

DRAFT Reliability Standard Audit Worksheet¹

TPL-007-42 – Transmission System Planned Performance for Geomagnetic Disturbance Events

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

	BA	DP	GO	GOP	PA/PC	RC	RP	RSG	TO	TOP	TP	TSP
R1					X ³						X ⁴	
R2					X ³						X ⁴	
R3					X ³						X ⁴	
R4					X ³						X ⁴	
R5					X ³						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 Planning Coordinator with a planning area that includes a Facility or Facilities specified in 4.2.

⁴ Transmission Planner with a planning area that includes a Facility or Facilities specified in 4.2.

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	BA	DP	GO	GOP	PA/PC	RC	RP	RSG	TO	TOP	TP	TSP
R6			X ⁵						X ⁶			
R7					X ³						X ⁴	
R8					X ³						X ⁴	
R9					X ³						X ⁴	
R10			X ⁵						X ⁶			
R11					X ³						X ⁴	
R12					X ³						X ⁴	

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

Facilities

Facilities that include power transformer(s) with a high side, wye-grounded winding with terminal voltage greater than 200 kV.-

⁵ Generator Owner who owns a Facility or Facilities specified in 4.2.

⁶ Transmission Owner who owns a Facility or Facilities specified in 4.2.

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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			
R5			
R6			
R7			

-R8			
R9			
R10			
R11			
R12			

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)

R1 Supporting Evidence and Documentation

- R1.** ~~R1~~ Each Planning Coordinator, in conjunction with its Transmission Planner(s), shall identify the individual and joint responsibilities of the Planning Coordinator and Transmission Planner(s) in the Planning Coordinator’s planning area for maintaining models ~~and~~, performing the study or studies needed to complete benchmark and supplemental GMD Vulnerability Assessment(s), Assessments, and implementing process(es) to obtain GMD measurement data as specified in this standard.
- M1.** ~~M1~~ Each Planning Coordinator, in conjunction with its Transmission Planners, shall provide documentation on roles and responsibilities, such as meeting minutes, agreements, copies of procedures or protocols in effect between entities or between departments of a vertically integrated system, ~~or~~ email correspondence that identifies an agreement has been reached on individual and joint responsibilities for maintaining models ~~and~~, performing the study or studies needed to complete benchmark and supplemental GMD Vulnerability Assessment(s), Assessments, and implementing process(es) to obtain GMD measurement data in accordance with Requirement R1.

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.-
Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete <u>benchmark and supplemental GMD Vulnerability Assessments, and implementing process(es) to obtain GMD measurement data.</u>

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 TPL-007-12~~ to TPL-007-12, R1

This section to be completed by the Compliance Enforcement Authority

Confirm existence of documentation identifying the individual and joint responsibilities for the responsible entities, defined in Requirement R1, for maintaining models ~~and~~, performing studies needed to complete benchmark and supplemental GMD Vulnerability ~~Assessment(s)~~ Assessments, and implementing process(es) to obtain GMD measurement data.

Note to Auditor:

Auditor Notes:-

R2 Supporting Evidence and Documentation

- R2.** ~~R2.~~ Each responsible entity, as determined in Requirement R1, shall maintain System models and GIC System models of the responsible entity's planning area for performing the study or studies needed to complete benchmark and supplemental GMD Vulnerability ~~Assessment(s).~~ Assessments.
- M2.** ~~M2.~~ Each responsible entity, as determined in Requirement R1, shall have evidence in either electronic or hard copy format that it is maintaining System models and GIC System models of the responsible entity's planning area for performing the study or studies needed to complete benchmark and supplemental GMD Vulnerability ~~Assessment(s).~~ Assessments.

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.

Evidence to demonstrate maintenance of System models and GIC System models for the responsible entity's planning area.

Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete benchmark and supplemental GMD Vulnerability Assessments.

~~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.~~

~~Evidence to demonstrate maintenance of System models and GIC System models for the responsible entity's planning area.~~

~~Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.~~

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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 TPL-007-12, R2

This section to be completed by the Compliance Enforcement Authority

	Verify the responsible entity maintained System models and GIC System models for performing studies for benchmark and supplemental GMD Vulnerability Assessments.-
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Note to Auditor:

[AA benchmark and supplemental](#) GMD Vulnerability Assessment requires a GIC System model, which is a direct current representation of the System, to calculate GIC flow. In a [benchmark and supplemental](#) GMD Vulnerability Assessment, GIC simulations are used to determine transformer Reactive Power absorption and transformer thermal response. See the *Application Guide for Computing Geomagnetically-Induced Current in the Bulk Power System* for details on developing the GIC System model.

[Per the Implementation Plan, Requirement R2 becomes effective on 7/1/2018.](#)

Auditor Notes:-

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R3 Supporting Evidence and Documentation

- R3.** ~~R3.~~ Each responsible entity, as determined in Requirement R1, shall have criteria for acceptable System steady state voltage performance for its System during the ~~benchmark~~ GMD ~~event~~events described in Attachment 1.–
- M3.** ~~M3.~~ Each responsible entity, as determined in Requirement R1, shall have evidence, such as electronic or hard copies of the criteria for acceptable System steady state voltage performance for its System in accordance with Requirement R3.

