

## Standard Development Timeline

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*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. Nominations for the SAR Drafting Team members were solicited February 26 – March 9, 2007.
2. The SAR was posted for a 30-day comment period March 22 – April 20, 2007.
3. Nominations for the Disturbance Monitoring Standard Drafting Team (DMSDT) for Project 2007-11 Disturbance Monitoring were solicited June 12 – 25, 2007.
4. The draft standard was posted for a 45-day formal comment period February 2-March 18, 2009.
5. The project was placed into informal development the fall of 2010.
6. The project was placed into formal development January 2013.
7. Nominations for two additional DMSDT members were solicited April 12 – 25, 2013.
8. Three additional DMSDT members were added May 22, 2013.
9. Industry webinars were held May 22, 2013, June 12, 2014, and August 21, 2014.
10. Industry technical conferences were held July 30 - 31, 2013 and August 6 - 7, 2013.
11. The draft standard was posted for a 45-day concurrent comment and ballot period November 1 – December 16, 2013.
12. The draft standard was posted for a 45-day concurrent comment and ballot period May 9 – June 25, 2014 (ballot was extended to achieve quorum).

### Description of Current Draft

This is the fourth draft of the proposed standard and is being posted for stakeholder comments and additional ballot. This draft includes the modifications based on comments submitted by stakeholders.

Anticipated Actions	Anticipated Date
45-day Formal Comment Period with a 10-day Ballot	September, 2014
Final Ballot	October, 2014
BOT Adoption	November, 2014

**Effective Dates**

See Implementation Plan

**Version History**

Version	Date	Action	Change Tracking
2.0	TBD	Effective Date	New

### **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 NERC Glossary of Terms (Glossary) used in Reliability Standards 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.*

**None**

*When this standard has received ballot approval, the Rationale Boxes will be moved to the Guidelines and Technical Basis Section of the Standard.*

**A. Introduction**

- 1. Title:** Disturbance Monitoring and Reporting Requirements
- 2. Number:** PRC-002-2
- 3. Purpose:** To have adequate data available to facilitate analysis of Bulk Electric System (BES) Disturbances.
- 4. Applicability:**
  - Functional Entities:**
    - 4.1** The Responsible Entity is:
      - 4.1.1** Eastern Interconnection – Planning Coordinator
      - 4.1.2** ERCOT – Planning Coordinator or Reliability Coordinator
      - 4.1.3** Western Interconnection – Reliability Coordinator
    - 4.2** Transmission Owner
    - 4.3** Generator Owner

**Rationale for Functional Entities:**

When the term “Responsible Entity” is used in PRC-002-2, it specifically refers to those entities listed under 4.1. The Responsible Entity – the Planning Coordinator or Reliability Coordinator, as applicable in each Interconnection – has the best wide-area view of the BES and is most suited to be responsible for determining the BES Elements for which dynamic Disturbance recording (DDR) data is required. The Transmission Owners and Generator Owners will have the responsibility for ensuring that adequate data is available for those BES Elements selected.

BES buses where sequence of events recording (SER) and fault recording (FR) data is required are best selected by Transmission Owners because they have the required tools, information, and working knowledge of their Systems to determine those buses. The Transmission Owners and Generator Owners that own BES Elements on those BES buses will have the responsibility for ensuring that adequate data is available.

## B. Requirements and Measures

- R1.** Each Transmission Owner shall: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
- 1.1.** Identify BES buses for which sequence of events recording (SER) and fault recording (FR) data is required by using the methodology in PRC-002-2, Attachment 1.
  - 1.2.** Notify other owners of BES Elements connected to those BES buses, if any, within 90-calendar days of completion of Part 1.1, that those BES Elements require SER data and/or FR data.
  - 1.3.** Re-evaluate all BES buses at least once every five calendar years in accordance with Part 1.1 and notify other owners, if any, in accordance with Part 1.2, and implement the re-evaluated list of BES buses as per the Implementation Plan.
- M1.** The Transmission Owner has a dated (electronic or hard copy) list of BES buses for which SER and FR data is required, identified in accordance with PRC-002-2, Attachment 1, and evidence that all BES buses have been re-evaluated within the required interval under Requirement R1. The Transmission Owner will also have dated (electronic or hard copy) evidence that it notified other owners in accordance with Requirement R1.

### Rationale for R1:

Analysis and reconstruction of BES events requires SER and FR data from key BES buses. Attachment 1 provides a uniform methodology to identify those BES buses. Repeated testing of the Attachment 1 methodology has demonstrated the proper distribution of SER and FR data collection. Review of actual BES short circuit data received from the industry in response to the DMSDT's data request (June 5, 2013 through July 5, 2013) illuminated a strong correlation between the available short circuit MVA at a Transmission bus and its relative size and importance to the BES based on (i) its voltage level, (ii) the number of Transmission Lines and other BES Elements connected to the BES bus, and (iii) the number and size of generating units connected to the bus. BES buses with a large short circuit MVA level are BES Elements that have a significant effect on System reliability and performance. Conversely, BES buses with very low short circuit MVA levels seldom cause wide-area or cascading System events, so SER and FR data from those BES Elements are not as significant. After analyzing and reviewing the collected data submittals from across the continent, the threshold MVA values were chosen to provide sufficient data for event analysis using engineering and operational judgment.

Concerns have existed that the defined methodology for bus selection will overly concentrate data to selected BES buses. For the purpose of PRC-002-2, there are a minimum number of BES buses for which SER and FR data is required based on the short circuit level. With these concepts and the objective being sufficient recording coverage for event analysis, the DMSDT developed the procedure in Attachment 1 that utilizes the maximum available calculated three phase short circuit MVA. This methodology ensures comparable and sufficient coverage for SER and FR data regardless of variations in the size and System topology of Transmission Owners across all Interconnections. Additionally, this methodology provides a degree of flexibility for the use of judgment in the selection process to ensure sufficient distribution.

BES buses where SER and FR data is required are best selected by Transmission Owners because they have the required tools, information, and working knowledge of their Systems to determine those buses.

Each Transmission Owner must re-evaluate the list of BES buses at least every five calendar years to address System changes since the previous evaluation. Changes to the BES do not mandate immediate inclusion of BES buses into the in force list, but the list of BES buses will be re-evaluated at least every five calendar years to address System changes since the previous evaluation.

Since there may be multiple owners of equipment that comprise a BES bus, the notification required in R1 is necessary to ensure all owners are notified.

A 90-calendar day notification deadline provides adequate time for the Transmission Owner to make the appropriate determination and notification.

- R2.** Each Transmission Owner and Generator Owner shall have SER data for circuit breaker position (open/close) for each circuit breaker it owns connected directly to the BES buses identified in Requirement R1 and associated with the BES Elements at those BES buses. [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
- M2.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) of SER data for circuit breaker position as specified in Requirement R2. Evidence may include, but is not limited to: (1) documents describing the device interconnections and configurations which may include a single design standard as representative for common installations; or (2) actual data recordings; or (3) station drawings.

**Rationale for R2:**

The intent is to capture SER data for the status (open/close) of the circuit breakers that can interrupt the current flow through each BES Element connected to a BES bus. Change of state of circuit breaker position, time stamped according to Requirement R10 to a time synchronized clock, provides the basis for assembling the detailed sequence of events timeline of a power System Disturbance. Other status monitoring nomenclature can be used for devices other than circuit breakers.

- R3.** Each Transmission Owner and Generator Owner shall have FR data to determine the following electrical quantities for each triggered FR for the BES Elements it owns connected to the BES buses identified in Requirement R1: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
  - 3.1** Phase-to-neutral voltage for each phase of each specified BES bus.
  - 3.2** Each phase current and the residual or neutral current for the following BES Elements:
    - 3.2.1** Transformers that have a low-side operating voltage of 100kV or above.

