

Standard Development Roadmap

This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.

Development Steps Completed:

1. The drafting team placed one standard (COM-001) out for comment regarding the content and formatting of the standards.
2. The drafting team applied what it learned from the comments on COM-001 to the set of standards and posted the set for a 30-day comment period from April 21–May 21, 2006.
3. The drafting team considered the comments on the set of standards and made conforming changes and posted the set for a 45-day posting from July 10 through August 23, 2006.
4. The drafting team considered the comments submitted with the 45-day posting and made minor edits to the standards.

Proposed Action Plan and Description of Current Draft:

This is the pre-ballot review of the set of standards posted for stakeholder review from September 5–October 4, 2006.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Conduct first ballot.	October 5–16, 2006
2. Post response to comments on first ballot.	October 17–19, 2006
3. Conduct second ballot.	October 20–30, 2006
4. Post for 30-day period prior to board adoption.	October 2–31, 2006
5. Board adoption date.	November 1, 2006
6. Implementation.	January 1, 2007.

Provide Missing Measures and Compliance Elements in Existing Standards

Definitions of Terms Used in Standard

This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.

There are no new or revised definitions proposed in this standard revision.

A. Introduction

1. **Title:** **Sabotage Reporting**
2. **Number:** CIP-001-1
3. **Purpose:** Disturbances or unusual occurrences, suspected or determined to be caused by sabotage, shall be reported to the appropriate systems, governmental agencies, and regulatory bodies.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Generator Operators.
 - 4.5. Load Serving Entities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have procedures for the recognition of and for making their operating personnel aware of sabotage events on its facilities and multi-site sabotage affecting larger portions of the Interconnection.
- R2. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have procedures for the communication of information concerning sabotage events to appropriate parties in the Interconnection.
- R3. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall provide its operating personnel with sabotage response guidelines, including personnel to contact, for reporting disturbances due to sabotage events.
- R4. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) officials and develop reporting procedures as appropriate to their circumstances.

C. Measures

- M1. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have and provide upon request a procedure (either electronic or hard copy) ~~as defined in Requirement 1 that will be used to confirm that its operating personnel are made aware of sabotage events on its facilities and multi-site sabotage affecting larger portions of the Interconnection. (Requirement 1)~~
- M2. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have and provide upon request the procedures or guidelines that will be used to confirm that it meets Requirements 2 and 3.

- M3.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have and provide upon request evidence that could include, but is not limited to procedures, policies, a letter of understanding, communication records, or other equivalent evidence that will be used to confirm that it has established communications contacts with the applicable, local FBI or RCMP officials to communicate sabotage events (Requirement 4).

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to verify compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator, Transmission Operator, Generator Operator, Distribution Provider, and Load Serving Entity shall have current, in-force documents available as evidence of compliance as specified in each of the Measures.

If an entity is found non-compliant the entity shall keep information related to the non-compliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance:

2.1. Level 1: There shall be a separate Level 1 non-compliance, for every one of the following requirements that is in violation:

2.1.1 Does not have procedures for the recognition of and for making its operating personnel aware of sabotage events (R1).

2.1.2 Does not have procedures or guidelines for the communication of information concerning sabotage events to appropriate parties in the Interconnection (R2).

2.1.3 Has not established communications contacts, as specified in R4.

2.2. Level 2: Not applicable.

2.3. Level 3: Has not provided its operating personnel with sabotage response procedures or guidelines (R3).

2.4. Level 4: Not applicable.

E. Regional Differences

None indicated.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** **Telecommunications**
2. **Number:** COM-001-1
3. **Purpose:** Each Reliability Coordinator, Transmission Operator and Balancing Authority needs adequate and reliable telecommunications facilities internally and with others for the exchange of Interconnection and operating information necessary to maintain reliability.
4. **Applicability**
 - 4.1. Transmission Operators.
 - 4.2. Balancing Authorities.
 - 4.3. Reliability Coordinators.
 - 4.4. NERCnet User Organizations.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information:
 - R1.1. Internally.
 - R1.2. Between the Reliability Coordinator and its Transmission Operators and Balancing Authorities.
 - R1.3. With other Reliability Coordinators, Transmission Operators, and Balancing Authorities as necessary to maintain reliability.
 - R1.4. Where applicable, these facilities shall be redundant and diversely routed.
- R2. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall manage, alarm, test and/or actively monitor vital telecommunications facilities. Special attention shall be given to emergency telecommunications facilities and equipment not used for routine communications.
- R3. Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate telecommunications among their respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas.
- R4. Unless agreed to otherwise, each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use English as the language for all communications between and among operating personnel responsible for the real-time generation control and operation of the interconnected Bulk Electric System. Transmission Operators and Balancing Authorities may use an alternate language for internal operations.

- R5.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.
- R6.** Each NERCnet User Organization shall adhere to the requirements in Attachment 1-COM-001, “NERCnet Security Policy.”

C. Measures

- M1.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include, but is not limited to communication facility test-procedure documents, records of testing, and maintenance records for communication facilities or equivalent that will be used to confirm that it manages, alarms, tests and/or actively monitors vital telecommunications facilities. (Requirement 2 part 1)
- M2.** The Reliability Coordinator, Transmission Operator or Balancing Authority shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent, that will be used to determine compliance to Requirement 4.
- M3.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request its current operating instructions and procedures, either electronic or hard copy that will be used to confirm that it meets Requirement 5.
- M4.** The NERCnet User Organization shall have and provide upon request evidence that could include, but is not limited to documented procedures, operator logs, voice recordings or transcripts of voice recordings, electronic communications, etc that will be used to determine if it adhered to the (User Accountability and Compliance) requirements in Attachment 1-COM-001. (Requirement 6)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

NERC shall be responsible for compliance monitoring of the Regional Reliability Organizations

Regional Reliability Organizations shall be responsible for compliance monitoring of all other entities

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)

- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 calendar days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

For Measure 1, ~~and Measure 3,~~ each Reliability Coordinator, Transmission Operator, Balancing Authority shall keep evidence of compliance for the previous two calendar years plus the current year.

For Measure 2 each Reliability Coordinator, Transmission Operator, and Balancing Authority shall keep 90 days of historical data (evidence).

For Measure 3, each Reliability Coordinator, Transmission Operator, Balancing Authority shall have its current operating instructions and procedures to confirm that it meets Requirement 5.

For Measure 4, each Reliability Coordinator, Transmission Operator, Balancing Authority and NERCnet User Organization shall keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor.

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

Attachment 1-COM-001— NERCnet Security Policy

2. Levels of Non-Compliance for Transmission Operator, Balancing Authority or Reliability Coordinator

2.1. **Level 1:** Not applicable.

2.2. **Level 2:** Not applicable.

2.3. **Level 3:** There shall be a separate Level 3 non-compliance, for every one of the following requirements that is in violation:

2.3.1 The Transmission Operator, Balancing Authority or Reliability Coordinator used a language other than English without agreement as specified in R4.

2.3.2 There are no written operating instructions and procedures to enable continued operation of the system during the loss of telecommunication facilities as specified in R5.

2.4. Level 4: Telecommunication systems are not actively monitored, tested, managed or alarmed as specified in R2.

3. Levels of Non-Compliance — NERCnet User Organization

3.1. Level 1: Not applicable.

3.2. Level 2: Not applicable.

3.3. Level 3: Not applicable.

3.4. Level 4: Did not adhere to the requirements in Attachment 1-COM-001, NERCnet Security Policy.

E. Regional Differences

None Identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 2
0	July 10, 2006	Draft for 45-day posting	Revision 2

Attachment 1-COM-001— NERCnet Security Policy

Policy Statement

The purpose of this NERCnet Security Policy is to establish responsibilities and minimum requirements for the protection of information assets, computer systems and facilities of NERC and other users of the NERC frame relay network known as “NERCnet.” The goal of this policy is to prevent misuse and loss of assets.

For the purpose of this document, information assets shall be defined as processed or unprocessed data using the NERCnet Telecommunications Facilities including network documentation. This policy shall also apply as appropriate to employees and agents of other corporations or organizations that may be directly or indirectly granted access to information associated with NERCnet.

The objectives of the NERCnet Security Policy are:

- To ensure that NERCnet information assets are adequately protected on a cost-effective basis and to a level that allows NERC to fulfill its mission.
- To establish connectivity guidelines for a minimum level of security for the network.
- To provide a mandate to all Users of NERCnet to properly handle and protect the information that they have access to in order for NERC to be able to properly conduct its business and provide services to its customers.

NERC’s Security Mission Statement

NERC recognizes its dependency on data, information, and the computer systems used to facilitate effective operation of its business and fulfillment of its mission. NERC also recognizes the value of the information maintained and provided to its members and others authorized to have access to NERCnet. It is, therefore, essential that this data, information, and computer systems, and the manual and technical infrastructure that supports it, are secure from destruction, corruption, unauthorized access, and accidental or deliberate breach of confidentiality.

Implementation and Responsibilities

This section identifies the various roles and responsibilities related to the protection of NERCnet resources.

NERCnet User Organizations

Users of NERCnet who have received authorization from NERC to access the NERC network are considered users of NERCnet resources. To be granted access, users shall complete a User Application Form and submit this form to the NERC Telecommunications Manager.

Responsibilities

It is the responsibility of NERCnet User Organizations to:

- Use NERCnet facilities for NERC-authorized business purposes only.
- Comply with the NERCnet security policies, standards, and guidelines, as well as any procedures specified by the data owner.

- Prevent unauthorized disclosure of the data.
- Report security exposures, misuse, or non-compliance situations via Reliability Coordinator Information System or the NERC Telecommunications Manager.
- Protect the confidentiality of all user IDs and passwords.
- Maintain the data they own.
- Maintain documentation identifying the users who are granted access to NERCnet data or applications.
- Authorize users within their organizations to access NERCnet data and applications.
- Advise staff on NERCnet Security Policy.
- Ensure that all NERCnet users understand their obligation to protect these assets.
- Conduct self-assessments for compliance.

User Accountability and Compliance

All users of NERCnet shall be familiar and ensure compliance with the policies in this document.

Violations of the NERCnet Security Policy shall include, but not be limited to any act that:

- Exposes NERC or any user of NERCnet to actual or potential monetary loss through the compromise of data security or damage.
- Involves the disclosure of trade secrets, intellectual property, confidential information or the unauthorized use of data.

Involves the use of data for illicit purposes, which may include violation of any law, regulation or reporting requirement of any law enforcement or government body.

A. Introduction

1. **Title:** **Communication and Coordination**
2. **Number:** COM-002-2
3. **Purpose:** To ensure Balancing Authorities, Transmission Operators, and Generator Operators have adequate communications and that these communications capabilities are staffed and available for addressing a real-time emergency condition. To ensure communications by operating personnel are effective.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Generator Operators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Transmission Operator, Balancing Authority, and Generator Operator shall have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. Such communications shall be staffed and available for addressing a real-time emergency condition.
 - R1.1. Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding is anticipated.
- R2. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall issue directives in a clear, concise, and definitive manner; shall ensure the recipient of the directive repeats the information back correctly; and shall acknowledge the response as correct or repeat the original statement to resolve any misunderstandings.

C. Measures

- M1. Each Transmission Operator, Balancing Authority and Generator Operator shall have communication facilities (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators and shall have and provide as evidence, a list of communication facilities or other equivalent evidence that confirms that the communications have been provided to address a real-time emergency condition. (Requirement 1, part 1)
- M2. The Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it notified its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators of a

condition that could threaten the reliability of its area or when firm load shedding was anticipated. (Requirement 1.1)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Balancing Authority, Transmission Operator and Generator Operator shall keep evidence of compliance for the previous two calendar years plus the current year. (Measure 1)

Each Balancing Authority and Transmission Operator shall keep 90 days of historical data. (Measure 2).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor.

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Transmission Operator and Balancing Authority:

- 2.1. **Level 1:** Not applicable.
- 2.2. **Level 2:** Not applicable.
- 2.3. **Level 3:** Not applicable.
- 2.4. **Level 4:** Communication did not occur as specified in R1.1.
- 3. **Levels of Non-Compliance for Generator Operator:**
 - 3.1. **Level 1:** Not applicable.
 - 3.2. **Level 2:** Not applicable.
 - 3.3. **Level 3:** Not applicable.
 - 3.4. **Level 4:** Communication facilities are not provided to address a real-time emergency condition as specified in R1.

E. Regional Differences

None Identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
0	April 17, 2006	Draft for 30-day posting	Revision 2
0	July 10, 2006	Draft for 45-day posting	Revision 2

A. Introduction

1. **Title:** Capacity and Energy Emergencies
2. **Number:** EOP-002-2
3. **Purpose:** To ensure Reliability Coordinators and Balancing Authorities are prepared for Capacity and Energy Emergencies.
4. **Applicability:**
 - 4.1. Balancing Authorities.
 - 4.2. Reliability Coordinators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1.** Each Balancing Authority and Reliability Coordinator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its respective area and shall exercise specific authority to alleviate Capacity and Energy Emergencies.
- R2.** Each Balancing Authority and Reliability Coordinator shall implement its Capacity and Energy Emergency plan, when required and as appropriate, to reduce risks to the interconnected system.
- R3.** A Balancing Authority that is experiencing an operating Capacity or Energy Emergency shall communicate its current and future system conditions to its Reliability Coordinator and neighboring Balancing Authorities.
- R4.** A Balancing Authority anticipating an operating Capacity or Energy Emergency shall perform all actions necessary including bringing on all available generation, postponing equipment maintenance, scheduling interchange purchases in advance, and being prepared to reduce firm load.
- R5.** A deficient Balancing Authority shall only use the assistance provided by the Interconnection's Frequency Bias for the time needed to implement corrective actions. The Balancing Authority shall not unilaterally adjust generation in an attempt to return Interconnection frequency to normal beyond that supplied through Frequency Bias action and Interchange Schedule changes. Such unilateral adjustment may overload transmission facilities.
- R6.** If the Balancing Authority cannot comply with the Control Performance and Disturbance Control Standards, then it shall immediately implement remedies to do so. These remedies include, but are not limited to:
 - R6.1.** Loading all available generating capacity.
 - R6.2.** Deploying all available operating reserve.
 - R6.3.** Interrupting interruptible load and exports.
 - R6.4.** Requesting emergency assistance from other Balancing Authorities.
 - R6.5.** Declaring an Energy Emergency through its Reliability Coordinator; and

- R6.6.** Reducing load, through procedures such as public appeals, voltage reductions, curtailing interruptible loads and firm loads.
- R7.** Once the Balancing Authority has exhausted the steps listed in Requirement 6, or if these steps cannot be completed in sufficient time to resolve the emergency condition, the Balancing Authority shall:
- R7.1.** Manually shed firm load without delay to return its ACE to zero; and
- R7.2.** Request the Reliability Coordinator to declare an Energy Emergency Alert in accordance with Attachment 1-EOP-002 “Energy Emergency Alert Levels.”
- R8.** A Reliability Coordinator that has any Balancing Authority within its Reliability Coordinator area experiencing a potential or actual Energy Emergency shall initiate an Energy Emergency Alert as detailed in Attachment 1-EOP-002 “Energy Emergency Alert Levels.” The Reliability Coordinator shall act to mitigate the emergency condition, including a request for emergency assistance if required.
- R9.** When a Transmission Service Provider expects to elevate the transmission service priority of an Interchange Transaction from Priority 6 (Network Integration Transmission Service from Non-designated Resources) to Priority 7 (Network Integration Transmission Service from designated Network Resources) as permitted in its transmission tariff (See Attachment 1-IRO-006 “Transmission Loading Relief Procedure” for explanation of Transmission Service Priorities.):
- R9.1.** The deficient Load-Serving Entity shall request its Reliability Coordinator to initiate an Energy Emergency Alert in accordance with Attachment 1-EOP-002.
- R9.2.** The Reliability Coordinator shall submit the report to NERC for posting on the NERC Website, noting the expected total MW that may have its transmission service priority changed.
- R9.3.** The Reliability Coordinator shall use EEA 1 to forecast the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to Priority 7.
- R9.4.** The Reliability Coordinator shall use EEA 2 to announce the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to Priority 7.