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:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>Criteria for acceptable System steady state voltage performance for the entity’s System during the GMD events described in Attachment 1.</u>

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.
Criteria for acceptable System steady state voltage performance for the entity’s System during the benchmark GMD event described in Attachment 1.
Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.

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 TPL-007-12, R3

This section to be completed by the Compliance Enforcement Authority

	Verify the responsible entity has criteria for acceptable System steady state voltage performance for its System during the benchmark GMD event events described in TPL-007 Attachment 1.
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Note to Auditor: Per the Implementation Plan, Requirement R3 becomes effective on 1/1/2022.

Auditor Notes:-

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R4 Supporting Evidence and Documentation

- R4.** ~~R4.~~ Each responsible entity, as determined in Requirement R1, shall complete a benchmark GMD Vulnerability Assessment of the Near-Term Transmission Planning Horizon at least once every 60 calendar months. This benchmark GMD Vulnerability Assessment shall use a study or studies based on models identified in Requirement R2, document assumptions, and document summarized results of the steady state analysis.-
- 4.1.** The study or studies shall include the following conditions:
- 4.1.1.** System On-Peak Load for at least one year within the Near-Term Transmission Planning Horizon; -and
 - 4.1.2.** System Off-Peak Load for at least one year within the Near-Term Transmission Planning Horizon.
- 4.2.** The study or studies shall be conducted based on the benchmark GMD event described in Attachment 1 to determine whether the System meets the performance requirements for the steady state planning benchmark GMD event contained in Table 1.
- 4.3.** The benchmark GMD Vulnerability Assessment shall be provided ~~within 90 calendar days of completion:~~ (i) to the responsible entity's Reliability Coordinator, adjacent Planning Coordinators, and adjacent Transmission Planners, and within 90 calendar days of completion, and (ii) to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the benchmark GMD Vulnerability Assessment, whichever is later.
- 4.3.1.** ~~4.3.1.~~ If a recipient of the benchmark GMD Vulnerability Assessment provides documented comments on the results, the responsible entity shall provide a documented response to that recipient within 90 calendar days of receipt of those comments.
- M4.** ~~M4.~~ Each responsible entity, as determined in Requirement R1, shall have dated evidence such as electronic or hard copies of its benchmark GMD Vulnerability Assessment meeting all of the requirements in Requirement R4. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has distributed its benchmark GMD Vulnerability Assessment ~~within 90 calendar days of completion:~~ (i) to its the responsible entity's Reliability Coordinator, adjacent Planning Coordinator(s), Coordinators, and adjacent Transmission Planner(s), and Planners within 90 calendar days of completion, and (ii) to any functional entity who has submitted that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the benchmark GMD Vulnerability Assessment, whichever is later, as specified in Requirement R4. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email notices or postal receipts showing recipient and date, that it has provided a documented response to comments received on its benchmark GMD Vulnerability Assessment within 90 calendar days of receipt of those comments in accordance with Requirement R4.

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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.

Dated copies of the current and preceding benchmark GMD Vulnerability Assessments of Near-Term Transmission Planning Horizon.

~~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.~~

~~Dated copies of the current and preceding GMD Vulnerability Assessments of Near-Term Transmission Planning Horizon.~~

Evidence the study or studies include System On-Peak Load and System Off-Peak Load conditions for at least one year within the Near-Term Transmission Planning Horizon.

Evidence the study or studies were conducted based on the benchmark GMD event described in Attachment 1 [for the steady state planning benchmark GMD event](#) to determine whether the System meets the performance requirements [for the steady state planning benchmark GMD event contained](#) in Table 1.

[Dated evidence that the responsible entity provided the benchmark GMD Vulnerability Assessment within 90 calendar days of completion to the responsible entity's Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners.](#)

Dated evidence that the responsible entity provided the [benchmark](#) GMD Vulnerability Assessment ~~within 90 calendar days of completion to the responsible entity's Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners,~~ and to any functional entity that submits a written request and has a reliability-related need [within 90 calendar days of receipt of such request or within 90 calendar days of completion of the benchmark GMD Vulnerability Assessment, whichever is later.](#)

If a recipient of the [benchmark](#) GMD Vulnerability Assessment provided documented comments on the results, dated evidence the responsible entity provided a documented response to that recipient within 90 calendar days of receipt of those comments.

Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.