### 3.2.2 Transmission Lines.

- M3.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) of FR data that is sufficient to determine electrical quantities as specified in Requirement R3. Evidence may include, but is not limited to: (1) documents describing the device specifications and configurations which may include a single design standard as representative for common installations; or (2) actual data recordings or derivations; or (3) station drawings.

#### Rationale for R3:

The required electrical quantities may either be directly measured or determinable if sufficient FR data is captured (e.g. residual or neutral current if the phase currents are directly measured). In order to cover all possible fault types, all BES bus phase-to-neutral voltages are required to be determinable for each BES bus identified in Requirement R1. BES bus voltage data is adequate for System Disturbance analysis. Phase current and residual current are required to distinguish between phase faults and ground faults. It also facilitates determination of the fault location and cause of relay operation. For transformers (Part 3.2.1), the data may be from either the high-side or the low-side of the transformer. Generator step-up transformers (GSUs) and leads that connect the GSU transformer(s) to the Transmission System that are used exclusively to export energy directly from a BES generating unit or generating plant are excluded from Requirement R3 because the fault current contribution from a generator to a fault on the Transmission System will be captured by FR data on the Transmission System, and Transmission System FR will capture faults on the generator interconnection.

- R4.** Each Transmission Owner and Generator Owner shall have FR data as specified in Requirement R3 that meets the following: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]

**4.1** A single record or multiple records that include:

- A pre-trigger record length of at least two cycles and a total record length of at least 30 cycles for the same trigger point, or
- At least two cycles of the pre-trigger data, the first three cycles of the post-trigger data, and the final cycle of the fault as seen by the fault recorder.

**4.2** A minimum recording rate of 16 samples per cycle.

**4.3** Trigger settings for at least the following:

**4.3.1** Neutral (residual) overcurrent.

**4.3.2** Phase undervoltage or overcurrent.

- M4.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) that FR data meets Requirement R4. Evidence may include, but is not limited to: (1)

documents describing the device specification (R4, Part 4.2) and device configuration or settings (R4, Parts 4.1 and 4.3), or (2) actual data recordings or derivations.

**Rationale for R4:**

Time stamped pre- and post-trigger fault data aid in the analysis of power System operations and determination if operations were as intended. System faults generally persist for a short time period, thus a 30 cycle total minimum record length is adequate. Multiple records allow for legacy microprocessor relays which, when time-synchronized, are capable of providing adequate fault data but not capable of providing fault data in a single record with 30 contiguous cycles total.

A minimum recording rate of 16 samples per cycle (960 Hz) is required to get sufficient point on wave data for recreating accurate fault conditions.

**R5.** Each Responsible Entity shall: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]

**5.1** Identify BES Elements for which dynamic Disturbance recording (DDR) data is required, including the following:

**5.1.1** Generating resource(s) with:

**5.1.1.1** Gross individual nameplate rating greater than or equal to 500 MVA.

**5.1.1.2** Gross individual nameplate rating greater than or equal to 300 MVA where the gross plant/facility aggregate nameplate rating is greater than or equal to 1000 MVA.

**5.1.2** Any one BES Element that is part of a stability (angular or voltage) related System Operating Limit (SOL).

**5.1.3** Each terminal of a high voltage direct current (HVDC) circuit with a nameplate rating greater than or equal to 300 MVA, on the alternating current (AC) portion of the converter.

**5.1.4** One or more BES Elements that are part of an Interconnection Reliability Operating Limit (IROL).

**5.1.5** Any one BES Element within a major voltage sensitive area as defined by an area with an in-service undervoltage load shedding (UVLS) program.

**5.2** Ensure a minimum DDR coverage, inclusive of those BES Elements identified in Part 5.1, of at least:

**5.2.1** One BES Element; and

**5.2.2** One BES Element per 3,000 MW of the Responsible Entity's historical simultaneous peak System Demand.



- 5.3** Notify all owners of identified BES Elements, within 90-calendar days of completion of Part 5.1, that their respective BES Elements require DDR data when requested.
- 5.4** Re-evaluate all BES Elements at least once every five calendar years in accordance with Parts 5.1 and 5.2 and notify owners in accordance with Part 5.3, and implement the re-evaluated list of BES Elements as per the Implementation Plan.

**M5.** The Responsible Entity has a dated (electronic or hard copy) list of BES Elements for which DDR data is required, developed in accordance with Requirement R5, Part 5.1 and Part 5.2; and re-evaluated in accordance with Part 5.4. The Responsible Entity has dated evidence (electronic or hard copy) that each Transmission Owner or Generator Owner has been notified in accordance with Requirement 5, Part 5.3. Evidence may include, but is not limited to: letters, emails, electronic files, or hard copy records demonstrating transmittal of information.

**Rationale for R5:**

DDR is used for capturing the BES transient and post-transient response following Disturbances, and the data is used for event analysis and validating System performance. DDR plays a critical role in wide-area Disturbance analysis, and Requirement R5 ensures there is adequate wide-area coverage of DDR data for specific BES Elements to facilitate accurate and efficient event analysis. The Responsible Entity has the best wide-area view of the System and needs to ensure that there are sufficient BES Elements identified for DDR data capture. The identification of BES Elements requiring DDR data as per Requirement R5 is based upon industry experience with wide-area Disturbance analysis and the need for adequate data to facilitate event analysis. Ensuring data is captured for these BES Elements will significantly improve the accuracy of analysis and understanding why an event occurred, not simply what occurred.

From its experience with changes to the Bulk Electric System that would affect DDR, the DMSDT decided that the five calendar year re-evaluation of the list is a reasonable interval for this review. Changes to the BES do not mandate immediate inclusion of BES Elements into the in force list, but the list of BES Elements will be re-evaluated at least every five calendar years to address System changes since the previous evaluation. However, this Standard does not preclude the Responsible Entity from performing this re-evaluation more frequently to capture updated BES Elements.

The Responsible Entity, for the purposes of this standard, is defined as the PC or RC depending upon Interconnection, because they have the best overall perspective for determining wide-area DDR coverage. The Planning Coordinator and Reliability Coordinator assume different functions across the continent; therefore the Responsible Entity is defined in the Applicability Section and used throughout this standard.

The Responsible Entity must notify all owners of the selected BES Elements that DDR data is required for this Standard. The Responsible Entity is only required to share the list of selected BES Elements that each Transmission Owner and Generator Owner respectively owns, not the entire list. This communication of selected BES Elements is required to ensure that the owners of the respective BES Elements are aware of their responsibilities under this standard.

Implementation of the monitoring equipment is the responsibility of the respective Transmission Owners and Generator Owners, the timeline for installing this capability is outlined in the Implementation Plan, and starts from notification of the list from the Responsible Entity. Data for each BES Element as defined by the Responsible Entity must be provided; however, this data can be either directly measured or accurately calculated. With the exception of HVDC circuits, DDR data is only required for one end or terminal of the BES Elements selected. For example, DDR data must be provided for at least one terminal of a Transmission Line or generator step-up (GSU) transformer, but not both terminals. For an interconnection between two Responsible Entities, each Responsible Entity will consider this interconnection independently, and are expected to work

cooperatively to determine how to monitor the BES Elements that require DDR data. For an interconnection between two TO's, or a TO and a GO, the Responsible Entity will determine which entity will provide the data. The Responsible Entity will notify the owners that their BES Elements require DDR data.

Refer to the Guidelines and Technical Basis Section for more detail on the rationale and technical reasoning for each identified BES Element in Requirement R5, Part 5.1; monitoring these BES Elements with DDR will facilitate thorough and informative event analysis of wide-area Disturbances on the BES. Part 5.2 is included to ensure wide-area coverage across all Responsible Entities. It is intended that each Responsible Entity will have DDR data for one BES Element and at least one additional BES Element per 3,000 MW of its historical simultaneous peak System Demand.