C. Measures

- M1.** Each Reliability Coordinator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, job descriptions, signed agreements, authority letter signed by an appropriate officer of the company, or other equivalent evidence that will be used to confirm that it meets Requirement 1.
- M2.** If a Reliability Coordinator or Balancing Authority implements its Capacity and Energy Emergency plan, that entity shall have and provide upon request evidence that could include but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts or other equivalent evidence that will be used to determine if the actions it took to relieve emergency

conditions were ~~acceptable and~~ in conformance with its Capacity and Energy Emergency Plan. (Requirement 2)

- M3.** If a Balancing Authority experiences an operating Capacity or Energy Emergency it shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it met Requirement 3.
- M4.** If a Reliability Coordinator has any Balancing Authority within its Reliability Coordinator Area that has ~~been~~ notified the Reliability Coordinator of a potential or actual Energy Emergency, the Reliability Coordinator involved in the event shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence to determine if it initiated an Energy Emergency Alert as specified in Requirement 8 and as detailed in Attachment 1-EOP-002 Energy Emergency Alert Levels.
- M5.** If a Transmission Service Provider expects to elevate the transmission service priority of an Interchange Transaction from Priority 6 (Network Integration Transmission Service from Non-designated Resources) to Priority 7 (Network Integration Transmission Service from designated Network Resources), the Reliability Coordinator involved in the event shall have and provide upon request evidence that could include, but is not limited to, NERC reports, EEA reports, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if that Reliability Coordinator met Requirements 9.2, 9.3 and 9.4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

For Measure 1, each Reliability Coordinator and Balancing Authority shall keep The current in-force documents.

For Measure 2, 4 and 5 the Reliability Coordinator shall keep 90 days of historical data.

For Measure 3 the Balancing Authority shall keep 90 days of historical data.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor.

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Reliability Coordinator:

2.1. **Level 1:** Did not submit the report to NERC as required in R9.2.

2.2. **Level 2:** Not applicable.

2.3. **Level 3:** Not applicable.

2.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 One or more of the actions of the Capacity and Energy Emergency Plans were not implemented as appropriate. (R2)

2.4.2 There is no evidence an Emergency Alert was issued as specified in R8

2.4.3 Failed to comply with R9.3 or R9.4

2.4.4 Did not provide evidence that it has the responsibility and clear decision-making authority in accordance with R1.

3. Levels of Non-Compliance for a Balancing Authority:

3.1. **Level 1:** Not applicable.

3.2. **Level 2:** Did not provide evidence that it has the responsibility and clear decision-making authority in accordance with R1.

3.3. **Level 3:** ~~There shall be a separate Level 3 non-compliance, for every one of the following requirements that is in violation:~~Not applicable.

3.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

3.4.1 Failed to communicate its current and future system conditions to its Reliability Coordinator and neighboring Balancing Authorities when in an operating Capacity or Energy Emergency (R3).

3.4.2 One or more of the actions of the Capacity and Energy Emergency Plans were not implemented as appropriate (R2).

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	DATE??	Requirement 4 Deleted (When?)	
0	April 17, 2006	Draft for 30-day posting	Revision 2
0	July 10, 2006	Draft for 45-day posting	Revision 2

Attachment 1-EOP-002

Energy Emergency Alerts

Introduction

This Attachment provides the procedures by which a Load Serving Entity can obtain capacity and energy when it has exhausted all other options and can no longer provide its customers' expected energy requirements. NERC defines this situation as an "Energy Emergency." NERC assumes that a capacity deficiency will manifest itself as an energy emergency.

The Energy Emergency Alert Procedure is initiated by the Load Serving Entity's Reliability Coordinator, who declares various Energy Emergency Alert levels as defined in Section B, "Energy Emergency Alert Levels," to provide assistance to the Load Serving Entity.

The Load Serving Entity who requests this assistance is referred to as an "Energy Deficient Entity."

NERC recognizes that Transmission Providers are subject to obligations under FERC-approved tariffs and other agreements, and nothing in these procedures should be interpreted as changing those obligations.

A. General Requirements

1. Initiation by Reliability Coordinator. An Energy Emergency Alert may be initiated only by a Reliability Coordinator at 1) the Reliability Coordinator's own request, or 2) upon the request of a Balancing Authority, or 3) upon the request of a Load Serving Entity.

1.1. Situations for initiating alert. An Energy Emergency Alert may be initiated for the following reasons:

- When the Load Serving Entity is, or expects to be, unable to provide its customers' energy requirements, and has been unsuccessful in locating other systems with available resources from which to purchase, or
- The Load Serving Entity cannot schedule the resources due to, for example, Available Transfer Capability (ATC) limitations or transmission loading relief limitations.

2. Notification. A Reliability Coordinator who declares an Energy Emergency Alert shall notify all Balancing Authorities and Transmission Providers in its Reliability Area. The Reliability Coordinator shall also notify all other Reliability Coordinators of the situation via the Reliability Coordinator Information System (RCIS). Additionally, conference calls between Reliability Coordinators shall be held as necessary to communicate system conditions. The Reliability Coordinator shall also notify the other Reliability Coordinators when the alert has ended.

B. Energy Emergency Alert Levels

Introduction

To ensure that all Reliability Coordinators clearly understand potential and actual energy emergencies in the Interconnection, NERC has established three levels of Energy Emergency Alerts. The Reliability Coordinators will use these terms when explaining energy emergencies to each other. An Energy Emergency Alert is an emergency procedure, not a daily operating practice, and is not intended as an alternative to compliance with NERC reliability standards or power supply contracts.

The Reliability Coordinator may declare whatever alert level is necessary, and need not proceed through the alerts sequentially.

1. Alert 1 — All available resources in use.

Circumstances:

- Balancing Authority, Reserve Sharing Group, or Load Serving Entity foresees or is experiencing conditions where all available resources are committed to meet firm load, firm transactions, and reserve commitments, and is concerned about sustaining its required Operating Reserves, and
- Non-firm wholesale energy sales (other than those that are recallable to meet reserve requirements) have been curtailed.

2. Alert 2 — Load management procedures in effect.

Circumstances:

- Balancing Authority, Reserve Sharing Group, or Load Serving Entity is no longer able to provide its customers' expected energy requirements, and is designated an Energy Deficient Entity.
- Energy Deficient Entity foresees or has implemented procedures up to, but excluding, interruption of firm load commitments. When time permits, these procedures may include, but are not limited to:
 - Public appeals to reduce demand.
 - Voltage reduction.
 - Interruption of non-firm end use loads in accordance with applicable contracts¹.
 - Demand-side management.
 - Utility load conservation measures.

During Alert 2, Reliability Coordinators, Balancing Authorities, and Energy Deficient Entities have the following responsibilities:

¹ For emergency, not economic, reasons.

- 2.1 Notifying other Balancing Authorities and market participants.** The Energy Deficient Entity shall communicate its needs to other Balancing Authorities and market participants. Upon request from the Energy Deficient Entity, the respective Reliability Coordinator shall post the declaration of the alert level along with the name of the Energy Deficient Entity and, if applicable, its Balancing Authority on the NERC website.
- 2.2 Declaration period.** The Energy Deficient Entity shall update its Reliability Coordinator of the situation at a minimum of every hour until the Alert 2 is terminated. The Reliability Coordinator shall update the energy deficiency information posted on the NERC website as changes occur and pass this information on to the affected Reliability Coordinators, Balancing Authority, and Transmission Providers.
- 2.3 Sharing information on resource availability.** A Balancing Authority and market participants with available resources shall immediately contact the Energy Deficient Entity. This should include the possibility of selling non-firm (recallable) energy out of available Operating Reserves. The Energy Deficient Entity shall notify the Reliability Coordinators of the results.
- 2.4 Evaluating and mitigating transmission limitations.** The Reliability Coordinators shall review all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs) and transmission loading relief procedures in effect that may limit the Energy Deficient Entity's scheduling capabilities. Where appropriate, the Reliability Coordinators shall inform the Transmission Providers under their purview of the pending Energy Emergency and request that they increase their ATC by actions such as restoring transmission elements that are out of service, reconfiguring their transmission system, adjusting phase angle regulator tap positions, implementing emergency operating procedures, and reviewing generation redispatch options.
- 2.4.1 Notification of ATC adjustments.** Resulting increases in ATCs shall be simultaneously communicated to the Energy Deficient Entity and the market via posting on the appropriate OASIS websites by the Transmission Providers.
- 2.4.2 Availability of generation redispatch options.** Available generation redispatch options shall be immediately communicated to the Energy Deficient Entity by its Reliability Coordinator.
- 2.4.3 Evaluating impact of current transmission loading relief events.** The Reliability Coordinators shall evaluate the impact of any current transmission loading relief events on the ability to supply emergency assistance to the Energy Deficient Entity. This evaluation shall include analysis of system reliability and involve close communication among Reliability Coordinators and the Energy Deficient Entity.
- 2.4.4 Initiating inquiries on reevaluating SOLs and IROLs.** The Reliability Coordinators shall consult with the Balancing Authorities and Transmission

Providers in their Reliability Areas about the possibility of reevaluating and revising SOLs or IROLs.

2.5 Coordination of emergency responses. The Reliability Coordinator shall communicate and coordinate the implementation of emergency operating responses.

2.6 Energy Deficient Entity actions. Before declaring an Alert 3, the Energy Deficient Entity must make use of all available resources. This includes but is not limited to:

2.6.1 All available generation units are on line. All generation capable of being on line in the time frame of the emergency is on line including quick-start and peaking units, regardless of cost.

2.6.2 Purchases made regardless of cost. All firm and non-firm purchases have been made, regardless of cost.

2.6.3 Non-firm sales recalled and contractually interruptible loads and demand-side management curtailed. All non-firm sales have been recalled, contractually interruptible retail loads curtailed, and demand-side management activated within provisions of the agreements.

2.6.4 Operating Reserves. Operating reserves are being utilized such that the Energy Deficient Entity is carrying reserves below the required minimum or has initiated emergency assistance through its operating reserve sharing program.

3. Alert 3 — Firm load interruption imminent or in progress.

Circumstances:

- Balancing Authority or Load Serving Entity foresees or has implemented firm load obligation interruption. The available energy to the Energy Deficient Entity, as determined from Alert 2, is only accessible with actions taken to increase transmission transfer capabilities.

3.1 Continue actions from Alert 2. The Reliability Coordinators and the Energy Deficient Entity shall continue to take all actions initiated during Alert 2. If the emergency has not already been posted on the NERC website (see paragraph 2.1), the respective Reliability Coordinators will, at this time, post on the website information concerning the emergency.

3.2 Declaration Period. The Energy Deficient Entity shall update its Reliability Coordinator of the situation at a minimum of every hour until the Alert 3 is terminated. The Reliability Coordinator shall update the energy deficiency information posted on the NERC website as changes occur and pass this information on to the affected Reliability Coordinators (via the RCIS), Balancing Authorities, and Transmission Providers.

3.3 Use of Transmission short-time limits. The Reliability Coordinators shall request the appropriate Transmission Providers within their Reliability Area to utilize available

short-time transmission limits or other emergency operating procedures in order to increase transfer capabilities into the Energy Deficient Entity.

3.4 Reevaluating and revising SOLs and IROLs. The Reliability Coordinator of the Energy Deficient Entity shall evaluate the risks of revising SOLs and IROLs on the reliability of the overall transmission system. Reevaluation of SOLs and IROLs shall be coordinated with other Reliability Coordinators and only with the agreement of the Balancing Authority or Transmission Operator whose equipment would be affected. The resulting increases in transfer capabilities shall only be made available to the Energy Deficient Entity who has requested an Energy Emergency Alert 3 condition. SOLs and IROLs shall only be revised as long as an Alert 3 condition exists or as allowed by the Balancing Authority or Transmission Operator whose equipment is at risk. The following are minimum requirements that must be met before SOLs or IROLs are revised:

3.4.1 Energy Deficient Entity obligations. The deficient Balancing Authority or Load Serving Entity must agree that, upon notification from its Reliability Coordinator of the situation, it will immediately take whatever actions are necessary to mitigate any undue risk to the Interconnection. These actions may include load shedding.

3.4.2 Mitigation of cascading failures. The Reliability Coordinator shall use its best efforts to ensure that revising SOLs or IROLs would not result in any cascading failures within the Interconnection.

3.5 Returning to pre-emergency Operating Security Limits. Whenever energy is made available to an Energy Deficient Entity such that the transmission systems can be returned to their pre-emergency SOLs or IROLs, the Energy Deficient Entity shall notify its respective Reliability Coordinator and downgrade the alert.

3.5.1 Notification of other parties. Upon notification from the Energy Deficient Entity that an alert has been downgraded, the Reliability Coordinator shall notify the affected Reliability Coordinators (via the RCIS), Balancing Authorities, and Transmission Providers that their systems can be returned to their normal limits.

3.6 Reporting. Any time an Alert 3 is declared, the Energy Deficient Entity shall submit the report enclosed in this Attachment to its respective Reliability Coordinator within two business days of downgrading or termination of the alert. Upon receiving the report, the Reliability Coordinator shall review it for completeness and immediately forward it to the NERC staff for posting on the NERC website. The Reliability Coordinator shall present this report to the Reliability Coordinator Working Group at its next scheduled meeting.

4. Alert 0 - Termination. When the Energy Deficient Entity believes it will be able to supply its customers' energy requirements, it shall request of its Reliability Coordinator that the EEA be terminated.

