malfunctions and design basis accidents (incidents). The global plan for the scheduled tests (testing schedule) on safety-related systems and plant components is, likewise, part of the safety specifications.

Note:

The purpose of the safety specifications is to provide for the operating personnel all currently valid data, limit values and measures important to the safety of the nuclear power plant and its operation.

Furthermore, safety specifications are part of the licensing documents and, thus, a legally binding and up-to-date documentation of the framework of safe and licensed conditions and operating procedures for the plant, and they are also the basis for specifying necessary changes and modifications of the plant or of its operation.