**R6.** Each Transmission Owner shall have DDR data to determine the following electrical quantities for each BES Element it owns for which it received notification as identified in Requirement R5: *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning ]*

**6.1** One phase-to-neutral or positive sequence voltage.

**6.2** The phase current for the same phase at the same voltage corresponding to the voltage in Requirement R6, Part 6.1, or the positive sequence current.

**6.3** Real Power and Reactive Power flows expressed on a three phase basis corresponding to all circuits where current measurements are required.

**6.4** Frequency of any one of the voltage(s) in Requirement R6, Part 6.1.

**M6.** The Transmission Owner has evidence (electronic or hard copy) of DDR data to determine electrical quantities as specified in Requirement R6. Evidence may include, but is not limited to: (1) documents describing the device specifications and configurations, which may include a single design standard as representative for common installations; or (2) actual data recordings or derivations; or (3) station drawings.

**Rationale for R6:**

DDR is used to measure transient response to System Disturbances during a relatively balanced post-fault condition. Therefore, it is sufficient to provide a phase-to-neutral voltage or positive sequence voltage. The electrical quantities can be determined (calculated, derived, etc.).

Because all of the BES buses within a location are at the same frequency, one frequency measurement is adequate.

The data requirements for PRC-002-2 are based on a System configuration assuming all normally closed circuit breakers on a BES bus are closed.

- R7.** Each Generator Owner shall have DDR data to determine the following electrical quantities for each BES Element it owns for which it received notification as identified in Requirement R5: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]
- 7.1** One phase-to-neutral, phase-to-phase, or positive sequence voltage at either the generator step-up transformer (GSU) high-side or low-side voltage level.
  - 7.2** The phase current for the same phase at the same voltage corresponding to the voltage in Requirement R7, Part 7.1, phase current(s) for any phase-to-phase voltages, or positive sequence current.
  - 7.3** Real Power and Reactive Power flows expressed on a three phase basis corresponding to all circuits where current measurements are required.
  - 7.4** Frequency of at least one of the voltages in Requirement R7, Part 7.1.
- M7.** The Generator Owner has evidence (electronic or hard copy) of DDR data to determine electrical quantities as specified in Requirement R7. Evidence may include, but is not limited to: (1) documents describing the device specifications and configurations, which may include a single design standard as representative for common installations; or (2) actual data recordings or derivations; or (3) station drawings.

**Rationale for R7:**

A crucial part of wide-area Disturbance analysis is understanding the dynamic response of generating resources. Therefore, it is necessary for Generator Owners to have DDR at either the high- or low-side of the generator step-up transformer (GSU) measuring the specified electrical quantities to adequately capture generator response. This standard defines the ‘what’ of DDR, not the ‘how’. Generator Owners may install this capability or, where the Transmission Owners already have suitable DDR data, contract with the Transmission Owner. However, the Generator Owner is still responsible for the provision of this data.

**R8.** Each Transmission Owner and Generator Owner responsible for DDR data for the BES Elements identified in Requirement R5 shall have continuous data recording and storage. If the equipment was installed prior to the effective date of this standard and is not capable of continuous recording, triggered records must meet the following:  
*[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*

**8.1** Triggered record lengths of at least three minutes.

**8.2** At least one of the following three triggers:

- Off nominal frequency trigger set at:

	Low	High
○ Eastern Interconnection	<59.75 Hz	>61.0 Hz
○ Western Interconnection	<59.55 Hz	>61.0 Hz
○ ERCOT Interconnection	<59.35 Hz	>61.0 Hz
○ Hydro-Quebec Interconnection	<58.55 Hz	>61.5 Hz

- Rate of change of frequency trigger set at:

○ Eastern Interconnection	< -0.03125 Hz/sec	> 0.125 Hz/sec
○ Western Interconnection	< -0.05625 Hz/sec	> 0.125 Hz/sec
○ ERCOT Interconnection	< -0.08125 Hz/sec	> 0.125 Hz/sec
○ Hydro-Quebec Interconnection	< -0.18125 Hz/sec	> 0.1875 Hz/sec

- Undervoltage trigger set no lower than 85 percent of normal operating voltage for a duration of 5 seconds.

**M8.** Each Transmission Owner and Generator Owner has dated evidence (electronic or hard copy) of data recordings and storage in accordance with Requirement R8. Evidence may include, but is not limited to: (1) documents describing the device specifications and configurations, which may include a single design standard as representative for common installations; or (2) actual data recordings.

**Rationale for R8:**

Large scale System outages generally are an evolving sequence of events that occur over an extended period of time, making DDR data essential for event analysis. Data available pre- and post-contingency helps identify the causes and effects of each event leading to outages. Therefore, continuous recording and storage are necessary to ensure sufficient data is available for the entire event.

Existing DDR data recording across the BES may not record continuously. To accommodate its use for the purposes of this standard, triggered records are acceptable if the equipment was installed prior to the effective date of this standard. The frequency triggers are defined based on the dynamic response

associated with each Interconnection. The undervoltage trigger is defined to capture possible delayed undervoltage conditions such as Fault Induced Delayed Voltage Recovery (FIDVR).

**R9.** Each Transmission Owner and Generator Owner responsible for DDR data for the BES Elements identified in Requirement R5 shall have DDR data that meet the following: *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*

**9.1** Input sampling rate of at least 960 samples per second.

**9.2** Output recording rate of electrical quantities of at least 30 times per second.

**M9.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) that DDR data meets Requirement R9. Evidence may include, but is not limited to: (1) documents describing the device specification, device configuration, or settings; or (2) actual data recordings (R9, Part 9.2).

Rationale for R9:

An input sampling rate of at least 960 samples per second, which corresponds to 16 samples per cycle on the input side of the DDR equipment, ensures adequate accuracy for calculation of recorded measurements such as complex voltage and frequency.

An output recording rate of electrical quantities of at least 30 times per second refers to the recording and measurement calculation rate of the device. Recorded measurements of at least 30 times per second provide adequate recording speed to monitor the low frequency oscillations typically of interest during power System Disturbances.

**R10.** Each Transmission Owner and Generator Owner shall time synchronize all SER and FR data for the BES buses identified in Requirement R1 and DDR data for the BES Elements identified in Requirement R5 that meet the following: *[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*

**10.1** Synchronization to Coordinated Universal Time (UTC) with or without a local time offset.

**10.2** Synchronized device clock accuracy within  $\pm 2$  milliseconds of UTC.

**M10.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) of time synchronization described in Requirement R10. Evidence may include, but is not limited to: (1) documents describing the device specification, configuration, or setting; (2) time synchronization indication or status; or (3) station drawings.

**Rationale for R10:**

NOTE: The rationale for R10 was extensively revised since the last posting. To make reading easier, only the clean version of the language is included here.

Time synchronization of Disturbance monitoring data is essential for time alignment of large volumes of geographically dispersed records from diverse recording sources. Coordinated Universal Time (UTC) is a recognized time standard that utilizes atomic clocks for generating precision time measurements. All data must be provided in UTC formatted time either with or without the local time offset, expressed as a negative number (the difference between UTC and the local time zone where the measurements are recorded).

Accuracy of time synchronization applies only to the clock used for synchronizing the monitoring equipment. The equipment used to measure the electrical quantities must be time synchronized to  $\pm 2$  ms accuracy; however, accuracy of the application of this time stamp and therefore the accuracy of the data itself is not mandated. This is because of inherent delays associated with measuring the electrical quantities and events such as breaker closing, measurement transport delays, algorithm and measurement calculation techniques, etc. Ensuring that the monitoring devices are within  $\pm 2$  ms accuracy will suffice with respect to providing time synchronized data.