- 4.1. Notification.** The Reliability Coordinator shall notify all other Reliability Coordinators via the RCIS of the termination. The Reliability Coordinator shall also notify the affected Balancing Authorities and Transmission Operators. The Alert 0 shall also be posted on the NERC website if the original alert was so posted.

C. Energy Emergency Alert 3 Report

A Deficient Balancing Authority or Load Serving Entity declaring an Energy Emergency Alert 3 must complete the following report. Upon completion of this report, it is to be sent to the Reliability Coordinator for review within two business days of the incident.

Requesting Balancing Authority:

Entity experiencing energy deficiency (if different from Balancing Authority):

Date/Time Implemented:

Date/Time Released:

Declared Deficiency Amount (MW):

Total energy supplied by other Balancing Authority during the Alert 3 period:

Conditions that precipitated call for “Energy Deficiency Alert 3”:

If “Energy Deficiency Alert 3” had not been called, would firm load be cut? If no, explain:

Explain what action was taken in each step to avoid calling for “Energy Deficiency Alert 3”:

1. All generation capable of being on line in the time frame of the energy deficiency was on line (including quick start and peaking units) without regard to cost.
-
-
-

2. All firm and nonfirm purchases were made regardless of cost.
-
-
-

3. All nonfirm sales were recalled within provisions of the sale agreement.
-
-
-

4. Interruptible load was curtailed where either advance notice restrictions were met or the interruptible load was considered part of spinning reserve.
-
-
-

5. Available load reduction programs were exercised (public appeals, voltage reductions, etc.).
-
-
-

6. Operating Reserves being utilized.

Comments:

Reported By:

Organization:

Title:

A. Introduction

1. **Title:** Load Shedding Plans
2. **Number:** EOP-003-1
3. **Purpose:** A Balancing Authority and Transmission Operator operating with insufficient generation or transmission capacity must have the capability and authority to shed load rather than risk an uncontrolled failure of the Interconnection.
4. **Applicability**
 - 4.1. Transmission Operators.
 - 4.2. Balancing Authorities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. After taking all other remedial steps, a Transmission Operator or Balancing Authority operating with insufficient generation or transmission capacity shall shed customer load rather than risk an uncontrolled failure of components or cascading outages of the Interconnection.
- R2. Each Transmission Operator and Balancing Authority shall establish plans for automatic load shedding for underfrequency or undervoltage conditions.
- R3. Each Transmission Operator and Balancing Authority shall coordinate load-shedding plans among other interconnected Transmission Operators and Balancing Authorities.
- R4. A Transmission Operator or Balancing Authority shall consider one or more of these factors in designing an automatic load shedding scheme: frequency, rate of frequency decay, voltage level, rate of voltage decay, or power flow levels.
- R5. A Transmission Operator or Balancing Authority shall implement load shedding in steps established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.
- R6. After a Transmission Operator or Balancing Authority Area separates from the Interconnection, if there is insufficient generating capacity to restore system frequency following automatic underfrequency load shedding, the Transmission Operator or Balancing Authority shall shed additional load.
- R7. The Transmission Operator and Balancing Authority shall coordinate automatic load shedding throughout their areas with underfrequency isolation of generating units, tripping of shunt capacitors, and other automatic actions that will occur under abnormal frequency, voltage, or power flow conditions.
- R8. Each Transmission Operator or Balancing Authority shall have plans for operator-controlled manual load shedding to respond to real-time emergencies. The Transmission Operator or Balancing Authority shall be capable of implementing the load shedding in a timeframe adequate for responding to the emergency.

C. Measures

- M1. Each Transmission Operator and Balancing Authority that has or directs the deployment of undervoltage and/or underfrequency load shedding facilities, shall have and provide upon request, its automatic load shedding plans.(Requirement 2)
- M2. Each Transmission Operator and Balancing Authority shall have and provide upon request its manual load shedding plans that will be used to confirm that it meets Requirement 8. (Part 1)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Additional Reporting Requirement

No additional reporting required.

1.4. Data Retention

Each Balancing Authority and Transmission Operator shall have its current, in-force load shedding plans.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.5. Additional Compliance Information

None.

2. Levels of Non-Compliance:

2.1. Level 1: Not applicable.

2.2. Level 2: Not applicable.

2.3. Level 3: Not Applicable.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Does not have an automatic load shedding plan as specified in R2.

2.4.2 Does not have manual load shedding plans as specified in R8.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** **Disturbance Reporting**
2. **Number:** EOP-004-~~2~~1
3. **Purpose:** Disturbances or unusual occurrences that jeopardize the operation of the Bulk Electric System, or result in system equipment damage or customer interruptions, need to be studied and understood to minimize the likelihood of similar events in the future.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Generator Operators.
 - 4.5. Load Serving Entities.
 - 4.6. Regional Reliability Organizations.
5. **(Proposed) Effective Date:** January 1, 2007

The starting point for the addition of measures and compliance elements is EOP-004-1, which is the version of this standard that is being balloted in July 2006.

Modified to use EOP-004-0 as the 'starting point' for the measures. EOP-004-1 was withdrawn after it failed to achieve a quorum when balloted.

B. Requirements

- R1. Each Regional Reliability Organization shall establish and maintain a Regional reporting procedure to facilitate preparation of preliminary and final disturbance reports.
- R2. A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load Serving Entity shall promptly analyze Bulk Electric System disturbances on its system or facilities.
- R3. A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load Serving Entity experiencing a reportable incident shall provide a preliminary written report to its Regional Reliability Organization and NERC.
 - R3.1. The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load Serving Entity shall submit within 24 hours of the disturbance or unusual occurrence either a copy of the report submitted to DOE, or, if no DOE report is required, a copy of the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report form. Events that are not identified until some time after they occur shall be reported within 24 hours of being recognized.
 - R3.2. Applicable reporting forms are provided in Attachments 1-EOP-004 and 2-EOP-004.
 - R3.3. Under certain adverse conditions, e.g., severe weather, it may not be possible to assess the damage caused by a disturbance and issue a written Interconnection Reliability Operating Limit and Preliminary Disturbance Report within 24 hours. In such cases, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load Serving Entity shall promptly notify its Regional Reliability Organization(s)

and NERC, and verbally provide as much information as is available at that time. The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load Serving Entity shall then provide timely, periodic verbal updates until adequate information is available to issue a written Preliminary Disturbance Report.

- R3.4.** If, in the judgment of the Regional Reliability Organization, after consultation with the Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load Serving Entity in which a disturbance occurred, a final report is required, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load Serving Entity shall prepare this report within 60 days. As a minimum, the final report shall have a discussion of the events and its cause, the conclusions reached, and recommendations to prevent recurrence of this type of event. The report shall be subject to Regional Reliability Organization approval.
- R4.** When a Bulk Electric System disturbance occurs, the Regional Reliability Organization shall make its representatives on the NERC Operating Committee and Disturbance Analysis Working Group available to the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load Serving Entity immediately affected by the disturbance for the purpose of providing any needed assistance in the investigation and to assist in the preparation of a final report.
- R5.** The Regional Reliability Organization shall track and review the status of all final report recommendations at least twice each year to ensure they are being acted upon in a timely manner. If any recommendation has not been acted on within two years, or if Regional Reliability Organization tracking and review indicates at any time that any recommendation is not being acted on with sufficient diligence, the Regional Reliability Organization shall notify the NERC Planning Committee and Operating Committee of the status of the recommendation(s) and the steps the Regional Reliability Organization has taken to accelerate implementation.

C. Measures

- M1.** The Regional Reliability Organization shall have and provide upon request as evidence, its current regional reporting procedure that is used to facilitate preparation of preliminary and final disturbance reports. (Requirement 1)
- M2.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity that has a reportable incident shall have and provide upon request evidence that could include, but is not limited to, the preliminary report, computer printouts, operator logs, or other equivalent evidence that will be used to confirm that it prepared and delivered the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Reports to NERC within 24 hours of its recognition as specified in Requirement 3.1.
- M3.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and/or Load Serving Entity that has a reportable incident shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that it provided information verbally

as time permitted, when system conditions precluded the preparation of a report in 24 hours. (Requirement 3.3)

- M4.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and/or Load Serving Entity that has a reportable incident shall provide evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that it prepared the final report within 60 days. (Requirement 3.4)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

NERC shall be responsible for compliance monitoring of the Regional Reliability Organizations.

Regional Reliability Organizations shall be responsible for compliance monitoring of Reliability Coordinators, Balancing Authorities, Transmission Operators, Generator Operators, and Load-serving Entities.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Regional Reliability Organization shall have its current, in-force, regional reporting procedure as evidence of compliance. (Measure 1)

Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and/or Load Serving Entity that is either involved in a Bulk Electric System disturbance or has a reportable incident shall keep data related to the incident for a year from the event or for the duration of any regional investigation, whichever is longer. (Measures 2 through 4)

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

See Attachments:

- EOP-004 Disturbance Reporting Form
- Table 1 EOP-004

2. Levels of Non-Compliance for a Regional Reliability Organization

2.1. Level 1: Not applicable.

2.2. Level 2: Not applicable.

2.3. Level 3: Not applicable.

2.4. Level 4: No current procedure to facilitate preparation of preliminary and final disturbance reports as specified in R1.

3. Levels of Non-Compliance for a Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load- Serving Entity:

3.1. Level 1: There shall be a level one non-compliance if any of the following conditions exist:

3.1.1 Failed to prepare and deliver the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Reports to NERC within 24 hours of its recognition as specified in Requirement 3.1

3.1.2 Failed to provide disturbance information verbally as time permitted, when system conditions precluded the preparation of a report in 24 hours as specified in R3.3

3.1.3 Failed to prepare a final report within 60 days as specified in R3.4

3.2. Level 2: Not applicable.

3.3. Level 3: Not applicable

3.4. Level 4: Not applicable.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	May 23, 2005	Fixed reference to attachments 1-EOP-004-0 and 2-EOP-004-0, Changed chart title 1-FAC-004-0 to 1-EOP-004-0,	Errata

Standard EOP-004-~~2-1~~— Disturbance Reporting

		Fixed title of Table 1 to read 1-EOP-004-0, and fixed font.	
0	July 6, 2005	Fixed email in Attachment 1-EOP-004-0 from info@nerc.com to esisac@nerc.com .	Errata
0	July 26, 2005	Fixed Header on page 8 to read EOP-004-0	Errata
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1		Removed DOE OE-417 (fmr EIA-417)	
0	July 10, 2006	Draft for 45-day posting	Revision 1

Attachment 1-EOP-004 NERC Disturbance Report Form

Introduction

These disturbance reporting requirements apply to all Reliability Coordinators, Balancing Authorities, Transmission Operators, Generator Operators, and Load Serving Entities, and provide a common basis for all NERC disturbance reporting. The entity on whose system a reportable disturbance occurs shall notify NERC and its Regional Reliability Organization of the disturbance using the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report forms. Reports can be sent to NERC via email (esisac@nerc.com) by facsimile (609-452-9550) using the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report forms. If a disturbance is to be reported to the U.S. Department of Energy also, the responding entity may use the DOE reporting form when reporting to NERC. Note: All Electric Emergency Incident and Disturbance Reports sent to DOE shall be simultaneously sent to NERC, preferably electronically at esisac@nerc.com.

The NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Reports are to be made for any of the following events:

1. The loss of a bulk power transmission component that significantly affects the integrity of interconnected system operations. Generally, a disturbance report will be required if the event results in actions such as:
 - a. Modification of operating procedures.
 - b. Modification of equipment (e.g. control systems or special protection systems) to prevent reoccurrence of the event.
 - c. Identification of valuable lessons learned.
 - d. Identification of non-compliance with NERC standards or policies.
 - e. Identification of a disturbance that is beyond recognized criteria, i.e. three-phase fault with breaker failure, etc.
 - f. Frequency or voltage going below the under-frequency or under-voltage load shed points.
2. The occurrence of an interconnected system separation or system islanding or both.
3. Loss of generation by a Generator Operator, Balancing Authority, or Load-Serving Entity — 2,000 MW or more in the Eastern Interconnection or Western Interconnection and 1,000 MW or more in the ERCOT Interconnection.
4. Equipment failures/system operational actions which result in the loss of firm system demands for more than 15 minutes, as described below:
 - a. Entities with a previous year recorded peak demand of more than 3,000 MW are required to report all such losses of firm demands totaling more than 300 MW.
 - b. All other entities are required to report all such losses of firm demands totaling more than 200 MW or 50% of the total customers being supplied immediately prior to the incident, whichever is less.
5. Firm load shedding of 100 MW or more to maintain the continuity of the bulk electric system.

6. Any action taken by a Generator Operator, Transmission Operator, Balancing Authority, or Load-Serving Entity that results in:
 - a. Sustained voltage excursions equal to or greater than $\pm 10\%$, or
 - b. Major damage to power system components, or
 - c. Failure, degradation, or misoperation of system protection, special protection schemes, remedial action schemes, or other operating systems that do not require operator intervention, which did result in, or could have resulted in, a system disturbance as defined by steps 1 through 5 above.
7. An Interconnection Reliability Operating Limit (IROL) violation as required in reliability standard TOP-007.
8. Any event that the Operating Committee requests to be submitted to Disturbance Analysis Working Group (DAWG) for review because of the nature of the disturbance and the insight and lessons the electricity supply and delivery industry could learn.

NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report

Check here if this is an Interconnection Reliability Operating Limit (IROL) violation report.

1.	Organization filing report.									
2.	Name of person filing report.									
3.	Telephone number.									
4.	Date and time of disturbance. Date:(mm/dd/yy) Time/Zone:									
5.	Did the disturbance originate in your system?	Yes <input type="checkbox"/> No <input type="checkbox"/>								
6.	Describe disturbance including: cause, equipment damage, critical services interrupted, system separation, key scheduled and actual flows prior to disturbance and in the case of a disturbance involving a special protection or remedial action scheme, what action is being taken to prevent recurrence.									
7.	Generation tripped. MW Total List generation tripped									
8.	Frequency. Just prior to disturbance (Hz): Immediately after disturbance (Hz max.): Immediately after disturbance (Hz min.):									
9.	List transmission lines tripped (specify voltage level of each line).									
10.	Demand tripped (MW): Number of affected Customers: Demand lost (MW-Minutes):	<table border="1"> <tr> <td>FIRM</td> <td>INTERRUPTIBLE</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	FIRM	INTERRUPTIBLE						
FIRM	INTERRUPTIBLE									

Standard EOP-004-~~2-1~~— Disturbance Reporting

11.	Restoration time.	INITIAL	FINAL
	Transmission:		
	Generation:		
	Demand:		

Attachment 2-EOP-004
U.S. Department of Energy Disturbance Reporting Requirements

Introduction

The U.S. Department of Energy (DOE), under its relevant authorities, has established mandatory reporting requirements for electric emergency incidents and disturbances in the United States. DOE collects this information from the electric power industry on Form EIA-417 to meet its overall national security and Federal Energy Management Agency's Federal Response Plan (FRP) responsibilities. DOE will use the data from this form to obtain current information regarding emergency situations on U.S. electric energy supply systems. DOE's Energy Information Administration (EIA) will use the data for reporting on electric power emergency incidents and disturbances in monthly EIA reports. In addition, the data may be used to develop legislative recommendations, reports to the Congress and as a basis for DOE investigations following severe, prolonged, or repeated electric power reliability problems.