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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 TPL-007-12, R4

This section to be completed by the Compliance Enforcement Authority

	(R4) Verify the responsible entity completed the benchmark GMD Vulnerability Assessment of the Near-Term Transmission Planning Horizon with at least once every 60-calendar months.-
	(R4) Verify the use of studies to complete the benchmark GMD Vulnerability Assessment based on models evidenced in R2.-
	(R4) Verify the benchmark GMD Vulnerability Assessment documented assumptions and summarized results of the steady state analysis.
	(Part 4.1) Verify the study or studies include System On-Peak Load and System Off-Peak Load conditions for at least one year within the Near-Term Transmission Planning Horizon.
	(Part 4.2) Verify the study or studies were conducted based on the benchmark GMD event described in Attachment 1 to determine whether the System meets the performance requirements for the steady state planning benchmark GMD event contained in Table 1.
	(Part 4.3) Verify the benchmark GMD Vulnerability Assessment was provided within 90 calendar days of completion to the responsible entity’s Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners, and to any functional entity that submits a written request and has a reliability-related need.
	(Part 4.3) Verify the benchmark GMD Vulnerability Assessment was provided to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the benchmark GMD Vulnerability Assessment, whichever is later.
	(Part 4.3.1) If a recipient of the benchmark GMD Vulnerability Assessment provided documented comments on the results, verify the responsible entity provided a documented response to that recipient within 90 calendar days of receipt of those comments.

Note to Auditor: Auditor should consider reviewing Requirement R4 in conjunction with Requirement R7, since the development and review of Corrective Action Plans are corollaries to the Vulnerability Assessment.

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~~Per the Implementation Plan, Requirement R4 becomes effective on 1/1/2022.~~

Auditor Notes:-

R5 Supporting Evidence and Documentation

R5. ~~R5.~~ Each responsible entity, as determined in Requirement R1, shall provide GIC flow information to be used for the ~~transformer~~**benchmark** thermal impact assessment ~~of transformers~~ specified in Requirement R6 to each Transmission Owner and Generator Owner that owns an applicable Bulk Electric System (BES) power transformer in the planning area. The GIC flow information shall include:–

- 5.1.** ~~5.1.~~ The maximum effective GIC value for the worst case geoelectric field orientation for the benchmark GMD event described in Attachment 1. This value shall be provided to the Transmission Owner or Generator Owner that owns each applicable BES power transformer in the planning area.
- 5.2.** ~~5.2.~~ The effective GIC time series, GIC(t), calculated using the benchmark GMD event described in Attachment 1 in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area. GIC(t) shall be provided within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 5.1.

M5. ~~M5.~~ Each responsible entity, as determined in Requirement R1, shall provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided the maximum effective **benchmark** GIC value to the Transmission Owner and Generator Owner that owns each applicable BES power transformer in the planning area as specified in Requirement R5, Part 5.1. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided GIC(t) in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area.

Registered Entity Response (Required):-

Question: During the audit period, did the entity receive a written request for effective GIC time series, GIC(t), from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area?

- Yes No

If Yes, provide a list of such requests.

- [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.

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Evidence Requested:

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

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.

A list of each Transmission Owner and Generator Owner in the planning area that owns an applicable BES power transformer.

Evidence demonstrating the responsible entity provided the maximum effective GIC value for the worst case geoelectric field orientation for the benchmark GMD event described in Attachment 1 to each Transmission Owner and Generator Owner in the planning area that owns an applicable BES power transformer in the planning area.-

Evidence demonstrating the responsible entity, within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 5.1, provided the effective GIC time series, GIC(t), calculated using the benchmark GMD event described in Attachment 1 in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area.

Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.

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 TPL-007-12, R5

This section to be completed by the Compliance Enforcement Authority

(R5) Verify the responsible entity provided GIC flow information to each Transmission Owner and Generator Owner that owns an applicable BES power transformer in the planning area.-
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	(Part 5.1) Verify the GIC flow information provided by the responsible entity included the maximum effective GIC value for the worst case geoelectric field orientation for the benchmark GMD event described in Attachment 1.-
	(Part 5.2) For all, or a sample of, written requests from applicable Transmission Owner or Generation Owners, verify the responsible entity provided the effective GIC time series, GIC(t), within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 5.1.
Note to Auditor: Per the Implementation Plan, Requirement R5 becomes effective on 1/1/2019.	

Auditor Notes:-

R6 Supporting Evidence and Documentation

- R6. ~~R6.~~** Each Transmission Owner and Generator Owner shall conduct a benchmark thermal impact assessment for its solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R5, Part 5.1, is 75 A per phase or greater. The benchmark thermal impact assessment shall:-
- 6.1.** Be based on the effective GIC flow information provided in Requirement R5;-
 - 6.2.** Document assumptions used in the analysis;-
 - 6.3.** Describe suggested actions and supporting analysis to mitigate the impact of GICs, if any; -and
 - 6.4.** —Be performed and provided to the responsible entities, as determined in Requirement R1, within 24 —calendar months of receiving GIC flow information specified in Requirement R5, Part 5.1.
- M6. ~~M6.~~** Each Transmission Owner and Generator Owner shall have evidence such as electronic or hard copies of its benchmark thermal impact assessment for all of its solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R5, Part 5.1, is 75 A per phase or greater, -and shall have evidence such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided its thermal impact assessment to the responsible entities as specified in Requirement R6.

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.

~~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.~~

The GIC flow information provided by the Planning Coordinator or Transmission Planner in accordance with Requirement R5.

Dated evidence demonstrating the completion of the benchmark thermal impact assessment for each of the entity’s solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R5 Part 5.1 is 75 A per phase or greater.