**R11.** Each Transmission Owner and Generator Owner shall provide, upon request, all SER and FR data for the BES buses identified in Requirement R1 and DDR data for the BES Elements identified in Requirement R5 to the Responsible Entity, Regional Entity, or NERC in accordance with the following: [*Violation Risk Factor: Lower*] [*Time Horizon: Long-term Planning*]

**11.1** Data will be retrievable for the period of 10-calendar days, inclusive of the day the data was recorded.

**11.2** Data subject to Part 11.1 will be provided within 30-calendar days of a request unless an extension is granted by the requestor.

**11.3** SER data will be provided in ASCII Comma Separated Value (CSV) format following Attachment 2.

**11.4** FR and DDR data will be provided in electronic files that are formatted in conformance with C37.111, (IEEE Standard for Common Format for Transient Data Exchange (COMTRADE), revision C37.111-1999 or later.

**11.5** Data files will be named in conformance with C37.232, IEEE Standard for Common Format for Naming Time Sequence Data Files (COMNAME), revision C37.232-2011 or later.

**M11.** The Transmission Owner or Generator Owner has evidence (electronic or hard copy) that data was submitted upon request in accordance with Requirement R11. Evidence may include, but is not limited to: (1) dated transmittals to the requesting entity with formatted records; (2) documents describing data storage capability, device specification, configuration or settings; or (3) actual data recordings.

Rationale for R11:

NOTE: The rationale for R11 was extensively revised since the last posting. To make reading easier, only the clean version of the language is included here.

Wide-area Disturbance analysis includes data recording from many devices and entities. Standardized formatting and naming conventions of these files significantly improves timely analysis.

Providing the data within 30-calendar days (or the granted extension time), subject to Part 11.1, allows for reasonable time to collect the data and perform any necessary computations or formatting.

Data is required to be retrievable for 10-calendar days inclusive of the day the data was recorded, i.e. a 10-calendar day rolling window of available data. Data hold requests are usually initiated the same or next day following a major event for which data is requested. A 10-calendar day time frame provides a practical limit on the duration of data required to be stored and informs the requesting entities as to how long the data will be available. The requestor of data has to be aware of the Part 11.1 10-calendar day retrievability because requiring data retention for a longer period of time is expensive and unnecessary.

SER data shall be provided in a simple ASCII .CSV format as outlined in Attachment 2. Either equipment can provide the data or a simple conversion program can be used to convert files into this format. This will significantly improve the data format for event records, enabling the use of software tools for analyzing the SER data.

Part 11.4 specifies FR and DDR data files be provided in conformance with IEEE C37.111, IEEE Standard for Common Format for Transient Exchange (COMTRADE), revision 1999 or later. The use of IEEE C37.111-1999 or later is well established in the industry. C37.111-2013 is a version of COMTRADE that includes an annex describing the application of the COMTRADE standard to synchrophasor data; however, version C37.111-1999 is commonly used in the industry today.

Part 11.5 uses a standardized naming format, C37.232-2011, IEEE Standard for Common Format for Naming Time Sequence Data Files (COMNAME), for providing Disturbance monitoring data. This file format allows a streamlined analysis of large Disturbances, and includes critical records such as local time offset associated with the synchronization of the data.

**R12.** Each Transmission Owner and Generator Owner shall, within 90-calendar days of the discovery of a failure of the recording capability for the SER, FR or DDR data, either:  
*[Violation Risk Factor: Lower] [Time Horizon: Long-term Planning]*

- Restore the recording capability, or
- Submit a Corrective Action Plan (CAP) to the Regional Entity and implement it.

**M12.** The Transmission Owner or Generator Owner has dated evidence (electronic or hard copy) that meets Requirement R12. Evidence may include, but is not limited to: (1) dated reports of discovery of a failure, (2) documentation noting the date of the data recording was restored, (3) SCADA records, or (4) dated CAP transmittals to the Regional Entity and evidence that it implemented the CAP.

**Rationale for R12:**

Each Transmission Owner and Generator Owner who owns equipment used for collecting the data required for this standard must repair any failures within 90-calendar days to ensure that adequate data is available for event analysis. If the Disturbance monitoring capability cannot be restored within 90-calendar days (e.g. budget cycle, service crews, vendors, needed outages, etc.), the entity must develop a Corrective Action Plan (CAP) for restoring the data recording capability. The timeline required for the CAP depends on the entity and the type of data required. It is treated as a failure if the recording capability is out of service for maintenance and/or testing for greater than 90-calendar days. An outage of the monitored BES Element does not constitute a failure of the Disturbance monitoring capability.



## C. Compliance

### 1. Compliance Monitoring Process

#### 1.1. Compliance Enforcement Authority

As defined in the NERC Rules of Procedure, “Compliance Enforcement Authority” (CEA) means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

#### 1.2. Evidence Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Transmission Owner, Generator Owner, Planning Coordinator, and Reliability Coordinator shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

The Transmission Owner shall retain evidence of Requirement R1, Measure M1 for five calendar years.

The Transmission Owner shall retain evidence of Requirement R6, Measure M6 for three calendar years.

The Generator Owner shall retain evidence of Requirement R7, Measure M7 for three calendar years.

The Transmission Owner and Generator Owner shall retain evidence of requested data provided as per Requirements R2, R3, R4, R8, R9, R10, R11, and R12, Measures M2, M3, M4, M8, M9, M10, M11, and M12 for three calendar years.

The Responsible Entity (Planning Coordinator or Reliability Coordinator, as applicable) shall retain evidence of Requirement R5, Measure M5 for five calendar years.

If a Transmission Owner, Generator Owner, or Responsible Entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is completed and approved or for the time specified above, whichever is longer.

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

#### 1.3. Compliance Monitoring and Assessment Processes:

Compliance Audit

Self-Certification

Spot Checking

Compliance Violation Investigation

Self-Reporting

Complaints

**1.4. Additional Compliance Information**

None

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Long-term Planning	Lower	<p>The Transmission Owner identified the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 for more than 80 percent but less than 100 percent of the required BES buses that they own.</p> <p>OR</p> <p>The Transmission Owner evaluated the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 but was late by 30-calendar days or less.</p> <p>OR</p> <p>The Transmission Owner as directed by Requirement R1, Part 1.2 was late in notifying the other owners by 10-calendar days or less.</p>	<p>The Transmission Owner identified the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 for more than 70 percent but less than or equal to 80 percent of the required BES buses that they own.</p> <p>OR</p> <p>The Transmission Owner evaluated the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 but was late by greater than 30-calendar days and less than or equal to 60-calendar days.</p> <p>OR</p> <p>The Transmission Owner as directed by Requirement R1, Part 1.2 was late in notifying the other</p>	<p>The Transmission Owner identified the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 for more than 60 percent but less than or equal to 70 percent of the required BES buses that they own.</p> <p>OR</p> <p>The Transmission Owner evaluated the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 but was late by greater than 60-calendar days and less than or equal to 90-calendar days.</p> <p>OR</p> <p>The Transmission Owner as directed by Requirement R1, Part 1.2 was late in notifying the other</p>	<p>The Transmission Owner identified the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 for less than or equal to 60 percent of the required BES buses that they own.</p> <p>OR</p> <p>The Transmission Owner evaluated the BES buses as directed by Requirement R1, Part 1.1 or Part 1.3 but was late by greater than 90-calendar days.</p> <p>OR</p> <p>The Transmission Owner as directed by Requirement R1, Part 1.2 was late in notifying one or more other owners by greater than 30-calendar days.</p>