Every Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load Serving Entity must use this form to submit mandatory reports of electric power system incidents or disturbances to the DOE Operations Center, which operates on a 24-hour basis, seven days a week. All other entities operating electric systems have filing responsibilities to provide information to the Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load Serving Entity when necessary for their reporting obligations and to file form EIA-417 in cases where these entities will not be involved. EIA requests that it be notified of those that plan to file jointly and of those electric entities that want to file separately.

Special reporting provisions exist for those electric utilities located within the United States, but for whom Reliability Coordinator oversight responsibilities are handled by electrical systems located across an international border. A foreign utility handling U.S. Balancing Authority responsibilities, may wish to file this information voluntarily to the DOE. Any U.S.-based utility in this international situation needs to inform DOE that these filings will come from a foreign-based electric system or file the required reports themselves.

Form EIA-417 must be submitted to the DOE Operations Center if any one of the following applies (see Table 1-EOP-004-0 — Summary of NERC and DOE Reporting Requirements for Major Electric System Emergencies):

1. Uncontrolled loss of 300 MW or more of firm system load for more than 15 minutes from a single incident.
2. Load shedding of 100 MW or more implemented under emergency operational policy.
3. System-wide voltage reductions of 3 percent or more.
4. Public appeal to reduce the use of electricity for purposes of maintaining the continuity of the electric power system.
5. Actual or suspected physical attacks that could impact electric power system adequacy or reliability; or vandalism, which target components of any security system. Actual or suspected cyber or communications attacks that could impact electric power system adequacy or vulnerability.
6. Actual or suspected cyber or communications attacks that could impact electric power system adequacy or vulnerability.
7. Fuel supply emergencies that could impact electric power system adequacy or reliability.
8. Loss of electric service to more than 50,000 customers for one hour or more.
9. Complete operational failure or shut-down of the transmission and/or distribution electrical system.

The initial DOE Emergency Incident and Disturbance Report (form EIA-417 – Schedule 1) shall be submitted to the DOE Operations Center within 60 minutes of the time of the system disruption.

Standard EOP-004-~~2~~1 — Disturbance Reporting

Complete information may not be available at the time of the disruption. However, provide as much information as is known or suspected at the time of the initial filing. If the incident is having a critical impact on operations, a telephone notification to the DOE Operations Center (202-586-8100) is acceptable, pending submission of the completed form EIA-417. Electronic submission via an on-line web-based form is the preferred method of notification. However, electronic submission by facsimile or email is acceptable.

An updated form EIA-417 (Schedule 1 and 2) is due within 48 hours of the event to provide complete disruption information. Electronic submission via facsimile or email is the preferred method of notification. Detailed DOE Incident and Disturbance reporting requirements can be found at: http://www.eia.doe.gov/cneaf/electricity/page/form_417.html

A. Introduction

1. **Title:** **Reliability Coordination — System Restoration**
2. **Number:** EOP-006-1
3. **Purpose:** The Reliability Coordinator must have a coordinating role in system restoration to ensure reliability is maintained during restoration and priority is placed on restoring the Interconnection.
4. **Applicability**
 - 4.1. Reliability Coordinator.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator shall be aware of the restoration plan of each Transmission Operator in its Reliability Coordinator Area in accordance with NERC and regional requirements.
- R2. The Reliability Coordinator shall monitor restoration progress and coordinate any needed assistance.
- R3. The Reliability Coordinator shall have a Reliability Coordinator Area restoration plan that provides coordination between individual Transmission Operator restoration plans and that ensures reliability is maintained during system restoration events.
- R4. The Reliability Coordinator shall serve as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators and Transmission Operators or Balancing Authorities not immediately involved in restoration.
- R5. Reliability Coordinators shall approve, communicate, and coordinate the re-synchronizing of major system islands or synchronizing points so as not to cause a Burden on adjacent Transmission Operator, Balancing Authority, or Reliability Coordinator Areas.
- R6. The Reliability Coordinator shall take actions to restore normal operations once an operating emergency has been mitigated in accordance with its restoration plan.

C. Measures

- M1. Each Reliability Coordinator shall have and provide upon request a current copy of the restoration plan of each Transmission Operator in its Reliability Coordinator Area that will be used to confirm that it meets Requirement 1.
- M2. The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to determine if the Reliability Coordinator monitored restoration progress and coordinated any needed assistance in accordance with Requirement 2.
- M3. The Reliability Coordinator shall have and provide upon request a current copy of the Reliability Coordinator Area restoration plan that confirms that the Reliability Coordinator role of providing coordination between individual Transmission Operator

restoration plans is included in the Reliability Coordinator Restoration Plan.
(Requirement 3)

- M4.** The Reliability Coordinator shall have, and provide upon request, evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to determine if it served as the primary contact to disseminate information to neighboring Reliability Coordinators and Transmission Operators and Balancing Authorities that were not immediately involved in restoration. (Requirement 4)
- M5.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to determine if it approved, communicated, and coordinated the re-synchronizing of major system islands or synchronizing points. (Requirement 5)
- M6.** The Reliability Coordinator shall have and provide upon request, evidence that could include, but is not limited to system restoration plan, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to determine if it took actions to restore normal operations, once an operating emergency was mitigated, in accordance with its restoration plan. (Requirement 6)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the compliance monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall have the current version of its Transmission Operator's restoration plans (Measure 1) and its current Reliability Coordinator Area restoration plan (Measure 3)

Each Reliability Coordinator shall keep historical data (evidence) gathered as a result of each major system disturbance requiring the implementation of system restoration plans and data gathered during the restoration period until normal system operation is resumed, for three years (Measure 2 , 4 , 5 and 6).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance:

2.1. Level 1: Did not have one of the Transmission Operator restoration plans within the Reliability Coordinator's Area as specified in R1.

2.2. Level 2: Not applicable.

2.3. Level 3: There shall be a separate Level ~~4~~³ non-compliance, for every one of the following requirements that is in violation:

2.3.1 Does not have a Reliability Coordinator Restoration plan that defines the requirement of the Reliability Coordinator to provide coordination between individual Transmission Operator restoration plans as specified in R3.

2.3.2 No evidence it served as the primary contact to disseminate information to neighboring Reliability Coordinators, Transmission Operators and Balancing Authorities that were not immediately involved in restoration. (Requirement 4).

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Did not have two or more of the Transmission Operator restoration plans within the Reliability Coordinator's Area as specified in R1.

2.4.2 Did not monitor restoration progress and coordinate assistance as specified in R2.

2.4.3 Did not approve, communicate, and coordinate the re-synchronizing of major system islands or synchronizing points as specified in R5.

2.4.4 Did not take action in accordance with its restoration plan to return to normal operations once an operating emergency was mitigated as specified in R6.

E. Regional Differences

None indicated.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Interchange Information
2. **Number:** INT-001-2
3. **Purpose:** To ensure that Interchange information is submitted to the NERC-identified reliability analysis service.
4. **Applicability:**
 - 4.1. Purchasing-Selling Entities.
 - 4.2. Balancing Authorities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. The Load-Serving, Purchasing-Selling Entity shall ensure that Arranged Interchange is submitted to the Interchange Authority for:
 - R1.1. All Dynamic Schedules at the expected average MW profile for each hour.
- R2. The Sink Balancing Authority shall ensure that Arranged Interchange is submitted to the Interchange Authority:
 - R2.1. If a Purchasing-Selling Entity is not involved in the Interchange, such as delivery from a jointly owned generator.
 - R2.2. For each bilateral Inadvertent Interchange payback.

C. Measures

- M1. The Purchasing-Selling ~~entity~~ Entity that serves the load shall have and provide upon request evidence that could include but is not limited to, its Interchange Transaction tags operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts or other equivalent evidence that will be used to confirm that Arranged Interchange ~~is~~ was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour as specified in Requirement 1.
- M2. Each Sink Balancing Authority shall have and provide upon request evidence that could include but is not limited to, Interchange Transaction tags operator ~~lets~~ logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that Arranged Interchange was submitted to the Interchange Authority as specified in Requirements 2.1 and 2.2.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organizations shall be responsible for compliance monitoring.
 - 1.2. **Compliance Monitoring and Reset Time Frame**

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be ~~twelve~~12 months from the last finding of non-compliance.

1.3. Data Retention

The Purchasing-Selling Entity that serves load and Sink Balancing Authority shall each keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Sink Balancing Authorities:

- 2.1. **Level 1:** One instance of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and R2.2.
- 2.2. **Level 2:** Two instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.
- 2.3. **Level 3:** Three instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.
- 2.4. **Level 4:** Four or more instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.

3. Levels of Non-Compliance for ~~Load-Serving~~, Purchasing-Selling Entities that Serve Load:

- 3.1. **Level 1:** One instance of not submitting Arranged Interchange to the Interchange Authority as specified in R1.
- 3.2. **Level 2:** Two instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.

Standard INT-001-2 — Interchange Information

- 3.3. Level 3:** Three instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.
- 3.4. Level 4:** Four or more instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.

E. Regional Differences

1. [WECC Tagging Dynamic Schedules and Inadvertent Payback Waiver](#) effective on November 21, 2002.
2. [MISO Energy Flow Information Waiver](#) effective on July 16, 2003.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 2
0	July 10, 2006	Draft for 45-day posting	Revision 2

A. Introduction

1. **Title:** Interchange Transaction Implementation
2. **Number:** INT-003-2
3. **Purpose:**
To ensure Balancing Authorities confirm Interchange Schedules with Adjacent Balancing Authorities prior to implementing the schedules in their Area Control Error (ACE) equations.
4. **Applicability**
 - 4.1. Balancing Authorities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Receiving Balancing Authority shall confirm Interchange Schedules with the Sending Balancing Authority prior to implementation in the Balancing Authority's ACE equation.
 - R1.1. The Sending Balancing Authority and Receiving Balancing Authority shall agree on Interchange as received from the Interchange Authority, including:
 - R1.1.1. Interchange Schedule start and end time.
 - R1.1.2. Energy profile.
 - R1.2. If a high voltage direct current (HVDC) tie is on the Scheduling Path, then the Sending Balancing Authorities and Receiving Balancing Authorities shall coordinate the Interchange Schedule with the Transmission Operator of the HVDC tie.

C. Measures

- M1. Each Receiving and Sending Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, interchange transaction tags, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that each Interchange Schedule's start and end time, and energy profile were confirmed prior to implementation in the Balancing Authority's ACE equation. (Requirement R1, R1.1, R1.1.1 & R1.1.2)
- M2. Each Receiving and Sending Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, interchange transaction tags, operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that it coordinated the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in Requirement 1.2.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Balancing Authority shall ~~each~~ keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Balancing Authorities:

2.1. Level 1: There shall be a separate Level 1 non-compliance, if either of the following conditions exists:

- 2.1.1** One instance of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.
- 2.1.2** One instance of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2

2.2. Level 2: There shall be a separate Level 2 non-compliance, if either of the following conditions exists:

- 2.2.1** Two instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1, and R1.1.2.

2.2.2 Two instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2

2.3. Level 3: There shall be a separate Level 3 non-compliance, ~~for every one~~ if either of the following conditions exists:

2.3.1 Three instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1, and R1.1.2.

2.3.2 Three instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2

2.4. Level 4: There shall be a separate Level 4 non-compliance, if either of the following conditions exists:

2.4.1 ~~Three~~ Four or more instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1, and R1.1.2.

2.4.2 ~~Three~~ Four or more instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2.

E. Regional Differences

1. [MISO Scheduling Agent Waiver](#) dated November 21, 2002.
2. [MISO Enhanced Scheduling Agent Waiver](#) dated July 16, 2003.
3. [MISO Energy Flow Information Waiver](#) dated July 16, 2003.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 2
0	July 10, 2006	Draft for 45-day posting	Revision 2

A. Introduction

1. **Title:** **Reliability Coordination — Responsibilities and Authorities**
2. **Number:** IRO-001-1
3. **Purpose:** Reliability Coordinators must have the authority, plans, and agreements in place to immediately direct reliability entities within their Reliability Coordinator Areas to re-dispatch generation, reconfigure transmission, or reduce load to mitigate critical conditions to return the system to a reliable state. If a Reliability Coordinator delegates tasks to others, the Reliability Coordinator retains its responsibilities for complying with NERC and regional standards. Standards of conduct are necessary to ensure the Reliability Coordinator does not act in a manner that favors one market participant over another.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Regional Reliability Organizations.
 - 4.3. Transmission Operator.
 - 4.4. Balancing Authorities.
 - 4.5. Generator Operators.
 - 4.6. Transmission Service Providers.
 - 4.7. Load-Serving Entities.
 - 4.8. Purchasing-Selling Entities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1.** Each Regional Reliability Organization, subregion, or interregional coordinating group shall establish one or more Reliability Coordinators to continuously assess transmission reliability and coordinate emergency operations among the operating entities within the region and across the regional boundaries.
- R2.** The Reliability Coordinator shall comply with a regional reliability plan approved by the NERC Operating Committee.
- R3.** The Reliability Coordinator shall have clear decision-making authority to act and to direct actions to be taken by Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities within its Reliability Coordinator Area to preserve the integrity and reliability of the Bulk Electric System. These actions shall be taken without delay, but no longer than 30 minutes.
- R4.** Reliability Coordinators that delegate tasks to other entities shall have formal operating agreements with each entity to which tasks are delegated. The Reliability Coordinator shall verify that all delegated tasks are understood, communicated, and addressed within its Reliability Coordinator Area. All responsibilities for complying with NERC and regional standards applicable to Reliability Coordinators shall remain with the Reliability Coordinator.

- R5.** The Reliability Coordinator shall list within its reliability plan all entities to which the Reliability Coordinator has delegated required tasks.
- R6.** The Reliability Coordinator shall verify that all delegated tasks are carried out by NERC-certified Reliability Coordinator operating personnel.
- R7.** The Reliability Coordinator shall have clear, comprehensive coordination agreements with adjacent Reliability Coordinators to ensure that System Operating Limit or Interconnection Reliability Operating Limit violation mitigation requiring actions in adjacent Reliability Coordinator Areas are coordinated.
- R8.** Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall comply with Reliability Coordinator directives unless such actions would violate safety, equipment, or regulatory or statutory requirements. Under these circumstances, the Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall immediately inform the Reliability Coordinator of the inability to perform the directive so that the Reliability Coordinator may implement alternate remedial actions.
- R9.** The Reliability Coordinator shall act in the interests of reliability for the overall Reliability Coordinator Area and the Interconnection before the interests of any other entity.