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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 TPL-007-12, R6

This section to be completed by the Compliance Enforcement Authority

	(R6) Verify the entity conducted a benchmark thermal impact assessment for each applicable BES power transformer where the maximum effective GIC value provided in Requirement R5, Part 5.1, is 75 A per phase or greater.-
	Review thermal impact assessments for applicable BES power transformers and confirm the thermal impact assessment meets the requirements identified in Requirement R6 Part R66 .1 through Part R66 .4.
	(Part 6.1) Be based on the effective GIC flow information provided in Requirement R5.
	(Part 6.2) Document assumptions used in the analysis.
	(Part 6.3) Describe suggested actions and supporting analysis to mitigate the impact of GICs, if any.
	(Part 6.4) Be performed and provided to the responsible entities as determined in Requirement R1 within 24 calendar months of receiving GIC flow information specified in Requirement R5, Part 5.1.
Note to Auditor:	
Per the Implementation Plan, Requirement R6 becomes effective on 1/1/2021.	

Auditor Notes:-

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R7 Supporting Evidence and Documentation

R7. ~~R7~~ Each responsible entity, as determined in Requirement R1, that concludes, through the benchmark GMD Vulnerability Assessment conducted in Requirement R4, that their System does not meet the performance requirements ~~of~~ for the steady state planning benchmark GMD event contained in Table 1 shall develop a Corrective Action Plan (CAP) addressing how the performance requirements will be met. The ~~Corrective Action Plan~~ CAP shall:-

- 7.1.** ~~7.1~~—List System deficiencies and the associated actions needed to achieve required System performance. -Examples of such actions include:-
- Installation, modification, retirement, or removal of Transmission and generation Facilities and any associated equipment.-
 - Installation, modification, or removal of Protection Systems or ~~Special Protection Systems.~~ Remedial Action Schemes.
 - Use of Operating Procedures, specifying how long they will be needed as part of the ~~Corrective Action Plan.~~ CAP.
 - Use of Demand-Side Management, new technologies, or other initiatives.—

7.2. ~~7.2~~—Be ~~reviewed in subsequent~~ developed within one year of completion of the benchmark GMD Vulnerability ~~Assessments until it is~~ Assessment.

7.3. Include a timetable, subject to revision by the responsible entity in Part 7.4, for implementing the selected actions from Part 7.1. The timetable shall:

7.3.1. Specify implementation of non-hardware mitigation, if any, within two years of development of the CAP; and

7.3.2. Specify implementation of hardware mitigation, if any, within four years of development of the CAP.

Be revised if situations beyond the control of the responsible entity determined that the System meets the performance requirements contained in Table 1.

7.4. ~~7.3~~—Be ~~Requirement R1 prevent implementation of the CAP within the timetable for implementation provided~~ within 90 calendar days of completion in Part 7.3. The revised CAP shall document the following, and be updated at least once every 12 calendar months until implemented:

7.4.1. Circumstances causing the delay for fully or partially implementing the selected actions in Part 7.1;

7.4.2. Description of the original CAP, and any previous changes to the CAP, with the associated timetable(s) for implementing the selected actions in Part 7.1; and

7.4.3. Revisions to the selected actions in Part 7.1, if any, including utilization of Operating Procedures if applicable, and the updated timetable for implementing the selected actions.

~~7.2.~~ **7.5.** Be provided: (i) to the responsible entity's Reliability Coordinator, adjacent Planning Coordinator(s), adjacent Transmission Planner(s), and functional entities referenced in the ~~Corrective Action Plan,~~ and CAP within 90 calendar days of development or revision, and (ii) to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of development or revision, whichever is later.

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~~7.2.1.7.5.1.7.3.1~~—If a recipient of the Corrective Action Plan~~CAP~~ provides documented comments on the results, the responsible entity shall provide a documented response to that recipient within 90 calendar days of receipt of those comments.

M7. ~~M7.~~Each responsible entity, as determined in Requirement R1, that concludes, through the benchmark GMD Vulnerability Assessment conducted in Requirement R4, that the responsible entity’s System does not meet the performance requirements ~~of~~for the steady state planning benchmark GMD event contained in Table 1 shall have evidence such as dated electronic or hard copies of its Corrective Action Plan~~CAP~~ including timetable for implementing selected actions, as specified in Requirement R7. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records or postal receipts showing recipient and date, that it has revised its CAP if situations beyond the responsible entity’s control prevent implementation of the CAP within the timetable specified. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has distributed its Corrective Action Plan~~CAP~~ or relevant information, if any, ~~within 90 calendar days of its completion~~(i) to the responsible entity’s Reliability Coordinator, adjacent Planning Coordinator(s), adjacent Transmission Planner(s), and functional entity/entities referenced in the Corrective Action Plan, and CAP within 90 calendar days of development or revision, and (ii) to any functional entity that submits a written request and has a reliability-related need, within 90 calendar days of receipt of such request or within 90 calendar days of development or revision, whichever is later as specified in Requirement R7. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email notices or postal receipts showing recipient and date, that it has provided a documented response to comments received on its Corrective Action Plan~~CAP~~ within 90 calendar days of receipt of those comments, in accordance with Requirement R7.