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				owners by greater than 10-calendar days but less than or equal to 20-calendar days.	owners by greater than 20-calendar days but less than or equal to 30-calendar days.	
<b>R2</b>	Long-term Planning	Lower	Each Transmission Owner or Generator Owner as directed by Requirement R2 had more than 80 percent but less than 100 percent of the total SER data for circuit breaker position (open/close) for each of the circuit breakers at the BES buses identified in Requirement R1.	Each Transmission Owner or Generator Owner as directed by Requirement R2 had more than 70 percent but less than or equal to 80 percent of the total SER data for circuit breaker position (open/close) for each of the circuit breakers at the BES buses identified in Requirement R1.	Each Transmission Owner or Generator Owner as directed by Requirement R2 had more than 60 percent but less than or equal to 70 percent of the total SER data for circuit breaker position (open/close) for each of the circuit breakers at the BES buses identified in Requirement R1.	Each Transmission Owner or Generator Owner as directed by Requirement R2 for less than or equal to 60 percent of the total SER data for circuit breaker position (open/close) for each of the circuit breakers at the BES buses identified in Requirement R1.
<b>R3</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner had FR data as directed by Requirement R3, Parts 3.1 and 3.2 that covers more than 80 percent but less than 100 percent of the total set of required electrical quantities, which is the product of the total number of monitored BES Elements and the	The Transmission Owner or Generator Owner had FR data as directed by Requirement R3, Parts 3.1 and 3.2 that covers more than 70 percent but less than or equal to 80 percent of the total set of required electrical quantities, which is the product of the total number of monitored BES	The Transmission Owner or Generator Owner had FR data as directed by Requirement R3, Parts 3.1 and 3.2 that covers more than 0 percent but less than or equal to 70 percent of the total set of required electrical quantities, which is the product of the total number of monitored BES	The Transmission Owner or Generator Owner had FR data as directed by Requirement R3, Parts 3.1 and 3.2 that covers less than or equal to 60 percent of the total set of required electrical quantities, which is the product of the total number of monitored BES Elements and the number of specified

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			number of specified electrical quantities for each BES Element.	Elements and the number of specified electrical quantities for each BES Element.	Elements and the number of specified electrical quantities for each BES Element.	electrical quantities for each BES Element.
<b>R4</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner had FR data that meets more than 80 percent but less than 100 percent of the total recording properties as specified in Requirement R4.	The Transmission Owner or Generator Owner had FR data that meets more than 70 percent but less than or equal to 80 percent of the total recording properties as specified in Requirement R4.	The Transmission Owner or Generator Owner had FR data that meets more than 60 percent but less than or equal to 70 percent of the total recording properties as specified in Requirement R4.	The Transmission Owner or Generator Owner had FR data that meets less than or equal to 60 percent of the total recording properties as specified in Requirement R4.
<b>R5</b>	Long-term Planning	Lower	The Responsible Entity identified the BES Elements for which DDR data is required as directed by Requirement R5 for more than 80 percent but less than 100 percent of the required BES Elements included in Part 5.1.  OR  The Responsible Entity identified the BES Elements for DDR as directed by Requirement R5, Part	The Responsible Entity identified the BES Elements for which DDR data is required as directed by Requirement R5 for more than 70 percent but less than or equal to 80 percent of the required BES Elements included in Part 5.1.  OR  The Responsible Entity identified the BES Elements for DDR as directed by Requirement R5, Part	The Responsible Entity identified the BES Elements for which DDR data is required as directed by Requirement R5 for more than 60 percent but less than or equal to 70 percent of the required BES Elements included in Part 5.1.  OR  The Responsible Entity identified the BES Elements for DDR as directed by Requirement R5, Part	The Responsible Entity identified the BES Elements for which DDR data is required as directed by Requirement R5 for less than or equal to 60 percent of the required BES Elements included in Part 5.1.  OR  The Responsible Entity identified the BES Elements for DDR as directed by Requirement R5, Part 5.1 or Part 5.4 but was

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			<p>5.1 or Part 5.4 but was late by 30-calendar days or less.</p> <p>OR</p> <p>The Responsible Entity as directed by Requirement R5, Part 5.3 was late in notifying the owners by 10-calendar days or less.</p>	<p>5.1 or Part 5.4 but was late by greater than 30-calendar days and less than or equal to 60 -calendar days.</p> <p>OR</p> <p>The Responsible Entity as directed by Requirement R5, Part 5.3 was late in notifying the owners by greater than 10-calendar days but less than or equal to 20-calendar days.</p>	<p>5.1 or Part 5.4 but was late by greater than 60-calendar days and less than or equal to 90-calendar days.</p> <p>OR</p> <p>The Responsible Entity as directed by Requirement R5, Part 5.3 was late in notifying the owners by greater than 20-calendar days but less than or equal to 30-calendar days.</p>	<p>late by greater than 90-calendar days.</p> <p>OR</p> <p>The Responsible Entity as directed by Requirement R5, Part 5.3 was late in notifying one or more owners by greater than 30-calendar days.</p> <p>OR</p> <p>The Responsible Entity failed to ensure a minimum DDR coverage per Part 5.2.</p>
<b>R6</b>	Long-term Planning	Lower	<p>The Transmission Owner had DDR data as directed by Requirement R6, Parts 6.1 through 6.4 that covered more than 80 percent but less than 100 percent of the total required electrical quantities for all applicable BES Elements.</p>	<p>The Transmission Owner had DDR data as directed by Requirement R6, Parts 6.1 through 6.4 for more than 70 percent but less than or equal to 80 percent of the total required electrical quantities for all applicable BES Elements.</p>	<p>The Transmission Owner had DDR data as directed by Requirement R6, Parts 6.1 through 6.4 for more than 60 percent but less than or equal to 70 percent of the total required electrical quantities for all applicable BES Elements.</p>	<p>The Transmission Owner failed to have DDR data as directed by Requirement R6, Parts 6.1 through 6.4.</p>
<b>R7</b>	Long-term Planning	Lower	<p>The Generator Owner had DDR data as directed by</p>	<p>The Generator Owner had DDR data as directed by</p>	<p>The Generator Owner had DDR data as directed by</p>	<p>The Generator Owner failed to have DDR data as directed by</p>

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			Requirement R7, Parts 7.1 through 7.4 that covers more than 80 percent but less than 100 percent of the total required electrical quantities for all applicable BES Elements.	Requirement R7, Parts 7.1 through 7.4 for more than 70 percent but less than or equal to 80 percent of the total required electrical quantities for all applicable BES Elements.	Requirement R7, Parts 7.1 through 7.4 for more than 60 percent but less than or equal to 70 percent of the total required electrical quantities for all applicable BES Elements.	Requirement R7, Parts 7.1 through 7.4.
<b>R8</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner had continuous or non-continuous DDR data, as directed in Requirement R8, for more than 80 percent but less than 100 percent of the BES Elements they own as determined in Requirement R5.	The Transmission Owner or Generator Owner had continuous or non-continuous DDR data, as directed in Requirement R8, for more than 70 percent but less than or equal to 80 percent of the BES Elements they own as determined in Requirement R5.	The Transmission Owner or Generator Owner had continuous or non-continuous DDR data, as directed in Requirement R8, for more than 60 percent but less than or equal to 70 percent of the BES Elements they own as determined in Requirement R5.	The Transmission Owner or Generator Owner failed to have continuous or non-continuous DDR data, as directed in Requirement R8, for the BES Elements they own as determined in Requirement R5.
<b>R9</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner had DDR data that meets more than 80 percent but less than 100 percent of the total recording properties as specified in Requirement R9.	The Transmission Owner or Generator Owner had DDR data that meets more than 70 percent but less than or equal to 80 percent of the total recording properties as specified in Requirement R9.	The Transmission Owner or Generator Owner had DDR data that meets more than 60 percent but less than or equal to 70 percent of the total recording properties as specified in Requirement R9.	The Transmission Owner or Generator Owner had DDR data that meets less than or equal to 60 percent of the total recording properties as specified in Requirement R9.