C. Measures

- M1.** Each Regional Reliability Organization shall have, and provide upon request, evidence that could include, but is not limited to signed agreements or other equivalent evidence that will be used to confirm that it established one or more Reliability Coordinators to continuously assess transmission reliability and coordinate emergency operations among the operating entities within the region and across the regional boundaries as described in Requirement 1.
- M2.** Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, job descriptions, signed agreements, an authority letter signed by an officer of the company, or other equivalent evidence that will be used to confirm that the Reliability Coordinator has the authority to act as described in Requirement 3.
- M3.** The Reliability Coordinator shall have and provide upon request current formal operating agreements with entities that have been delegated any Reliability Coordinator tasks (Requirement 4 Part 1).
- M4.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, job descriptions, signed agreements, records of training sessions, monitoring procedures or other equivalent evidence that will be used to confirm that all delegated tasks are understood, communicated, and addressed within its Reliability Coordinator Area (Requirement 4 Part 2 and Requirement 5).
- M5.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, records that show each operating person assigned to perform a Reliability Coordinator delegated task has a NERC Reliability Coordinator certification credential, or equivalent evidence confirming that delegated tasks were carried out by NERC certified Reliability Coordinator operating personnel, as specified in Requirement 6.

- M6.** The Reliability Coordinator shall have and provide upon request as evidence, signed agreements with adjacent Reliability Coordinators that will be used to confirm that it will coordinate corrective actions in the event SOL and IROL mitigation actions within neighboring areas must be taken. (Requirement 7)
- M7.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, or other equivalent evidence that will be used to confirm that it did comply with the Reliability Coordinator's directives, or if for safety, equipment, regulatory or statutory requirements it could not comply, it informed the Reliability Coordinator immediately. (Requirement 8)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

NERC shall be responsible for compliance monitoring of the Regional Reliability Organization.

Regional Reliability Organizations shall be responsible for compliance monitoring of the Reliability Coordinators, Transmission Operators, Generator Operators, Distribution Providers, and Load Serving Entities.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Regional Reliability Organization shall have its current, in-force document for Measure 1.

Each Reliability Coordinator shall have its current, in-force documents or the latest copy of a record as evidence of compliance to Measures 2 through 6.

Each Transmission Operator, Generator Operator, Distribution Provider, and Load Serving Entity shall keep 90 days of historical data (evidence) for Measure **87**.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance: for a Regional Reliability Organization

2.1. Level 1: Not applicable

2.2. Level 2: Not applicable

2.3. Level 3: Not applicable

2.4. Level 4: Does not have evidence it established one or more Reliability Coordinators to continuously assess transmission reliability and coordinate emergency operations among the operating entities within the region and across the regional boundaries as described in Requirement 1.

3. Levels of Non-Compliance: for a Reliability Coordinator:

3.1. Level 1: Not applicable

3.2. Level 2: Not applicable

3.3. Level 3: Not applicable

3.4. Level 4: There shall be a separate Level 4 non-compliance for every one of the following requirements that is in violation:

3.4.1 Does not have the authority to act as described in R3.

3.4.2 Does not have formal operating agreements with entities that have been delegated any Reliability Coordinator tasks, as specified in R4, Part 1.

3.4.3 Did not confirm that all delegated tasks are understood, communicated, and addressed within its Reliability Coordinator Area and that they are being performed in a manner that complies with NERC and regional standards for the delegated tasks as per R4, Part 2.

3.4.4 Did not verify that delegated tasks are being carried out by NERC Reliability Coordinator certified staff as specified in R6

3.4.5 Does not have agreements with adjacent Reliability Coordinators that confirm that they will coordinate corrective actions in the event SOL and IROL mitigation actions must be taken (R7).

4. Levels of Non-Compliance for a Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity:

- 4.1. **Level 1:** Not applicable.
- 4.2. **Level 2:** Not applicable.
- 4.3. **Level 3:** Not applicable.
- 4.4. **Level 4:** There shall be a separate Level 4 non-compliance for every one of the following requirements that is in violation:
 - 4.4.1 Did not comply with a Reliability Coordinator directive for reasons other than safety, equipment, or regulatory or statutory requirements. (R8)
 - 4.4.2 Did not inform the Reliability Coordinator immediately after it was determined that it could not follow a Reliability Coordinator directive. (R8)

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Reliability Coordination — Facilities
2. **Number:** IRO 002-1
3. **Purpose:** Reliability Coordinators need information, tools and other capabilities to perform their responsibilities.
4. **Applicability**
 - 4.1. Reliability Coordinators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator shall have adequate communications facilities (voice and data links) to appropriate entities within its Reliability Coordinator Area. These communications facilities shall be staffed and available to act in addressing a real-time emergency condition.
- R2. Each Reliability Coordinator shall determine the data requirements to support its reliability coordination tasks and shall request such data from its Transmission Operators, Balancing Authorities, Transmission Owners, Generation Owners, Generation Operators, and Load-Serving Entities, or adjacent Reliability Coordinators.
- R3. Each Reliability Coordinator — or its Transmission Operators and Balancing Authorities — shall provide, or arrange provisions for, data exchange to other Reliability Coordinators or Transmission Operators and Balancing Authorities via a secure network.
- R4. Each Reliability Coordinator shall have multi-directional communications capabilities with its Transmission Operators and Balancing Authorities, and with neighboring Reliability Coordinators, for both voice and data exchange as required to meet reliability needs of the Interconnection.
- R5. Each Reliability Coordinator shall have detailed real-time monitoring capability of its Reliability Coordinator Area and sufficient monitoring capability of its surrounding Reliability Coordinator Areas to ensure that potential or actual System Operating Limit or Interconnection Reliability Operating Limit violations are identified. Each Reliability Coordinator shall have monitoring systems that provide information that can be easily understood and interpreted by the Reliability Coordinator's operating personnel, giving particular emphasis to alarm management and awareness systems, automated data transfers, and synchronized information systems, over a redundant and highly reliable infrastructure.
- R6. Each Reliability Coordinator shall monitor Bulk Electric System elements (generators, transmission lines, buses, transformers, breakers, etc.) that could result in SOL or IROL violations within its Reliability Coordinator Area. Each Reliability Coordinator shall monitor both real and reactive power system flows, and operating reserves, and the status of Bulk Electric System elements that are or could be critical to SOLs and IROLs and system restoration requirements within its Reliability Coordinator Area.

- R7. Each Reliability Coordinator shall have adequate analysis tools such as state estimation, pre- and post-contingency analysis capabilities (thermal, stability, and voltage), and wide-area overview displays.
- R8. Each Reliability Coordinator shall continuously monitor its Reliability Coordinator Area. Each Reliability Coordinator shall have provisions for backup facilities that shall be exercised if the main monitoring system is unavailable. Each Reliability Coordinator shall ensure SOL and IROL monitoring and derivations continue if the main monitoring system is unavailable.
- R9. Each Reliability Coordinator shall control its Reliability Coordinator analysis tools, including approvals for planned maintenance. Each Reliability Coordinator shall have procedures in place to mitigate the effects of analysis tool outages.

C. Measures

- M1. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, a document that lists its voice communications facilities with Transmission Operators, Balancing Authorities and Generator Operators within its Reliability Coordinator Area and with neighboring Reliability Coordinators, that will be used to confirm that it has ~~adequate~~ communication facilities, ~~and shall be prepared to demonstrate the use of the facilities~~ (in accordance with Requirements 1 and 4.)
- M2. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, a data-link facility description document, computer print-out, training-document, or other equivalent evidence that will be used to confirm that it has ~~appropriate~~ data links with entities within its Reliability Coordinator Area and with neighboring Reliability Coordinators, as specified in Requirements 1 and 4.
- M3. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, a letter to Transmission Operators, Balancing Authorities, Transmission Owners, Generator Owners, Generator Operators, and Load-Serving Entities, or adjacent Reliability Coordinators, or other equivalent evidence that will be used to confirm that the Reliability Coordinator has requested the data required to support its reliability coordination tasks. (Requirement 2)
- M4. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, Energy Management System description documents, computer printouts, SCADA data collection system communications performance or equivalent evidence to demonstrate that it has real-time monitoring capability of its Reliability Coordinator Area and monitoring capability of its surrounding Reliability Coordinator Areas to identify potential or actual System Operating Limit or Interconnection Reliability Operating Limit violations.
- M5. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, documentation from suppliers, operating and planning staff training documents, examples of studies, or other equivalent evidence to show that it has analysis tools in accordance with Requirement 7. ~~, that describes the capability of its analysis tools, that will be used to confirm the adequacy of the state estimation, pre- and post-contingency analysis capabilities (thermal, stability, and voltage), and wide-area overview displays, and shall be prepared to demonstrate the capabilities. (Requirement 7)~~
- M6. Each Reliability Coordinator shall provide evidence such as equipment specifications, operating procedures, staff records of their involvement in training, or other equivalent

evidence to show that it has a backup monitoring facility that can be used to identify and monitor SOLs and IROLs. (Requirement 8)

- M7. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, a documented procedure or equivalent evidence that will be used to confirm that the Reliability Coordinator ~~'s operating personnel~~ has the authority to veto planned outages to analysis tools, including final approvals for planned maintenance as specified in Requirement 9 Part 1.
- M8. Each Reliability Coordinator shall have and provide upon request its current procedures used to mitigate the effects of analysis tool outages as specified in Requirement 9 Part 2.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance. Monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall have current in-force documents used to show compliance with Measures 1 through 78.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Reliability Coordinator

2.1. Level 1: ~~Has not requested the data required to support its reliability coordination tasks. (Requirement 2)~~Not applicable.

2.2. Level 2: Did not confirm that the network used for data exchange to other Reliability Coordinators is secure as specified in R3.

2.3. Level 3: There shall be a separate Level 3 non-compliance, for every one of the following requirements that is in violation:

2.3.1 Has not requested the data required to support its reliability coordination tasks. (Requirement 2)

2.3.2 Does not control its Reliability Coordinator analysis tools, including the exercising of final approvals for planned maintenance (R7) or does not have current procedures in place to mitigate the effects of analysis tool outages as specified in R9.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Does not have or could not demonstrate the use of voice communication facilities (or show data links) to one or more Transmission Operators, Generator Operators or Balancing Authorities with authority over Bulk Electrical System equipment or with one or more neighboring Reliability Coordinators. (R1 and R4)

2.4.2 Does not have real-time monitoring capability of its Reliability Coordinator Area and surrounding Reliability Coordinator Areas as specified in R5.

2.4.3 Does not have a documented procedure for the use of its backup monitoring facilities. (R8)

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Reliability Coordination — Wide-Area View
2. **Number:** IRO-003-2
3. **Purpose:** The Reliability Coordinator must have a wide area view of its own Reliability Coordinator Area and that of neighboring Reliability Coordinators.
4. **Applicability**
 - 4.1. Reliability Coordinators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator shall monitor all Bulk Electric System facilities, which may include sub-transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.
- R2. Each Reliability Coordinator shall know the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation. Reliability Coordinators shall also know the status of any facilities that may be required to assist area restoration objectives.

C. Measures

- M1. The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, Energy Management System description documents, computer printouts, ~~training modules~~, SCADA data collection, or other equivalent evidence that will be used to confirm that it monitors adjacent Reliability Coordinator Areas as necessary to ensure that, ~~at any time~~, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organizations shall be responsible for compliance monitoring.
 - 1.2. **Compliance Monitoring and Reset Time Frame**

One or more of the following methods will be used to assess compliance:

 - Self-certification (Conducted annually with submission according to schedule.)
 - Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)

- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall have current in-force documents used to show compliance with Measure 1.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Reliability Coordinator

2.1. Level 1: Not applicable.

2.2. Level 2: Not applicable.

2.3. Level 3: Not applicable.

2.4. Level 4: Did not produce acceptable evidence to confirm that it monitors adjacent Reliability Coordinator Areas as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
0	July 10, 2006	Draft for 45-day posting	Revision 2

A. Introduction

1. **Title:** Reliability Coordination — Current Day Operations
2. **Number:** IRO-005-2
3. **Purpose:** The Reliability Coordinator must be continuously aware of conditions within its Reliability Coordinator Area and include this information in its reliability assessments. The Reliability Coordinator must monitor Bulk Electric System parameters that may have significant impacts upon the Reliability Coordinator Area and neighboring Reliability Coordinator Areas.
4. **Applicability:**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Transmission Service Providers.
 - 4.5. Generator Operators.
 - 4.6. Load-Serving Entities.
 - 4.7. Purchasing-Selling Entities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator shall monitor its Reliability Coordinator Area parameters, including but not limited to the following:
 - R1.1. Current status of Bulk Electric System elements (transmission or generation including critical auxiliaries such as Automatic Voltage Regulators and Special Protection Systems) and system loading.
 - R1.2. Current pre-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.
 - R1.3. Current post-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.
 - R1.4. System real and reactive reserves (actual versus required).
 - R1.5. Capacity and energy adequacy conditions.
 - R1.6. Current ACE for all its Balancing Authorities.
 - R1.7. Current local or Transmission Loading Relief procedures in effect.
 - R1.8. Planned transmission or generation outages.
 - R1.9. Contingency events.
- R2. Each Reliability Coordinator shall be aware of all Interchange Transactions that wheel through, source, or sink in its Reliability Coordinator Area, and make that Interchange Transaction information available to all Reliability Coordinators in the Interconnection.

- R3.** As portions of the transmission system approach or exceed SOLs or IROLs, the Reliability Coordinator shall work with its Transmission Operators and Balancing Authorities to evaluate and assess any additional Interchange Schedules that would violate those limits. If a potential or actual IROL violation cannot be avoided through proactive intervention, the Reliability Coordinator shall initiate control actions or emergency procedures to relieve the violation without delay, and no longer than 30 minutes. The Reliability Coordinator shall ensure all resources, including load shedding, are available to address a potential or actual IROL violation.
- R4.** Each Reliability Coordinator shall monitor its Balancing Authorities' parameters to ensure that the required amount of operating reserves is provided and available as required to meet the Control Performance Standard and Disturbance Control Standard requirements. If necessary, the Reliability Coordinator shall direct the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. The Reliability Coordinator shall issue Energy Emergency Alerts as needed and at the request of its Balancing Authorities and Load-Serving Entities.
- R5.** Each Reliability Coordinator shall identify the cause of any potential or actual SOL or IROL violations. The Reliability Coordinator shall initiate the control action or emergency procedure to relieve the potential or actual IROL violation without delay, and no longer than 30 minutes. The Reliability Coordinator shall be able to utilize all resources, including load shedding, to address an IROL violation.
- R6.** Each Reliability Coordinator shall ensure its Transmission Operators and Balancing Authorities are aware of Geo-Magnetic Disturbance (GMD) forecast information and assist as needed in the development of any required response plans.
- R7.** The Reliability Coordinator shall disseminate information within its Reliability Coordinator Area, as required.
- R8.** Each Reliability Coordinator shall monitor system frequency and its Balancing Authorities' performance and direct any necessary rebalancing to return to CPS and DCS compliance. The Transmission Operators and Balancing Authorities shall utilize all resources, including firm load shedding, as directed by its Reliability Coordinator to relieve the emergent condition.
- R9.** The Reliability Coordinator shall coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, IROL, CPS, or DCS violations. The Reliability Coordinator shall coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in both the real time and next-day reliability analysis timeframes.
- R10.** As necessary, the Reliability Coordinator shall assist the Balancing Authorities in its Reliability Coordinator Area in arranging for assistance from neighboring Reliability Coordinator Areas or Balancing Authorities.
- R11.** The Reliability Coordinator shall identify sources of large Area Control Errors that may be contributing to Frequency Error, Time Error, or Inadvertent Interchange and shall discuss corrective actions with the appropriate Balancing Authority. The Reliability Coordinator shall direct its Balancing Authority to comply with CPS and DCS.