Registered Entity Response (Required):-

Question: Did the responsible entity conclude through the GMD Vulnerability Assessment conducted in Requirement R4 that their System does not meet the performance requirements of Table 1? ~~Yes~~ ~~No~~

Yes No

If Yes, provide a dated list of Corrective Action Plans~~CAPs~~ developed to address how the performance requirements will be met.—

[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.

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Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.-
Copy of the <u>benchmark</u> GMD Vulnerability Assessment conducted in Requirement R4.
Dated copy of the responsible entity's <u>Corrective Action Plan</u> CAP.
<u>A list of System deficiencies and the associated actions needed to achieve required System performance.</u>
Evidence the <u>Corrective Action Plan</u> CAP was <u>reviewed in subsequent GMD Vulnerability Assessments until it is revised if situations beyond the control of the responsible entity determined that the System meets the performance requirements contained in Requirement R1 prevent implementation of the CAP within the timetable for implementation provided in Table 1Part 7.3.</u>
Dated evidence that the <u>Corrective Action Plan</u> CAP was provided, within 90 calendar days of <u>completiondevelopment or revision</u> , to the responsible entity's Reliability Coordinator, adjacent Planning Coordinator(s), adjacent Transmission Planner(s), functional entities referenced in the <u>Corrective Action Plan, and any functional entity that submits a written request and has a reliability-related need.</u> CAP.
<u>Dated evidence that the CAP was provided to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of development or revision, whichever is later.</u>
If a recipient of the <u>Corrective Action Plan</u> CAP provided documented comments on the results, evidence the responsible entity shall provide a documented response to that recipient within 90 calendar days of receipt of those comments.
Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.

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 TPL-007-12, R7

This section to be completed by the Compliance Enforcement Authority

	(R7) Verify the entity developed a Corrective Action Plan CAP addressing how the performance requirements will be met <u>for the steady state planning benchmark GMD event</u> , if the entity concluded through the <u>benchmark</u> GMD Vulnerability Assessment conducted in Requirement R4, that their System does not meet the performance requirements of Table 1.
	Verify the responsible entity's Correction Action Plan meets the specifications outlined in Requirement R7-Parts 7.1 and 7.2
	(Part 7.1) List system deficiencies and associated actions needed to achieve required System performance.
	(Part 7.2) The CAP was developed within one year of completion of the benchmark GMD Vulnerability Assessment.
	(Part 7.3) The CAP includes a timetable.
	(Part 7.3.1) A timetable specifying implementation of non-hardware mitigation, if any, within two years of development of the CAP.
	(Part 7.3.2) A timetable specifying implementation of hardware mitigation, if any, within four years of the development of the CAP.
	(Part 7.2) Be reviewed in subsequent GMD Vulnerability Assessments until it is determined that the System meets the performance requirements contained in Table 1. (Part 7.4) Verify the CAP was revised if <u>situations beyond the control of the responsible entity determined in Requirement R1 prevent implementation of the CAP within the timetable for implementation provided in Part 7.3.</u>
	(Part 7.4) The revised CAP was updated at least once every 12 calendar months until implemented for Parts 7.4.1 through 7.4.3.
	(Part 7.4.1) Verify the revised CAP documented circumstances causing the delay for fully or partially implementing the selected actions in Part 7.1.
	(Part 7.4.2) Verify the revised CAP documented a description of the original CAP, and any previous changes to the CAP, with the associated timetable(s) for implementing the selected actions in Part 7.1.
	(Part 7.4.3) Verify the revised CAP documented revisions to the selected actions in Part 7.1, if any, including utilization of Operating Procedures if applicable, and the updated timetable for implementing the selected actions.
	(Part 7.3) Confirm 5) Verify the responsible entity provided the Corrective Action Plan CAP, within 90 calendar days of completion <u>development or revision</u> , to the responsible entity's Reliability Coordinator, adjacent Planning Coordinator(s), adjacent Transmission Planner(s), functional entities referenced in the Corrective Action Plan, and any functional entity that submits a written request and has a reliability-related need. CAP.
	(Part 7.5) Verify the responsible entity provided the CAP to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of development or revision, whichever is later.
	(Part 7.35.1) If a recipient of the Corrective Action Plan CAP provided documented comments on the results, verify the responsible entity- provided a documented response to that recipient within 90 calendar days of receipt of those comments.
Note to Auditor: Per the Implementation Plan, Requirement R7 becomes effective on 1/1/2022.	

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Auditor Notes:-

R8 Supporting Evidence and Documentation

R8. Each responsible entity, as determined in Requirement R1, shall complete a supplemental GMD Vulnerability Assessment of the Near-Term Transmission Planning Horizon at least once every 60 calendar months. This supplemental GMD Vulnerability Assessment shall use a study or studies based on models identified in Requirement R2, document assumptions, and document summarized results of the steady state analysis:

8.1. The study or studies shall include the following conditions:

8.1.1. System On-Peak Load for at least one year within the Near-Term Transmission Planning Horizon; and

8.1.2. System Off-Peak Load for at least one year within the Near-Term Transmission Planning Horizon.

8.2. The study or studies shall be conducted based on the supplemental GMD event described in Attachment 1 to determine whether the System meets the performance requirements for the steady state planning supplemental GMD event contained in Table 1.