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<b>R10</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner had time synchronization per Requirement R10, Parts 10.1 and 10.2 for SER, FR, and DDR data for more than 90 percent but less than 100 percent of the BES buses identified in Requirement R1 and BES Elements identified in Requirement R5 as directed by Requirement R10.	The Transmission Owner or Generator Owner had time synchronization per Requirement R10, Parts 10.1 and 10.2 for SER, FR, and DDR data for more than 80 percent but less than or equal to 90 percent of the BES buses identified in Requirement R1 and BES Elements identified in Requirement R5 as directed by Requirement R10.	The Transmission Owner or Generator Owner had time synchronization per Requirement R10, Parts 10.1 and 10.2 for SER, FR, and DDR data for more than 70 percent but less than or equal to 80 percent of the BES buses identified in Requirement R1 and BES Elements identified in Requirement R5 as directed by Requirement R10.	The Transmission Owner or Generator Owner failed to have time synchronization per Requirement R10, Parts 10.1 and 10.2 for SER, FR, and DDR data for less than or equal to 70 percent of the BES buses identified in Requirement R1 and BES Elements identified in Requirement R5 as directed by Requirement R10.
<b>R11</b>	Long-term Planning	Lower	The Transmission Owner or Generator Owner as directed by Requirement R11, Part 11.1 provided the requested data more than 30-calendar days but less than 40-calendar days after the request unless an extension was granted by the requesting authority.	The Transmission Owner or Generator Owner as directed by Requirement R11, Part 11.1 provided the requested data more than 40-calendar days but less than or equal to 50-calendar days after the request unless an extension was granted by the requesting authority.	The Transmission Owner or Generator Owner as directed by Requirement R11, Part 11.1 provided the requested data more than 50-calendar days but less than or equal to 60-calendar days after the request unless an extension was granted by the requesting authority.	The Transmission Owner or Generator Owner as directed by Requirement R11, Part 11.1 failed to provide the requested data more than 60-calendar days after the request unless an extension was granted by the requesting authority. OR



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			<p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11 provided more than 90 percent but less than 100 percent of the requested data.</p> <p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11, Parts 11.3 through 11.5 provided more than 90 percent of the data but less than 100 percent of the data in the proper data format.</p>	<p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11 provided more than 80 percent but less than or equal to 90 percent of the requested data.</p> <p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11, Parts 11.3 through 11.5 provided more than 80 percent of the data but less than or equal to 90 percent of the data in the proper data format.</p>	<p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11 provided more than 70 percent but less than or equal to 80 percent of the requested data.</p> <p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11, Parts 11.3 through 11.5 provided more than 70 percent of the data but less than or equal to 80 percent of the data in the proper data format.</p>	<p>The Transmission Owner or Generator Owner as directed by Requirement R11 failed to provide less than or equal to 70 percent of the requested data.</p> <p>OR</p> <p>The Transmission Owner or Generator Owner as directed by Requirement R11, Parts 11.3 through 11.5 provided less than or equal to 70 percent of the data in the proper data format.</p>
<b>R12</b>	Long-term Planning	Lower	<p>The Transmission Owner or Generator Owner as directed by Requirement R12 reported a failure and provided a Corrective Action Plan to the Regional Entity more than 90-calendar days but less than or equal</p>	<p>The Transmission Owner or Generator Owner as directed by Requirement R12 reported a failure and provided a Corrective Action Plan to the Regional Entity more than 100-calendar days but less than or equal</p>	<p>The Transmission Owner or Generator Owner as directed by Requirement R12 reported a failure and provided a Corrective Action Plan to the Regional Entity more than 110-calendar days but less than or equal</p>	<p>The Transmission Owner or Generator Owner as directed by Requirement R12 failed to report a failure and provide a Corrective Action Plan to the Regional Entity more than 120-calendar days after</p>

			to 100-calendar days after discovery of the failure.	to 110-calendar days after discovery of the failure.	to 120-calendar days after discovery of the failure.  OR The Transmission Owner or Generator Owner as directed by Requirement R12 submitted a CAP to the Regional Entity but failed to implement it.	discovery of the failure.  OR Transmission Owner or Generator Owner as directed by Requirement R12 failed to restore the recording capability and failed to submit a CAP to the Regional Entity.
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**D. Regional Variances**

None.

**E. Interpretations**

None.

**F. Associated Documents**

None.

**G. References**

IEEE C37.111: Common format for transient data exchange (COMTRADE) for power Systems.

IEEE C37.232-2011, IEEE Standard for Common Format for Naming Time Sequence Data Files (COMNAME). Standard published 11/09/2011 by IEEE.

NPCC SP6 Report Synchronized Event Data Reporting, revised March 31, 2005

U.S.-Canada Power System Outage Task Force, Final Report on the August 14, 2003 Blackout in the United States and Canada: Causes and Recommendations (2004).

U.S.-Canada Power System Outage Task Force Interim Report: Causes of the August 14th Blackout in the United States and Canada (Nov. 2003)

## Attachment 1

### Methodology for Selecting Buses for Capturing Sequence of Events Recording (SER) and Fault Recording (FR) Data

#### (Requirement R1)

To identify monitored BES buses for sequence of events recording (SER) and Fault recording (FR) data required by Requirement 1, each Transmission Owner shall follow sequentially, unless otherwise noted, the steps listed below:

Step 1. Determine a complete list of BES buses that it owns.

For the purposes of this standard, a single BES bus includes physical buses with breakers connected at the same voltage level within the same physical location sharing a common ground grid. These buses may be modeled or represented by a single node in fault studies. For example, ring bus or breaker-and-a-half bus configurations are considered to be a single bus.

Step 2. Reduce the list to those BES buses that have a maximum available calculated three phase short circuit MVA of 1500 MVA or greater. If there are no buses on the resulting list, proceed to Step 7.

Step 3. Determine the 11 BES buses on the list with the highest maximum available calculated three phase short circuit MVA level. If the list has 11 or fewer buses, proceed to Step 7.

Step 4. Calculate the median MVA level of the 11 BES buses determined in Step 3.

Step 5. Multiply the median MVA level determined in Step 4 by 20 percent.

Step 6. Reduce the BES buses on the list to only those that have a maximum available calculated three phase short circuit MVA higher than the greater of:

- 1500 MVA or
- 20 percent of median MVA level determined in Step 5.

Step 7. If there are no BES buses on the list: the procedure is complete and no FR and SER data will be required. Proceed to Step 9.

If the list has 1 or more but less than or equal to 11 BES buses: FR and SER data is required at the BES bus with the highest maximum available calculated three phase short circuit MVA as determined in Step 3. Proceed to Step 9.

If the list has more than 11 BES buses: SER and FR data is required on at least the 10 percent of the BES buses determined in Step 6 with the highest maximum

available calculated three phase short circuit MVA. Proceed to Step 8.

- Step 8. SER and FR data is required at additional BES buses on the list determined in Step 6. The aggregate of the number of BES buses determined in Step 7 and this Step will be at least 20 percent of the BES buses determined in Step 6.

The additional BES buses are selected, at the Transmission Owner's discretion, to provide maximum wide-area coverage for SER and FR data. The following BES bus locations are recommended:

- Electrically distant buses or electrically distant from other DME devices.
- Voltage sensitive areas.
- Cohesive load and generation zones.
- BES buses with a relatively high number of incident Transmission circuits.
- BES buses with reactive power devices.
- Major Facilities interconnecting outside the Transmission Owner's area.

- Step 9. The list of monitored BES buses for SER and FR data for Requirement R1 is the aggregate of the BES buses determined in Steps 7 and 8.

**Attachment 2**  
**Sequence of Events Recording (SER) Data Format**  
**(Requirement R11, Part 11.3)**

Date, Time, Local Time Code, Substation, Device, State<sup>1</sup>

08/27/13, 23:58:57.110, -5, Sub 1, Breaker 1, Close

08/27/13, 23:58:57.082, -5, Sub 2, Breaker 2, Close

08/27/13, 23:58:47.217, -5, Sub 1, Breaker 1, Open

08/27/13, 23:58:47.214, -5, Sub 2, Breaker 2, Open

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<sup>1</sup> "OPEN" and "CLOSE" are used as examples. Other terminology such as TRIP, TRIP TO LOCKOUT, RECLOSE, etc. is also acceptable.