- R12.** Whenever a Special Protection System that may have an inter-Balancing Authority, or inter-Transmission Operator, impact (e.g., could potentially affect transmission flows resulting in a SOL or IROL violation) is armed, the Reliability Coordinators shall be aware of the impact of the operation of that Special Protection System on inter-area flows. The Transmission Operator shall immediately inform the Reliability Coordinator of the status of the Special Protection System including any degradation or potential failure to operate as expected.
- R13.** Each Reliability Coordinator shall ensure that all Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities operate to prevent the likelihood that a disturbance, action, or non-action in its Reliability Coordinator Area will result in a SOL or IROL violation in another area of the Interconnection. In instances where there is a difference in derived limits, the Reliability Coordinator and its Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall always operate the Bulk Electric System to the most limiting parameter.
- R14.** Each Reliability Coordinator shall make known to Transmission Service Providers within its Reliability Coordinator Area, SOLs or IROLs within its wide-area view. The Transmission Service Providers shall respect these SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.
- R15.** Each Reliability Coordinator who foresees a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area shall issue an alert to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area without delay. The receiving Reliability Coordinator shall disseminate this information to its impacted Transmission Operators and Balancing Authorities. The Reliability Coordinator shall notify all impacted Transmission Operators, and Balancing Authorities when the transmission problem has been mitigated.
- R16.** Each Reliability Coordinator shall confirm reliability assessment results and determine the effects within its own and adjacent Reliability Coordinator Areas. The Reliability Coordinator shall discuss options to mitigate potential or actual SOL or IROL violations and take actions as necessary to always act in the best interests of the Interconnection at all times.
- R17.** When an IROL or SOL is exceeded, the Reliability Coordinator shall evaluate the local and wide-area impacts, both real-time and post-contingency, and determine if the actions being taken are appropriate and sufficient to return the system to within IROL in thirty minutes. If the actions being taken are not appropriate or sufficient, the Reliability Coordinator shall direct the Transmission Operator, Balancing Authority, Generator Operator, or Load-Serving Entity to return the system to within IROL or SOL.

C. Measures

- M1.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, Energy Management System description documents, computer printouts, ~~training modules~~, a prepared report specifically detailing

compliance to each of the bullets in Requirement 1, EMS availability, SCADA data collection system communications performance or equivalent evidence that will be used to confirm that it monitors the Reliability Coordinator Area parameters specified in Requirements 1.1 through 1.9.

- M2.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, Historical Tag Archive information, Interchange Transaction records, computer printouts, voice recordings or transcripts of voice recordings or equivalent evidence that will be used to confirm that it was aware of and makes Interchange Transaction information available to all other Reliability Coordinators, as specified in Requirement 2.
- M3.** If a potential or actual IROL violation occurs, the Reliability Coordinator involved in the event shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, system event logs, operator action notes or equivalent evidence that will be used to determine if it initiated control actions or emergency procedures to relieve that IROL violation within 30 minutes. (Requirement 3 Part 2 and Requirement 5)
- M4.** If one of its Balancing Authorities has insufficient operating reserves, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to computer printouts, operating logs, voice recordings or transcripts of voice recordings, or equivalent evidence that will be used to determine if the Reliability Coordinator directed and, if needed, assisted the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. (Requirement 4 Part 2 and Requirement 10)
- M5.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to determine if it informed Transmission Operators and Balancing Authorities of Geo-Magnetic Disturbance (GMD) forecast information and provided assistance as needed in the development of any required response plans. (Requirement 6)
- M6.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, Hot Line recordings, electronic communications or equivalent evidence that will be used to determine if it disseminated information within its Reliability Coordinator Area in accordance with Requirement 7.
- M7.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, computer printouts, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it monitored system frequency and Balancing Authority performance and directed any necessary rebalancing, as specified in Requirement 8 Part 1.
- M8.** The Transmission Operators and Balancing Authorities shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it utilized all resources, including firm load

- shedding, as directed by its Reliability Coordinator, to relieve an emergent condition. (Requirement 8 Part 2)
- M9.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, operator logs or equivalent evidence that will be used to determine if it coordinated with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, IROL, CPS, or DCS violations including the coordination of pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities and Generator Operators. (Requirement 9 Part 1)
- M10.** If a large Area Control Error has occurred, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, Hot Line recordings, electronic communications or equivalent evidence that will be used to determine if it identified sources of the Area Control Errors, and initiated corrective actions with the appropriate Balancing Authority if the problem was within the Reliability Coordinator's Area (Requirement 11 Part 1)
- M11.** If a Special Protection System is armed and that system could have had an inter-area impact, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, agreements with their Transmission Operators, procedural documents, operator logs, computer analysis, training modules, training records or equivalent evidence that will be used to confirm that it was aware of the impact of that Special Protection System on inter-area flows. (Requirement 12)
- M12.** If there is an instance where there is a disagreement on a derived limit, the Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Load-serving Entity, Purchasing-selling Entity and Transmission Service Provider involved in the disagreement shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings, electronic communications or equivalent evidence that will be used to determine if it operated to the most limiting parameter. (Part 2 of Requirement 13)
- M13.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, procedural documents, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it provided SOL and IROL information to Transmission Service Providers within its Reliability Coordinator Area. (Requirement 14, Part 1)
- M14.** The Transmission Service Providers shall have and provide upon request evidence that could include, but is not limited to, procedural documents, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it respected the SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.(Requirement 14 Part 2)
- M15.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it issued alerts when it foresaw a transmission problem (such as an SOL or

IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area, to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area as specified in Requirement 15 Part 1.

M16. The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that upon receiving information such as an SOL or IROL violation, loss of reactive reserves, etc. it disseminated the information to its impacted Transmission Operators and Balancing Authorities as specified in Requirement 15 Part 2.

M17. The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it notified all impacted Transmission Operators, Balancing Authorities and Reliability Coordinators when a transmission problem has been mitigated. (Requirement 15 Part 3)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

For Measures 1 and 11, each Reliability Coordinator shall have its current in-force documents as evidence.

For Measures 2–10 and Measure 13, and Measures 15 through 16, the Reliability Coordinator shall keep 90 days of historical data (evidence).

For Measure 8, the Transmission Operator and Balancing Authority shall keep 90 days of historical data (evidence).

For Measure 12, the Reliability Coordinator, Transmission Operator, Balancing Authority, and Transmission Service Provider shall keep 90 days of historical data (evidence).

For Measure 14, the Transmission Service Provider shall keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Transmission Operator, Balancing Authority, Generator Operator, Load-serving Entity, Purchasing-selling Entity and Transmission Service Provider

2.1. Level 1: Not applicable.

2.2. Level 2: Not applicable.

2.3. Level 3: Not applicable.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Did not follow the Reliability Coordinator's directives in accordance with R8 Part 2).

2.4.2 Did not operate to the most limiting parameter when a difference in derived limits existed. (R13 Part 2)

3. Levels of Non-Compliance for a Reliability Coordinator:

3.1. Level 1: Not applicable.

3.2. Level 2: Did not make Interchange Transaction information available to all other Reliability Coordinators in the Interconnection. (Requirement 2)

3.3. Level 3: There shall be a separate Level 3 non-compliance, for every one of the following requirements that is in violation:

3.3.1 Did not communicate to each of its Balancing Authorities and Transmission Operators to make them aware of GMD forecast information or did not assist in the development of any required response plans to a predicted GMD. (Requirement 6)

3.3.2 Did not disseminate information within its Reliability Coordinator Area. (Requirement 7)

- 3.4. Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
 - 3.4.1** Does not meet one or more of the requirements as specified in requirement 1 (Requirements 1.1 through R1.9)
 - 3.4.2** Did not make Interchange Transaction information available to all other Reliability Coordinators. (Requirement 2)
 - 3.4.3** Did not initiate control actions or emergency procedures to relieve an IROL violation without delay, and no longer than 30 minutes. (Requirement 3 Part 2 and Requirement 5)
 - 3.4.4** Did not direct the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. (Requirement 4 Part 2)
 - 3.4.5** Did not monitor the system frequency or each of its Balancing Authorities performance or did not direct rebalancing to return to DCS and CPS compliance. (Requirement 8 Part 1)
 - 3.4.6** Did not coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, IROL, CPS, or DCS violations. (Requirement 9)
 - 3.4.7** When it identified a source of large Area Control Errors, it did not initiate corrective actions with the appropriate Balancing Authority if the problem was inside its Reliability Coordinator Area. (Requirement 11 part 1)
 - 3.4.8** Did not provide evidence that it was aware of the impact of the operation of a Special Protection System on inter-area flows. (Requirement 12)
 - 3.4.9** Did not operate to the most limiting parameter when a difference in derived limits existed. (Requirement 13 Part 2)
 - 3.4.10** Did not provide Transmission Service Providers with SOLs or IROLs (within the Reliability Coordinator's wide-area view) (Requirement 14 Part 1)
 - 3.4.11** Did not issue alerts when it foresaw a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area. (Requirement 15)

4. Levels of Non-Compliance for a Transmission Service Provider

- 4.1. Level 1:** Not applicable.
- 4.2. Level 2:** Not applicable.
- 4.3. Level 3:** Not applicable.
- 4.4. Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
 - 4.4.1** Did not operate to the most limiting parameter when a difference in derived limits existed. (R13 Part 2)

4.4.2 Did not respect the SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.(Requirement 14 Part 2)

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posing	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Reliability Coordination — Staffing
2. **Number:** PER-004-1
3. **Purpose:**
Reliability Coordinators must have sufficient, competent staff to perform the Reliability Coordinator functions.
4. **Applicability**
 - 4.1. Reliability Coordinators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Reliability Coordinator shall be staffed with adequately trained and NERC-certified Reliability Coordinator operators, 24 hours per day, seven days per week.
- R2. All Reliability Coordinator operating personnel shall each complete a minimum of five days per year of training and drills using realistic simulations of system emergencies, in addition to other training required to maintain qualified operating personnel.
- R3. Reliability Coordinator operating personnel shall have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.
- R4. Reliability Coordinator operating personnel shall have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation Operators within the Reliability Coordinator Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and operational restrictions.
- R5. Reliability Coordinator operating personnel shall pay particular attention on SOLs and IROLs and inter-tie facility limits. The Reliability Coordinator shall ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.

C. Measures

- M1. The Reliability Coordinator shall have and provide upon request training records that confirm that each of its operating personnel has completed a minimum of five days per year of training and drills using realistic simulations of system emergencies, in addition to other training required to maintain qualified operating personnel, as specified in Requirement 2.
- M2. Each Reliability Coordinator shall have and provide upon request evidence that could include but is not limited to, a documented training program and individual training records for each of its operating personnel or other equivalent evidence that will be used to confirm that it meets Requirements 3 and 4.

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall keep evidence of compliance for the previous two calendar years plus the current year.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Reliability Coordinator

2.1. Level 1: Not applicable.

2.2. Level 2: Not applicable.

2.3. Level 3: Not applicable.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 One or more of its shift operating personnel did not complete a minimum of five days per year of training and drills using realistic simulations of system emergencies in the past year. (R2)

2.4.2 No evidence operating personnel have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas. (R3)

2.4.3 No evidence operating personnel have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation Operators within the Reliability Coordinator Area. (R4)

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** System Protection Coordination
2. **Number:** PRC-001-1
3. **Purpose:** To ensure system protection is coordinated among operating entities.
4. **Applicability**
 - 4.1. Balancing Authorities.
 - 4.2. Transmission Operators.
 - 4.3. Generator Operators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Transmission Operator, Balancing Authority, and Generator Operator shall be familiar with the purpose and limitations of protection system schemes applied in its area.
- R2. Each Generator Operator and Transmission Operator shall notify reliability entities of relay or equipment failures as follows:
 - R2.1. If a protective relay or equipment failure reduces system reliability, the Generator Operator shall notify its Transmission Operator and Host Balancing Authority. The Generator Operator shall take corrective action as soon as possible.
 - R2.2. If a protective relay or equipment failure reduces system reliability, the Transmission Operator shall notify its Reliability Coordinator and affected Transmission Operators and Balancing Authorities. The Transmission Operator shall take corrective action as soon as possible.
- R3. A Generator Operator or Transmission Operator shall coordinate new protective systems and changes as follows.
 - R3.1. Each Generator Operator shall coordinate all new protective systems and all protective system changes with its Transmission Operator and Host Balancing Authority.
 - R3.2. Each Transmission Operator shall coordinate all new protective systems and all protective system changes with neighboring Transmission Operators and Balancing Authorities.
- R4. Each Transmission Operator shall coordinate protection systems on major transmission lines and interconnections with neighboring Generator Operators, Transmission Operators, and Balancing Authorities.
- R5. A Generator Operator or Transmission Operator shall coordinate changes in generation, transmission, load or operating conditions that could require changes in the protection systems of others:
- R6. Each Generator Operator shall notify its Transmission Operator in advance of changes in generation or operating conditions that could require changes in the Transmission Operator's protection systems.

- R7.** Each Transmission Operator shall notify neighboring Transmission Operators in advance of changes in generation, transmission, load, or operating conditions that could require changes in the other Transmission Operators' protection systems.
- R8.** Each Transmission Operator and Balancing Authority shall monitor the status of each Special Protection System in their area, and shall notify affected Transmission Operators and Balancing Authorities of each change in status.