8.3. If the analysis concludes there is Cascading caused by the supplemental GMD event described in Attachment 1, an evaluation of possible actions designed to reduce the likelihood or mitigate the consequences and adverse impacts of the event(s) shall be conducted.

8.4. The supplemental GMD Vulnerability Assessment shall be provided: (i) to the responsible entity's Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners within 90 calendar days of completion, and (ii) to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the supplemental GMD Vulnerability Assessment, whichever is later.

8.4.1. If a recipient of the supplemental GMD Vulnerability Assessment provides documented comments on the results, the responsible entity shall provide a documented response to that recipient within 90 calendar days of receipt of those comments.

M8. Each responsible entity, as determined in Requirement R1, shall have dated evidence such as electronic or hard copies of its supplemental GMD Vulnerability Assessment meeting all of the requirements in Requirement R8. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has distributed its supplemental GMD Vulnerability: (i) to the responsible entity's Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners within 90 calendar days of completion, and (ii) to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the supplemental GMD Vulnerability Assessment, whichever is later, as specified in Requirement R8. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email notices or postal receipts showing recipient and date, that it has provided a documented response to comments received on its supplemental GMD Vulnerability Assessment within 90 calendar days of receipt of those comments in accordance with Requirement R8.

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.

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Evidence Requested:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>Dated copies of the current and preceding supplemental GMD Vulnerability Assessments of Near-Term Transmission Planning Horizon.</u>
<u>Evidence the study or studies include System On-Peak Load and System Off-Peak Load conditions for at least one year within the Near-Term Transmission Planning Horizon.</u>
<u>Evidence the study or studies were conducted based on the supplemental GMD event described in Attachment 1 to determine whether the System meets the performance requirements for the steady state planning supplemental GMD event in Table 1.</u>
<u>Evidence that an evaluation of possible actions designed to reduce the likelihood or mitigate the consequences and adverse impacts of the event(s) was conducted, if the analysis concluded there is Cascading caused by the supplemental GMD event described in Attachment 1.</u>
<u>Dated evidence that the responsible entity provided the supplemental GMD Vulnerability Assessment within 90 calendar days of completion to the responsible entity’s Reliability Coordinator, adjacent Planning Coordinators, adjacent Transmission Planners.</u>
<u>Dated evidence that the responsible entity provided the supplement GMD Vulnerability Assessment to any functional entity that submits a written request and has a reliability-related need within 90 calendar days of receipt of such request or within 90 calendar days of completion of the supplemental GMD Vulnerability Assessment, whichever is later.</u>
<u>If a recipient of the supplemental GMD Vulnerability Assessment provided documented comments on the results, dated evidence the responsible entity provided a documented response to that recipient within 90 calendar days of receipt of those comments.</u>
<u>Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.</u>

Registered Entity Evidence (Required):

<u>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.</u>					
<u>File Name</u>	<u>Document Title</u>	<u>Revision or Version</u>	<u>Document Date</u>	<u>Relevant Page(s) or Section(s)</u>	<u>Description of Applicability of Document</u>

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

R9 Supporting Evidence and Documentation

R9. Each responsible entity, as determined in Requirement R1, shall provide GIC flow information to be used for the supplemental thermal impact assessment of transformers specified in Requirement R10 to each Transmission Owner and Generator Owner that owns an applicable Bulk Electric System (BES) power transformer in the planning area. The GIC flow information shall include:

- 9.1.** The maximum effective GIC value for the worst case geoelectric field orientation for the supplemental GMD event described in Attachment 1. This value shall be provided to the Transmission Owner or Generator Owner that owns each applicable BES power transformer in the planning area.
- 9.2.** The effective GIC time series, GIC(t), calculated using the supplemental GMD event described in Attachment 1 in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area. GIC(t) shall be provided within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 9.1.

M9. Each responsible entity, as determined in Requirement R1, shall provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided the maximum effective supplemental GIC value to the Transmission Owner and Generator Owner that owns each applicable BES power transformer in the planning area as specified in Requirement R9, Part 9.1. Each responsible entity, as determined in Requirement R1, shall also provide evidence, such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided GIC(t) in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area.

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:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>A list of each Transmission Owner and Generator Owner in the planning area that owns an applicable BES power transformer.</u>
<u>Dated evidence demonstrating the responsible entity provided the maximum effective GIC value for the worst case geoelectric field orientation for the benchmark GMD event described in Attachment 1 to each Transmission Owner and Generator Owner in the planning area that owns an applicable BES power transformer in the planning area.</u>

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

Dated evidence demonstrating the responsible entity, within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 9.1, provided the effective GIC time series, GIC(t), calculated using the benchmark GMD event described in Attachment 1 in response to a written request from the Transmission Owner or Generator Owner that owns an applicable BES power transformer in the planning area.

Documentation that identifies the roles and responsibilities of entities in the planning area for maintaining models and performing the studies needed to complete GMD Vulnerability Assessments.