Center this title => **High Level Requirement Overview**

Requirement	Entity	Identify BES Buses	Notification	SER	FR	5 Year Re-evaluation
R1	TO	X	X	X	X	X
R2	TO   GO			X		
R3	TO   GO				X	
R4	TO   GO				X	
Requirement	Entity	Identify BES Elements	Notification	DDR	5 Year Re-evaluation	
R5	RE (PC   RC)	X	X	X	X	
R6	TO			X		
R7	GO			X		
R8	TO   GO			X		
R9	TO   GO			X		
Requirement	Entity	Time Synchronization	Provide SER, FR, DDR Data		SER, FR, DDR Availability	
R10	TO   GO	X				
R11	TO   GO		X			
R12	TO   GO				X	

### Guidelines and Technical Basis Section

#### Introduction

The emphasis of PRC-002-2 is not on how Disturbance monitoring data is captured, but what Bulk Electric System data is captured. There are a variety of ways to capture the data PRC-002-2 addresses, and existing and currently available equipment can meet the requirements of this standard. PRC-002-2 also addresses the importance of addressing the availability of Disturbance monitoring capability to ensure the completeness of BES data capture.

The data requirements for PRC-002-2 are based on a System configuration assuming all normally closed circuit breakers on a bus are closed.

PRC-002-2 addresses “what” data is recorded, not “how” it is recorded.

#### Guideline for Requirement R1:

Sequence of events and fault recording for the analysis, reconstruction, and reporting of System Disturbances is important. However, SER and FR data is not required at every BES bus on the BES to conduct adequate or thorough analysis of a Disturbance. As major tools of event analysis, the time synchronized time stamp for a breaker change of state and the recorded waveforms of voltage and current for individual circuits allows the precise reconstruction of events of both localized and wide-area Disturbances.

More quality information is always better than less when performing event analysis. However, 100 percent coverage of all BES Elements is not practical nor required for effective analysis of wide-area Disturbances. Therefore, selectivity of required BES buses to monitor is important for the following reasons:

1. Identify key BES buses with breakers where crucial information is available when required.
2. Avoid excessive overlap of coverage.
3. Avoid gaps in critical coverage.
4. Provide coverage of BES Elements that could propagate a Disturbance.
5. Avoid mandates to cover BES Elements that are more likely to be a casualty of a Disturbance rather than a cause.
6. Establish selection criteria to provide effective coverage in different regions of the continent.

The major characteristics available to determine the selection process are:

1. System voltage level;
2. The number of Transmission Lines into a substation or switchyard;
3. The number and size of connected generating units;
4. The available short circuit levels.



Although it is straightforward to establish criteria for the application of identified BES buses, analysis was required to establish a sound technical basis to fulfill the required objectives.

To answer these questions and establish criteria for BES buses of SER and FR, the DMSDT established a sub-team referred to as the Monitored Value Analysis Team (MVA Team). The MVA Team collected information from a wide variety of Transmission Systems throughout the continent to analyze Transmission buses by the characteristics previously identified for the selection process.

The MVA Team learned that the development of criteria is not possible for adequate SER and FR coverage, based solely upon simple, bright line characteristics, such as the number of lines into a substation or switchyard at a particular voltage level or at a set level of short circuit current. To provide the appropriate coverage, a relatively simple but effective Methodology for Selecting Buses for Capturing Sequence of Events Recording (SER) and Fault Recording (FR) Data was developed. This Procedure, included as Attachment 1, assists entities in fulfilling Requirement R1 of the standard.

The Methodology for Selecting Buses for Capturing Sequence of Events Recording (SER) and Fault Recording (FR) Data is weighted to buses with higher short circuit levels. This is chosen for the following reasons:

1. The method is voltage level independent.
2. It is likely to select buses near large generation centers.
3. It is likely to select buses where delayed clearing can cause Cascading.
4. Selected buses directly correlate to the Universal Power Transfer equation: Lower Impedance – increased power flows – greater System impact.

To perform the calculations of Attachment 1, the following information below is required and the following steps (provided in summary form) are required for Systems with more than 11 BES buses with three phase short circuit levels above 1500 MVA.

1. Total number of BES buses in the Transmission System under evaluation.
  - a. Only tangible substation or switchyard buses are included.
  - b. Pseudo buses created for analysis purposes in System models are excluded.
2. Determine the three phase short circuit MVA for each BES bus.
3. Exclude BES buses from the list with short circuit levels below 1500 MVA.
4. Determine the median short circuit for the top 11 BES buses on the list (position number 6).
5. Multiply median short circuit level by 20 percent.
6. Reduce the list of BES buses to those with short circuit levels higher than 20 percent of the median.
7. Apply SER and FR at BES buses with short circuit levels in the top 10 percent of the list (from 6).
8. Apply SER and FR at BES buses at an additional 10 percent of the list using engineering judgment, and allowing flexibility to factor in the following considerations:
  - Electrically distant BES buses or electrically distant from other DME devices

- Voltage sensitive areas
- Cohesive load and generation zones
- BES buses with a relatively high number of incident Transmission circuits
- BES buses with reactive power devices
- Major facilities interconnecting outside the Transmission Owner's area.

For event analysis purposes, more valuable information is attained about generators and their response to System events pre- and post-contingency through DDR data versus SER or FR records. SER data of the opening of the primary generator output interrupting devices (e.g. synchronizing breaker) may not reliably indicate the actual time that a generator tripped; for instance, when it trips on reverse power after loss of its prime mover (e.g. combustion or steam turbine). As a result, this standard only requires DDR data.

The re-evaluation interval of five years was chosen based on the experience of the DMSDT to address changing System configurations while creating balance in the frequency of re-evaluations.

### **Guideline for Requirement R2:**

Analyses of wide-area Disturbances often begin by evaluation of SERs to help determine the initiating event(s) and follow the Disturbance propagation. Recording of breaker operations help determine the interruption of line flows while generator loading is best determined by DDR data, since generator loading can be essentially zero regardless of breaker position. However, generator breakers directly connected to an identified BES bus are required to have SER data captured. It is important in event analysis to know when a BES bus is cleared regardless of a generator's loading.

Generator Owners are included in this requirement because a Generator Owner may, in some instances, own breakers directly connected to the Transmission Owner's BES bus.

### **Guideline for Requirement R3:**

The BES buses for which FR data is required are determined based on the methodology described in Attachment 1 of the standard. The BES Elements connected to those BES buses for which FR data is required include:

- Transformers with a low-side operating voltage of 100kV or above
- Transmission Lines

Only those BES Elements that are identified as BES as defined in the latest in effect NERC definition are to be monitored. For example, radial lines or transformers with low-side voltage less than 100 kV are not included.

FR data must be determinable from each terminal of a BES Element connected to applicable BES buses.

Generator step-up transformers (GSU) are excluded from the above based on the following:

- Current contribution from a generator in case of fault on the Transmission System will be captured by FR data on the Transmission System.
- For faults on the interconnection to generating facilities it is sufficient to have fault current data from the Transmission station end of the interconnection. Current contribution from a generator can be readily calculated if needed.

The DMSDT, after consulting with NERC's Event Analysis group, determined that DDR data from selected generator locations was more important for event analysis than FR data.

### Recording of Electrical Quantities

For effective fault analysis it is necessary to know values of all phase and neutral currents and all phase-to-neutral voltages. Based on such FR data it is possible to determine all fault types. FR data also augments SERs in evaluating circuit breaker operation.