C. Measures

- M1.** Each Generator Operator and Transmission Operator shall have and provide upon request evidence that could include but is not limited to, revised fault analysis study, letters of agreement on settings, notifications of changes, or other equivalent evidence that will be used to confirm that there was coordination of new protective systems or changes as noted in Requirements 3, 3.1, and 3.2.
- M2.** Each Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, documentation, electronic logs, computer printouts, or computer demonstration or other equivalent evidence that will be used to confirm that it monitors the Special Protection Systems in its area. (Requirement 8 Part 1)
- M3.** Each Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, operator logs, phone records, electronic-notifications or other equivalent evidence that will be used to confirm that it notified affected Transmission Operator and Balancing Authorities of changes in status of one of its Special Protection Systems. (Requirement 8 Part 2)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Generator Operator and Transmission Operator shall have current, in-force documents available as evidence of compliance for Measure 1.

~~keep evidence of compliance with Measure 1 for the previous two calendar years plus the current year.~~

Each Transmission Operator and Balancing Authority shall keep 90 days of historical data (evidence) for Measures 2 and 3.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Generator Operators:

2.1. **Level 1:** Not applicable.

2.2. **Level 2:** Not applicable.

2.3. **Level 3:** Not applicable.

2.4. **Level 4:** Failed to provide evidence of coordination when installing new protective systems and all protective system changes with its Transmission Operator and Host Balancing Authority as specified in R3.1 ~~and R3.2.~~

3. Levels of Non-Compliance for Transmission Operators:

3.1. **Level 1:** Not applicable.

3.2. **Level 2:** Not applicable.

3.3. **Level 3:** Not applicable.

3.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

3.4.1 Failed to provide evidence of coordination when installing new protective systems and all protective system changes with ~~its neighboring~~ Transmission Operators and Balancing ~~Authority~~ Authorities as specified in ~~R3.1 and~~ R3.2.

3.4.2 Did not monitor the status of each Special Protection System, or did not notify affected Transmission Operators, Balancing Authorities of changes in special protection status as specified in ~~R8.1 and~~ 8.2.

4. Levels of Non-Compliance for Balancing Authorities:

4.1. **Level 1:** Not applicable.

- 4.2. **Level 2:** Not applicable.
- 4.3. **Level 3:** Not applicable.
- 4.4. **Level 4:** Did not monitor the status of each Special Protection System, or did not notify affected Transmission Operators, Balancing Authorities of changes in special protection status as specified in R8.~~1~~ and ~~8.2~~.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Reliability Responsibilities and Authorities
2. **Number:** TOP-001-1
3. **Purpose:**

To ensure reliability entities have clear decision-making authority and capabilities to take appropriate actions or direct the actions of others to return the transmission system to normal conditions during an emergency.
4. **Applicability**
 - 4.1. Balancing Authorities.
 - 4.2. Transmission Operators.
 - 4.3. Generator Operators.
 - 4.4. Distribution Providers.
 - 4.5. Load Serving Entities.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Transmission Operator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its area and shall exercise specific authority to alleviate operating emergencies.
- R2. Each Transmission Operator shall take immediate actions to alleviate operating emergencies including curtailing transmission service or energy schedules, operating equipment (e.g., generators, phase shifters, breakers), shedding firm load, etc.
- R3. Each Transmission Operator, Balancing Authority, and Generator Operator shall comply with reliability directives issued by the Reliability Coordinator, and each Balancing Authority and Generator Operator shall comply with reliability directives issued by the Transmission Operator, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances the Transmission Operator, Balancing Authority or Generator Operator shall immediately inform the Reliability Coordinator or Transmission Operator of the inability to perform the directive so that the Reliability Coordinator or Transmission Operator can implement alternate remedial actions.
- R4. Each Distribution Provider and Load Serving Entity shall comply with all reliability directives issued by the Transmission Operator, including shedding firm load, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances, the Distribution Provider or Load Serving Entity shall immediately inform the Transmission Operator of the inability to perform the directive so that the Transmission Operator can implement alternate remedial actions.
- R5. Each Transmission Operator shall inform its Reliability Coordinator and any other potentially affected Transmission Operators of real time or anticipated emergency conditions, and take actions to avoid, when possible, or mitigate the emergency.

- R6.** Each Transmission Operator, Balancing Authority, and Generator Operator shall render all available emergency assistance to others as requested, provided that the requesting entity has implemented its comparable emergency procedures, unless such actions would violate safety, equipment, or regulatory or statutory requirements.
- R7.** Each Transmission Operator and Generator Operator shall not remove Bulk Electric System facilities from service if removing those facilities would burden neighboring systems unless:
 - R7.1.** For a generator outage, the Generator Operator shall notify and coordinate with the Transmission Operator. The Transmission Operator shall notify the Reliability Coordinator and other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.
 - R7.2.** For a transmission facility, the Transmission Operator shall notify and coordinate with its Reliability Coordinator. The Transmission Operator shall notify other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.
 - R7.3.** When time does not permit such notifications and coordination, or when immediate action is required to prevent a hazard to the public, lengthy customer service interruption, or damage to facilities, the Generator Operator shall notify the Transmission Operator, and the Transmission Operator shall notify its Reliability Coordinator and adjacent Transmission Operators, at the earliest possible time.
- R8.** During a system emergency, the Balancing Authority and Transmission Operator shall immediately take action to restore the Real and Reactive Power Balance. If the Balancing Authority or Transmission Operator is unable to restore Real and Reactive Power Balance it shall request emergency assistance from the Reliability Coordinator. If corrective action or emergency assistance is not adequate to mitigate the Real and Reactive Power Balance, then the Reliability Coordinator, Balancing Authority, and Transmission Operator shall implement firm load shedding.

C. Measures

- M1.** Each Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, ~~job descriptions,~~ signed agreements, an authority letter signed by an officer of the company, ~~in combination with operator logs, voice recordings or transcripts of voice recordings, electronic communications,~~ or other equivalent evidence that will be used to confirm that it has the authority, and has exercised the authority, to alleviate operating emergencies as described in Requirement 1.
- M2.** If an operating emergency occurs the Transmission Operator that experienced the emergency shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it took immediate actions to alleviate the operating emergency including curtailing transmission service or energy schedules, operating equipment (e.g., generators, phase shifters, breakers), shedding firm load, etc. (Requirement 2)

- M3.** Each Transmission Operator, Balancing Authority, and Generator Operator shall have and provide upon request evidence such as operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it complied with its Reliability ~~Authority's~~ Coordinator's reliability directives. If the Transmission Operator, Balancing Authority or Generator Operator did not comply with the directive because it would violate safety, equipment, regulatory or statutory requirements, it shall provide evidence such as operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that it immediately informed the Reliability Coordinator of its inability to perform the directive. (Requirement 3)
- M4.** Each Balancing Authority, Generator Operator, Distribution Provider and Load Serving Entity shall have and provide upon request evidence such as operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it complied with its Transmission Operator's reliability directives. If the Balancing Authority, Generator Operator, Distribution Provider and Load Serving Entity did not comply with the directive because it would violate safety, equipment, regulatory or statutory requirements, it shall provide evidence such as operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that it immediately informed the ~~Reliability Coordinator~~ Transmission Operator of its inability to perform the directive. (Requirements 3 and 4)
- M5.** The Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it informed its Reliability Coordinator and any other potentially affected Transmission Operators of real time or anticipated emergency conditions, and took actions to avoid, when possible, or to mitigate an emergency. (Requirement 5)
- M6.** The Transmission Operator, Balancing Authority, and Generator Operator shall each have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it rendered assistance to others as requested, provided that the requesting entity had implemented its comparable emergency procedures, unless such actions would violate safety, equipment, or regulatory or statutory requirements. (Requirement 6)
- M7.** The Transmission Operator and Generator Operator shall each have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it notified either their Transmission Operator in the case of the Generator Operator, or other Transmission Operators, and the Reliability Coordinator when it removed Bulk Electric System facilities from service if removing those facilities would burden neighboring systems. (Requirement 7)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Transmission Operator shall have the current in-force document to show that it has the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its area. (Measure 1)

Each Transmission Operator, ~~shall~~ keep 90 days of historical data (evidence) for Measures 1 through 7, including evidence of directives issued for Measures ~~3 and 4~~.

Each Balancing Authority shall keep 90 days of historical data (evidence) for Measures 3, 4 and 6 ~~including evidence of directives issued for Measures 3 and 4~~.

Each Generator Operator shall keep 90 days of historical data (evidence) for Measures 3, 4, 6 and 7 ~~including evidence of directives issued for Measures 3 and 4~~.

Each Distribution Provider and Load-serving Entity shall keep 90 days of historical data (evidence) for Measures ~~3 and 4~~.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all supporting compliance data

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for a Balancing Authority:

- 2.1. **Level 1:** Not applicable.
- 2.2. **Level 2:** Not applicable.
- 2.3. **Level 3:** Not applicable.
- 2.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
 - 2.4.1 Did not comply with a Reliability Coordinator's or Transmission Operator's reliability directive or did not immediately inform the Reliability Coordinator or Transmission Operator of its inability to perform that directive (R3)
 - 2.4.2 Did not render emergency assistance to others as requested, in accordance with R6.

3. Levels of Non-Compliance for a Transmission Operator

- 3.1. **Level 1:** Not applicable.
- 3.2. **Level 2:** Not applicable.
- 3.3. **Level 3:** Not applicable.
- 3.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
 - 3.4.1 Does not have the documented authority to act as specified in R1.
 - 3.4.2 Does not have evidence it acted with the authority specified in R1.
 - 3.4.3 Did not take immediate actions to alleviate operating emergencies as specified in R2.
 - 3.4.4 Did not comply with its Reliability Coordinator's reliability directive or did not immediately inform the Reliability Coordinator of its inability to perform that directive, as specified in R3.
 - 3.4.5 Did not inform its Reliability Coordinator and other potentially affected Transmission Operators of real time or anticipated emergency conditions as specified in R5.
 - 3.4.6 Did not take actions to avoid, when possible, or to mitigate an emergency as specified in R5.
 - 3.4.7 Did not render emergency assistance to others as requested, as specified in R6.
 - 3.4.8 Removed Bulk Electric System facilities from service under conditions other than those specified in R7.1, 7.2, and 7.3, and removing those facilities burdened a neighbor system.

4. Levels of Non-Compliance for a Generator Operator:

- 4.1. **Level 1:** Not applicable.
- 4.2. **Level 2:** Not applicable.

4.3. Level 3: Not applicable.

4.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

4.4.1 Did not comply with a Reliability Coordinator or Transmission Operator’s reliability directive or did not immediately inform the Reliability Coordinator or Transmission Operator of its inability to perform that directive, as specified in R3.

4.4.2 Did not render all available emergency assistance to others as requested, unless such actions would violate safety, equipment, or regulatory or statutory requirements as specified in R6.

4.4.3 Removed Bulk Electric System facilities from service under conditions other than those specified in R7.1, 7.2, and 7.3, and burdened a neighbor system.

5. Levels of Non-Compliance for a Distribution Provider or Load Serving Entity

5.1. Level 1: Not applicable.

5.2. Level 2: Not applicable.

5.3. Level 3: Not applicable

5.4. Level 4: Did not comply with a Transmission Operator’s reliability directive or immediately inform the Transmission Operator of its inability to perform that directive, as specified in R4.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Normal Operations Planning
2. **Number:** TOP-002-~~12~~
3. **Purpose:** Current operations plans and procedures are essential to being prepared for reliable operations, including response for unplanned events.
4. **Applicability**
 - 4.1. Balancing Authority.
 - 4.2. Transmission Operator.
 - 4.3. Generation Operator.
 - 4.4. Load Serving Entity.
 - 4.5. Transmission Service Provider.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Balancing Authority and Transmission Operator shall maintain a set of current plans that are designed to evaluate options and set procedures for reliable operation through a reasonable future time period. In addition, each Balancing Authority and Transmission Operator shall be responsible for using available personnel and system equipment to implement these plans to ensure that interconnected system reliability will be maintained.
- R2. Each Balancing Authority and Transmission Operator shall ensure its operating personnel participate in the system planning and design study processes, so that these studies contain the operating personnel perspective and system operating personnel are aware of the planning purpose.
- R3. Each Load Serving Entity and Generator Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and Transmission Service Provider shall coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.
- R4. Each Balancing Authority and Transmission Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.
- R5. Each Balancing Authority and Transmission Operator shall plan to meet scheduled system configuration, generation dispatch, interchange scheduling and demand patterns.
- R6. Each Balancing Authority and Transmission Operator shall plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1

Contingency planning) in accordance with NERC, Regional Reliability Organization, subregional, and local reliability requirements.

- R7.** Each Balancing Authority shall plan to meet capacity and energy reserve requirements, including the deliverability/capability for any single Contingency.
- R8.** Each Balancing Authority shall plan to meet voltage and/or reactive limits, including the deliverability/capability for any single contingency.
- R9.** Each Balancing Authority shall plan to meet Interchange Schedules and ramps.
- R10.** Each Balancing Authority and Transmission Operator shall plan to meet all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs).
- R11.** The Transmission Operator shall perform seasonal, next-day, and current-day Bulk Electric System studies to determine SOLs. Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update these Bulk Electric System studies as necessary to reflect current system conditions; and shall make the results of Bulk Electric System studies available to the Transmission Operators, Balancing Authorities (subject confidentiality requirements), and to its Reliability Coordinator.
- R12.** The Transmission Service Provider shall include known SOLs or IROLs within its area and neighboring areas in the determination of transfer capabilities, in accordance with filed tariffs and/or regional Total Transfer Capability and Available Transfer Capability calculation processes.
- R13.** At the request of the Balancing Authority or Transmission Operator, a Generator Operator shall perform generating real and reactive capability verification that shall include, among other variables, weather, ambient air and water conditions, and fuel quality and quantity, and provide the results to the Balancing Authority or Transmission Operator operating personnel as requested.
- R14.** Generator Operators shall, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including but not limited to:
 - R14.1.** Changes in real and reactive output capabilities. (Retired August 1, 2007)
 - R14.1** Changes in real output capabilities. (Effective August 1, 2007)
 - R14.2.** Automatic Voltage Regulator status and mode setting. (Retired August 1, 2007)
- R15.** Generation Operators shall, at the request of the Balancing Authority or Transmission Operator, provide a forecast of expected real power output to assist in operations planning (e.g., a seven-day forecast of real output).
- R16.** Subject to standards of conduct and confidentiality agreements, Transmission Operators shall, without any intentional time delay, notify their Reliability Coordinator and Balancing Authority of changes in capabilities and characteristics including but not limited to:
 - R16.1.** Changes in transmission facility status.

R16.2. Changes in transmission facility rating.

- R17. Balancing Authorities and Transmission Operators shall, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.
- R18. Neighboring Balancing Authorities, Transmission Operators, Generator Operators, Transmission Service Providers and Load Serving Entities shall use uniform line identifiers when referring to transmission facilities of an interconnected network.
- R19. Each Balancing Authority and Transmission Operator shall maintain accurate computer models utilized for analyzing and planning system operations.