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.

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

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

Compliance Assessment Approach Specific to TPL-007-2, R9

This section to be completed by the Compliance Enforcement Authority

	<u>(R9) Verify the responsible entity provided GIC flow information to each Transmission Owner and Generator Owner that owns an applicable BES power transformer in the planning area.</u>
	<u>(Part 9.1) Verify the GIC flow information provided by the responsible entity included the maximum effective GIC value for the worst case geoelectric field orientation for the supplemental GMD event described in Attachment 1.</u>
	<u>(Part 9.2) For all, or a sample of, written requests from applicable Transmission Owner or Generation Owners, verify the responsible entity provided the effective GIC time series, GIC(t), within 90 calendar days of receipt of the written request and after determination of the maximum effective GIC value in Part 9.1.</u>

Note to Auditor:

Auditor Notes:

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R10 Supporting Evidence and Documentation

R10. Each Transmission Owner and Generator Owner shall conduct a supplemental thermal impact assessment for its solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R9, Part 9.1, is 85 A per phase or greater. The supplemental thermal impact assessment shall:

- 10.1.** Be based on the effective GIC flow information provided in Requirement R9;
- 10.2.** Document assumptions used in the analysis;
- 10.3.** Describe suggested actions and supporting analysis to mitigate the impact of GICs, if any; and
- 10.4.** Be performed and provided to the responsible entities, as determined in Requirement R1, within 24 calendar months of receiving GIC flow information specified in Requirement R9, Part 9.1.

M10. Each Transmission Owner and Generator Owner shall have evidence such as electronic or hard copies of its supplemental thermal impact assessment for all of its solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R9, Part 9.1, is 85 A per phase or greater, and shall have evidence such as email records, web postings with an electronic notice of posting, or postal receipts showing recipient and date, that it has provided its supplemental thermal impact assessment to the responsible entities as specified in Requirement R10.

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:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>The GIC flow information provided by the Planning Coordinator or Transmission Planner in accordance with Requirement R9.</u>
<u>Dated evidence demonstrating the completion of the supplemental thermal impact assessment for each of the entity's solely and jointly owned applicable BES power transformers where the maximum effective GIC value provided in Requirement R9 Part 9.1 is 85 A per phase or greater.</u>

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.

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

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

Compliance Assessment Approach Specific to TPL-007-2, R10

This section to be completed by the Compliance Enforcement Authority

	<u>(R10) Verify the entity conducted a supplemental thermal impact assessment for each applicable BES power transformer where the maximum effective GIC value provided in Requirement R9, Part 9.1, is 85 A per phase or greater.</u>
	<u>(R10) Review supplemental thermal impact assessments for applicable BES power transformers and confirm the thermal impact assessment meets the requirements identified in Requirement R10 Part 10.1 through Part 10.4.</u>
	<u>(Part 10.1) Be based on the effective GIC flow information provided in Requirement R9.</u>
	<u>(Part 10.2) Document assumptions used in the analysis.</u>
	<u>(Part 10.3) Describe suggested actions and supporting analysis to mitigate the impact of GICs, if any.</u>
	<u>(Part 10.4) Be performed and provided to the responsible entities as determined in Requirement R1 within 24 calendar months of receiving GIC flow information specified in Requirement R9, Part 9.1.</u>
<u>Note to Auditor:</u>	

Auditor Notes:

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R11 Supporting Evidence and Documentation

R11. Each responsible entity, as determined in Requirement R1, shall implement a process to obtain GIC monitor data from at least one GIC monitor located in the Planning Coordinator's planning area or other part of the system included in the Planning Coordinator's GIC System model.

M11. Each responsible entity, as determined in Requirement R1, shall have evidence such as electronic or hard copies of its GIC monitor location(s) and documentation of its process to obtain GIC monitor data in accordance with Requirement R11.

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:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>Documentation that identifies the implementation of a process to obtain GIC monitor data from at least one GIC monitor located in the Planning Coordinator's planning area or other part of the system included in the Planning Coordinator's GIC System model.</u>
<u>Documentation that identifies the roles and responsibilities of entities in the planning area for implementing process(es) to obtain GMD measurement data.</u>

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.

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

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

Compliance Assessment Approach Specific to TPL-007-2, R11

This section to be completed by the Compliance Enforcement Authority

	<u>Verify that the responsible entity, as determined in Requirement R1, implemented its process to obtain GIC monitor data.</u>
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Verify that GIC monitor data came from at least one GIC monitor located in the Planning Coordinator's planning area or other part of the system included in the Planning Coordinator's GIC System model.

Note to Auditor:

Auditor Notes:

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R12 Supporting Evidence and Documentation

R12. Each responsible entity, as determined in Requirement R1, shall implement a process to obtain geomagnetic field data for its Planning Coordinator’s planning area.

M12.Each responsible entity, as determined in Requirement R1, shall have evidence such as electronic or hard copies of its process to obtain geomagnetic field data for its Planning Coordinator’s planning area in accordance with Requirement R12.

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:

<u>Provide the following evidence, or other evidence to demonstrate compliance.</u>
<u>Documentation that identifies the implementation of a process to obtain geomagnetic field data for its Planning Coordinator’s planning area.</u>
<u>Documentation that identifies the roles and responsibilities of entities in the planning area for implementing process(es) to obtain GMD measurement data.</u>

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.

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

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

Compliance Assessment Approach Specific to TPL-007-2, R12

This section to be completed by the Compliance Enforcement Authority

	<u>Verify that the responsible entity, as determined in Requirement R1, implemented its process to obtain geomagnetic field data.</u>
	<u>Verify that geomagnetic field data is for the Planning Coordinator’s planning area.</u>

Note to Auditor:

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Auditor Notes:

Additional Information:

Reliability Standard

Will be added in final version.

Regulatory Language

~~Order No. 779, Reliability Standards for Geomagnetic Disturbances, 143 FERC ¶ 61,147, reh'g denied, 144 FERC ¶ 61,113 (2013).~~

~~P 54. We [FERC] direct NERC to submit for approval, one or more Reliability Standards that require owners and operators of the Bulk Power System to conduct initial and on-going assessments of the potential impact of benchmark GMD events on Bulk Power System equipment and the Bulk Power System as a whole. The Second Stage GMD Reliability Standard must identify what severity GMD events (i.e., benchmark GMD events) that responsible entities will have to assess for potential impacts on the Bulk Power System. If the assessments identify potential impacts from benchmark GMD events, owners and operators must develop and implement a plan to protect against instability, uncontrolled separation, or cascading failures of the Bulk Power System, caused by damage to critical or vulnerable Bulk Power System equipment, or otherwise, as a result of a benchmark GMD event. Owners and operators of the Bulk Power System cannot limit their plans to considering operational procedures or enhanced training alone, but must, subject to the vulnerabilities identified in the assessments, contain strategies for protecting against the potential impact of the benchmark GMD events based on factors such as the age, condition, technical specifications, system configuration, or location of specific equipment.~~

~~Order No. 830, Reliability Standard for Transmission System Planned Performance for Geomagnetic Disturbance Events, 156 FERC ¶ 61,215 (2016).~~

~~P 44. The Commission approves the reference peak geoelectric field amplitude figure proposed by NERC. In addition, the Commission, as proposed in the NOPR, directs NERC to develop revisions to the benchmark GMD event definition so that the reference peak geoelectric field amplitude component is not based solely on spatially averaged data. The Commission directs NERC to submit this revision within 18 months of the effective date of this Final Rule.~~

~~P 55. The Commission approves the geomagnetic latitude scaling factor in the benchmark GMD event definition.~~

~~P 65. Consistent with [the Commission's] determination above regarding the reference peak geoelectric field amplitude value, the Commission directs NERC to revise Requirement R6 to require registered entities to apply spatially averaged and non-spatially averaged peak geoelectric field values, or some equally efficient and effective alternative, when conducting thermal impact assessments.~~

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~~P-76. The Commission recognizes, as do commenters both supporting and opposing proposed Reliability Standard TPL-007-1, that our collective understanding of the threats posed by GMD is evolving as additional research and analysis are conducted. These ongoing efforts are critical to the nation's long term efforts to protect the grid against a major GMD event. While we approve NERC's proposed Reliability Standard TPL-007-1 and direct certain modifications, as described above, the Commission also concludes that facilitating additional research and analysis is necessary to adequately address these threats. As discussed in the next two sections of this final rule, the Commission directs a three-prong approach to further those efforts by directing NERC to: (1) develop, submit, and implement a GMD research work plan; (2) develop revisions to Reliability Standard TPL-007-1 to require responsible entities to collect GIC monitoring and magnetometer data; and (3) collect GIC monitoring and magnetometer data from registered entities for the period beginning May 2013, including both data existing as of the date of this order and new data going forward, and to make that information available.~~

~~P-88. We conclude that additional collection and disclosure of GIC monitoring and magnetometer data is necessary to improve our collective understanding of the threats posed by GMD events. The Commission therefore adopts the NOPR proposal in relevant part and directs NERC to develop revisions to Reliability Standard TPL-007-1 to require responsible entities to collect GIC monitoring and magnetometer data as necessary to enable model validation and situational awareness, including from any devices that must be added to meet this need.~~

~~P-101. The Commission directs NERC to modify Reliability Standard TPL-007-1 to include a deadline of one year from the completion of the GMD Vulnerability Assessments to complete the development of corrective action plans.~~

~~P-118. The Commission approves the implementation plan submitted by NERC.~~

Will be added in final version.

Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/27/2014 <u>07/18/2017</u>	NERC Compliance, Standards, RSAWTF	New Document.
2	09/10/2014	NERC Compliance, Standards	Revised to address edits made to the Reliability Standard for the first formal comment period.
3	11/04/2014	NERC Compliance, Standards	Revised to address edits made to Reliability Standard for the second formal comment period and industry comments.

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Version	Date	Reviewers	Revision Description
4	5/23/2017	NERC Compliance Assurance, RSAW Task Force	Revised for consistency with the final approved Standard.

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.