C. Measures

- M1. Each Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, documented planning procedures, copies of current day plans ~~for the past several weeks~~, copies of seasonal operations plans, or other equivalent evidence that will be used to confirm that it maintained a set of current plans. (Requirement 1 Part 1).
- M2. Each Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, copies of current day plans or other equivalent evidence that will be used to confirm that its plans address Requirements 5, 6, and 10.
- M3. Each Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, copies of current day plans or other equivalent evidence that will be used to confirm that its plans address Requirements 7, 8, and 9.
- M4. Each Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, ~~copies of~~ its next-day, and current-day Bulk Electric System studies used to determine SOLs or other equivalent evidence that will be used to confirm that its studies reflect current system conditions. (Requirement 11 Part 1)
- M5. Each Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that the results of Bulk Electric System studies were made available to the Transmission Operators, Balancing Authorities (subject to confidentiality requirements), and to its Reliability Coordinator. (Requirement 11 Part 2)
- M6. Each Generator Operator shall have and provide upon request evidence that, when requested by either a Transmission Operator or Balancing Authority, it performed a generating real and reactive capability verification and provided the results to the requesting entity in accordance with Requirement 13.
- M7. Each Generator Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that without any intentional time delay, it notified its Balancing Authority and Transmission Operator of changes in real and reactive capabilities and AVR status. (Requirement 14)

- M8.** Each Generator Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that, on request, it provided a forecast of expected real power output to assist in operations planning. (Requirement 15)
- M9.** Each Transmission Operators shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that, without any intentional time delay, it notified its Balancing Authority and Reliability Coordinator of changes in capabilities and characteristics. (Requirement 16)
- M10.** Each Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider and Load Serving Entity shall have and provide upon request evidence that could include, but is not limited to, a list of interconnected transmission facilities and their line identifiers at each end or other equivalent evidence that will be used to confirm that it used uniform line identifiers when referring to transmission facilities of an interconnected network. (Requirement 18)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 calendar days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

For Measures ~~1, and 2, and 3~~ each ~~Balancing Authority and~~ Transmission Operator shall have its current plans and a rolling 6 months of historical records (evidence).

For Measures 1, 2, and 3 each Balancing Authority shall have its current plans and a rolling 6 months of historical records (evidence).

For Measure 4, each Transmission Operator shall keep its current plans ~~and a rolling 6 months of historical records~~ (evidence).

For Measures 5 and ~~89~~, each Transmission Operator shall keep 90 days of historical data (evidence).

For Measures ~~6, 6-7~~ and ~~78~~, each Generator Operator shall keep 90 days of historical data (evidence).

For Measure ~~910~~, each Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, and Load-serving Entity shall have its current list interconnected transmission facilities and their line identifiers at each end or other equivalent evidence as evidence.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all supporting compliance data

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Balancing Authorities:

2.1. Level 1: Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.

2.2. Level 2: Not applicable.

2.3. Level 3: Not applicable.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Did not maintain an updated set of current-day plans as specified in R1.

2.4.2 Plans did not meet one or more of the requirements specified in R5 through R10.

3. Levels of Non-Compliance for Transmission Operators

3.1. Level 1: Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.

3.2. Level 2: Not applicable.

3.3. Level 3: One or more of Bulk Electric System studies were not made available as specified in R11.

3.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

3.4.1 Did not maintain an updated set of current-day plans as specified in R1.

3.4.2 Plans did not meet one or more of the requirements in R5, R6, and R10.

3.4.3 Studies not updated to reflect current system conditions as specified in R11.

3.4.4 Did not notify its Balancing Authority and Reliability Coordinator of changes in capabilities and characteristics as specified in R16.

4. **Levels of Non-Compliance for Generator Operators:**

4.1. **Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.

4.2. **Level 2:** Not applicable.

4.3. **Level 3:** Not applicable.

4.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

4.4.1 Did not verify and provide a generating real and reactive capability verification and provide the results to the requesting entity as specified in R13.

4.4.2 Did not notify its Balancing Authority and Transmission Operator of changes in capabilities and characteristics as specified in R14.

4.4.3 Did not provide a forecast of expected real power output to assist in operations planning as specified in R15.

5. **Levels of Non-Compliance for Transmission Service Providers and Load-serving Entities:**

5.1. **Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.

5.2. **Level 2:** Not applicable.

5.3. **Level 3:** Not applicable.

5.4. **Level 4:** Not applicable.

E. Regional Differences

None indicated.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1

Standard TOP-002-~~1~~2— Normal Operations Planning

0	July 10, 2006	Draft for 45-day posting	Revision 1
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A. Introduction

1. **Title:** **Transmission Operations**
2. **Number:** TOP-004-01
3. **Purpose:** To ensure that the transmission system is operated so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single Contingency and specified multiple Contingencies.
4. **Applicability:**
 - 4.1. Transmission Operators
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Transmission Operator shall operate within the Interconnection Reliability Operating Limits (IROLs) and System Operating Limits (SOLs).
- R2. Each Transmission Operator shall operate so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single contingency.
- R3. Each Transmission Operator shall, when practical, operate to protect against instability, uncontrolled separation, or cascading outages resulting from multiple outages, as specified by Regional Reliability Organization policy.
- R4. If a Transmission Operator enters an unknown operating state (i.e. any state for which valid operating limits have not been determined), it will be considered to be in an emergency and shall restore operations to respect proven reliable power system limits within 30 minutes.
- R5. Each Transmission Operator shall make every effort to remain connected to the Interconnection. If the Transmission Operator determines that by remaining interconnected, it is in imminent danger of violating an IROL or SOL, the Transmission Operator may take such actions, as it deems necessary, to protect its area.
- R6. Transmission Operators, individually and jointly with other Transmission Operators, shall develop, maintain, and implement formal policies and procedures to provide for transmission reliability. These policies and procedures shall address the execution and coordination of activities that impact inter- and intra-Regional reliability, including:
 - R6.1. Equipment ratings.
 - R6.2. Monitoring and controlling voltage levels and real and reactive power flows.
 - R6.3. Switching transmission elements.
 - R6.4. Planned outages of transmission elements.
 - R6.5. Development of IROLs and SOLs.
 - R6.6. Responding to IROL and SOL violations.

C. Measures

- M1. Each Transmission Operator that enters an unknown operating state for which valid limits have not been determined, shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of

voice recordings, electronic communications, alarm program printouts, or other equivalent evidence that will be used to determine if it restored operations to respect proven reliable power system limits within 30 minutes as specified in Requirement 4.

- M2.** Each Transmission Operator shall have and provide upon request current policies and procedures that address the execution and coordination of activities that impact inter- and intra-Regional reliability for each of the topics listed in Requirements 6.1 through 6.6.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Transmission Operator shall keep 90 days of historical data for Measure 1.

Each Transmission Operator shall have current, in-force policies and procedures, as evidence of compliance to Measure 2.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all supporting compliance data

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance:

2.1. Level 1: Not applicable.

2.2. Level 2: Did not have formal policies and procedures to address one of the topics listed in R6.1 through R6.6.

2.3. Level 3: Did not have formal policies and procedures to address two of the topics listed in R6.1 through R6.6.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Did not restore operations to respect proven reliable power system limits within 30 minutes as specified in R4.

2.4.2 Did not have formal policies and procedures to address three or more of the topics listed in R6.1 through R6.6.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Monitoring System Conditions
2. **Number:** TOP-006-1
3. **Purpose:** To ensure critical reliability parameters are monitored in real-time.
4. **Applicability**
 - 4.1. Transmission Operators.
 - 4.2. Balancing Authorities.
 - 4.3. Generator Operators.
 - 4.4. Reliability Coordinators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. Each Transmission Operator and Balancing Authority shall know the status of all generation and transmission resources available for use.
 - R1.1. Each Generator Operator shall inform its Host Balancing Authority and the Transmission Operator of all generation resources available for use.
 - R1.2. Each Transmission Operator and Balancing Authority shall inform the Reliability Coordinator and other affected Balancing Authorities and Transmission Operators of all generation and transmission resources available for use.
- R2. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall monitor applicable transmission line status, real and reactive power flows, voltage, load-tap-changer settings, and status of rotating and static reactive resources.
- R3. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide appropriate technical information concerning protective relays to their operating personnel.
- R4. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have information, including weather forecasts and past load patterns, available to predict the system's near-term load pattern.
- R5. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use monitoring equipment to bring to the attention of operating personnel important deviations in operating conditions and to indicate, if appropriate, the need for corrective action.
- R6. Each Balancing Authority and Transmission Operator shall use sufficient metering of suitable range, accuracy and sampling rate (if applicable) to ensure accurate and timely monitoring of operating conditions under both normal and emergency situations.
- R7. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall monitor system frequency.

C. Measures

- M1.** The Generator Operator shall have and provide upon request evidence that could include but is not limited to, operator logs, voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that it informed its Host Balancing Authority and Transmission Operator of all generation resources available for use. (Requirement 1.1)
- M2.** Each Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, operator logs, voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that it informed its Reliability Coordinator and other affected Balancing Authorities and Transmission Operators of all generation and transmission resources available for use. (Requirement 1.2)
- M3.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, computer printouts or other equivalent evidence that will be used to confirm that it monitored each of the applicable items listed in Requirement 2.
- M4.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, printouts, training documents, description documents or other equivalent evidence that will be used to confirm that it has weather forecasts and past load patterns, available to predict the system's near-term load pattern. (Requirement 4)
- M5.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, a description of its EMS alarm capability, training documents, or other equivalent evidence that will be used to confirm that important deviations in operating conditions and the need for corrective actions will be brought to the attention of its operators. (Requirement 5)
- M6.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have and provide upon request evidence that could include but is not limited to, a list of the frequency monitoring points available to the shift-operators or other equivalent evidence that will be used to confirm that it monitors system frequency. (Requirement 7)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)

- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Generator Operator shall keep 90 days of historical data (evidence) for Measure 1.

Each Transmission Operator and Balancing Authority shall keep 90 days of historical data (evidence) for Measure 2.

Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have current documents as evidence for Measure 3, 5 and 6..

Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have current documents as evidence of compliance to Measure 4.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all supporting compliance data

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Reliability Coordinators:

2.1. **Level 1:** Not applicable.

2.2. **Level 2:** Not applicable.

2.3. **Level 3:** Not applicable.

2.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Does not monitor all of the applicable items listed in Requirement 2.

2.4.2 Did not have the information specified in R4.

2.4.3 Did not bring to the attention of its operators, important deviations in operating conditions and the need for corrective actions. (Requirement 5)

2.4.4 No evidence it monitors system frequency. (Requirement 7)

3. Levels of Non-Compliance for Generator Operators:

3.1. **Level 1:** Not applicable.

3.2. **Level 2:** Not applicable.

3.3. **Level 3:** Not applicable.

3.4. **Level 4:** Did not inform its Host Balancing Authority and/or the Transmission Operator of all generation resources available for use. (R1.1)

4. Levels of Non-Compliance for Transmission Operators and Balancing Authorities:

4.1. **Level 1:** Not applicable.

4.2. **Level 2:** Not applicable.

4.3. **Level 3:** Not applicable.

4.4. **Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

4.4.1 Did not inform the Reliability Coordinator and/or other affected Balancing Authorities and Transmission Operators of all generation and transmission resources available for use in accordance with R1.2.

4.4.2 Does not monitor all the applicable items listed in R2.

4.4.3 Did not have the information specified in R4.

4.4.4 Does not have monitoring to bring to the attention of operating personnel important deviations in operating conditions and the need for corrective actions as specified in R5.

4.4.5 No evidence it monitors system frequency. (R7).

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1

A. Introduction

1. **Title:** Response to Transmission Limit Violations
2. **Number:** TOP-008-1
3. **Purpose:** To ensure Transmission Operators take actions to mitigate SOL and IROL violations.
4. **Applicability**
 - 4.1. Transmission Operators.
5. **(Proposed) Effective Date:** January 1, 2007

B. Requirements

- R1. The Transmission Operator experiencing or contributing to an IROL or SOL violation shall take immediate steps to relieve the condition, which may include shedding firm load.
- R2. Each Transmission Operator shall operate to prevent the likelihood that a disturbance, action, or inaction will result in an IROL or SOL violation in its area or another area of the Interconnection. In instances where there is a difference in derived operating limits, the Transmission Operator shall always operate the Bulk Electric System to the most limiting parameter.
- R3. The Transmission Operator shall disconnect the affected facility if the overload on a transmission facility or abnormal voltage or reactive condition persists and equipment is endangered. In doing so, the Transmission Operator shall notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection prior to switching, if time permits, otherwise, immediately thereafter.
- R4. The Transmission Operator shall have sufficient information and analysis tools to determine the cause(s) of SOL violations. This analysis shall be conducted in all operating timeframes. The Transmission Operator shall use the results of these analyses to immediately mitigate the SOL violation.

C. Measures

- M1. The Transmission Operator involved in an SOL or IROL violation shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings, electronic communications, alarm program printouts, or other equivalent evidence that will be used to determine if it took immediate steps to relieve the condition. (Requirement 1)
- M2. The Transmission Operator that disconnects an overloaded facility shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings, electronic communications, alarm program print outs, or other equivalent evidence that will be used to determine if it disconnected an overloaded facility in accordance with Requirement 3 Part 1
- M3. The Transmission Operator that disconnects an overloaded facility shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it notified its Reliability Coordinator and all neighboring Transmission Operators impacted by the

disconnection prior to switching, if time permitted, otherwise, immediately thereafter. (Requirement 3 Part 2)

M4. The Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, computer facilities documents, computer printouts, training documents, copies of analysis program results, operator logs or other equivalent evidence that will be used to confirm that it has sufficient information and analysis tools to determine the cause(s) of SOL violations. (Requirement 4 Part 1)

M5. The Transmission Operator that violates an SOL shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that it used the results of these analyses to immediately mitigate the SOL violation. (Requirement 4 Part 3)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Transmission Operator shall keep 90 days of historical data (evidence) for Measure 1, 2 and 3.

Each Transmission Operator shall have current documents as evidence of compliance to Measures 4 and 5.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance data

1.4. Additional Compliance Information

None.

2. Levels of Non-Compliance for Transmission Operator

2.1. Level 1: Not applicable.

2.2. Level 2: Disconnected an overloaded facility as specified in R3 but did not notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection prior to switching, or immediately thereafter.

2.3. Level 3: Not applicable.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

2.4.1 Did not take immediate steps to relieve an IROL or SOL violation in accordance with R1.

2.4.2 Did not disconnect an overloaded facility as specified in R3.

2.4.3 Does not have sufficient information and analysis tools to determine the cause(s) of SOL violations. (R4 Part 1)

2.4.4 Did not use the results of analyses to immediately mitigate an SOL violation. (R4 Part 3)

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	April 17, 2006	Draft for 30-day posting	Revision 1
0	July 10, 2006	Draft for 45-day posting	Revision 1