### Current Recordings

The required electrical quantities are normally directly measured. Certain quantities can be derived if sufficient data is measured, for example residual or neutral currents.

Since a Transmission System is generally well balanced, with phase currents having essentially similar magnitudes and phase angle differences of 120°, during normal conditions there is negligible neutral (residual) current. In case of a ground fault the resulting phase current imbalance produces residual current that can be either measured or calculated.

Neutral current, also known as ground or residual current  $I_r$ , is calculated as a sum of vectors of three phase currents:

$$I_r = 3 \cdot I_0 = I_A + I_B + I_C$$

$I_0$  - Zero-sequence current

$I_A, I_B, I_C$  - Phase current (vectors)

Another example of how required electrical quantities can be derived is based on Kirchhoff's Law. Fault currents for one of the BES Elements connected to a particular BES bus can be derived as a vectorial sum of fault currents recorded at the other BES Elements connected to that BES bus.

### Voltage Recordings

Voltages are to be recorded or accurately determined at applicable BES buses.

### **Guideline for Requirement R4:**

Pre- and post-trigger fault data along with the SER breaker data, all time stamped to a common clock at millisecond accuracy, aid in the analysis of protection System operations after a fault to determine if a protection System operated as designed. Generally speaking, BES faults persist for a very short time period, approximately 1 to 30 cycles, thus a 30 cycle record length provides adequate data. Multiple records allow for legacy microprocessor relays which, when time

synchronized to a common clock, are capable of providing adequate fault data but not capable of providing fault data in a single record with 30 contiguous cycles total.

A minimum recording rate of 16 samples per cycle is required to get accurate waveforms and to get 1 millisecond resolution for any digital input which may be used for FR.

FR triggers can be set so that when the monitored value on the recording device goes above or below the trigger value, data is recorded. Requirement R4, sub-Part 4.3.1 specifies a neutral (residual) overcurrent trigger for ground faults. Requirement R4, sub-Part 4.3.2 specifies a phase undervoltage or overcurrent trigger for phase-to-phase faults.

### **Guideline for Requirement R5:**

DDR data is used for wide-area Disturbance monitoring to determine the System's electromechanical transient and post-transient response and validate System model performance. DDR is typically located based on strategic studies which include angular, frequency, voltage, and oscillation stability. However, for adequately monitoring the System's dynamic response and ensuring sufficient coverage to determine System performance, DDR is required for key BES Elements in addition to a minimum requirement of DDR coverage.

Each Responsible Entity (PC or RC) is required to identify sufficient DDR data capture for, at a minimum, one BES Element and then one additional BES Element per 3,000 MW of historical simultaneous peak System Demand. This DDR data is included to provide adequate System wide coverage across an Interconnection. To clarify, if any of the key BES Elements requiring DDR monitoring are within the Responsible Entity's area, DDR data capability is required. If a Responsible Entity (PC or RC) does not meet the requirements of Part 5.1, additional coverage had to be specified.

Loss of large generating resources poses a frequency and angular stability risk for all Interconnections across North America. Data capturing the dynamic response of these machines during a Disturbance helps the analysis of large Disturbances. Having data regarding generator dynamic response to Disturbances greatly improves understanding of *why* an event occurs rather than what occurred. To determine and provide the basis for unit size criteria, the DMSDT acquired specific generating unit data from NERC's Generating Availability Data System (GADS) program. The data contained generating unit size information for each generating unit in North America which was reported in 2013 to the NERC GADS program. The DMSDT analyzed the spreadsheet data to determine: (i) how many units were above or below selected size thresholds; and (ii) the aggregate sum of the ratings of the units within the boundaries of those thresholds. Statistical information about this data was then produced, i.e. averages, means and percentages. The DMSDT determined the following basic information about the generating units of interest (current North America fleet, i.e. units reporting in 2013) included in the spreadsheet:

- The number of individual generating units in total included in the spreadsheet.
- The number of individual generating units rated at 20 MW or larger included in the spreadsheet. These units would generally require that their owners be registered as GOs in the NERC CMEP.
- The total number of units within selected size boundaries.

- The aggregate sum of ratings, in MWs, of the units within the boundaries of those thresholds.

The information in the spreadsheet does not provide information by which the plant information location of each unit can be determined, i.e. the DMSDT could not use the information to determine which units were located together at a given generation site or facility.

From this information, the DMSDT was able to reasonably speculate the generating unit size thresholds proposed in Requirement R5, sub-Part 5.1.1 of the standard. Generating resources intended for DDR data recording are those individual units with gross nameplate ratings “greater than or equal to 500 MVA”. The 500 MVA individual unit size threshold was selected because this number roughly accounts for 47 percent of the generating capacity in NERC footprint while only requiring DDR coverage on about 12.5 percent of the generating units. As mentioned, there was no data pertaining to unit location for aggregating plant/facility sizes. However, Requirement R5, sub-Part 5.1.1 is included to capture larger units located at large generating plants which could pose a stability risk to the System if multiple large units were lost due to electrical or non-electrical contingencies. For generating plants, each individual generator at the plant/facility with a gross nameplate rating greater than or equal to 300 MVA must have DDR where the gross nameplate rating of the plant/facility is greater than or equal to 1000 MVA. The 300 MVA threshold was chosen based on the DMSDT’s judgment and experience. The incremental impact to the number of units requiring monitoring is expected to be relatively low. For combined cycle plants where only one generator has a rating greater than or equal to 300MVA, that is the only generator that would need DDR.

Permanent System Operating Limits (SOLs) are used to operate the System within reliable and secure limits. In particular, SOLs related to angular or voltage stability have a significant impact on BES reliability and performance. Therefore, at least one BES Element of an SOL should be monitored.

The draft standard requires “One or more BES Elements that are part of an Interconnection Reliability Operating Limits (IROLs).” Interconnection Reliability Operating Limits (IROLs) are included because the risk of violating these limits poses a risk to System stability and the potential for cascading outages. IROLs may be defined by a single or multiple monitored BES Element(s) and contingent BES Element(s). The standard does not dictate selection of the contingent and/or monitored BES Elements. Rather the Drafting Team believes this determination is best made by the Responsible Entity for each IROL considered based on the severity of violating this IROL.

Locations where an undervoltage load shedding (UVLS) program is deployed are prone to voltage instability since they are generally areas of significant Demand. The Responsible Entity (PC or RC) will identify these areas where a UVLS is in service and identify a useful and effective BES Element to monitor for DDR such that action of the UVLS or voltage instability on the BES could be captured. For example, a major 500kV or 230kV substation on the EHV System close to the load pocket where the UVLS is deployed would likely be a valuable electrical location for DDR coverage and would aid in post-Disturbance analysis of the load area’s response to large System excursions (voltage, frequency, etc.).

**Guideline for Requirement R6:**

DDR data shows transient response to System Disturbances after a fault is cleared (post-fault), under a relatively balanced operating condition. Therefore, it is sufficient to provide a single phase-to-neutral voltage or positive sequence voltage. Recording of all three phases of a circuit is not required, although this may be used to compute and record the positive sequence voltage.

The bus where a voltage measurement is required is based on the list of BES Elements defined by the Responsible Entity (PC or RC) in Requirement R5. The intent of the Standard is not to require a separate voltage measurement of each BES Element where a common bus voltage measurement is available. For example, a breaker-and-a-half or double-bus configuration with a North (or East) Bus and South (or West) Bus, would require both buses to have voltage recording because either can be taken out of service indefinitely with the targeted BES Element remaining in service. This may be accomplished either by recording both bus voltages separately, or by providing a selector switch to connect either of the bus voltage sources to a single recording input of the DDR device. This component of the requirement is therefore included to mitigate the potential of failed frequency, phase angle, real power, and reactive power calculations due to voltage measurements removed from service while sufficient voltage measurement is actually available during these operating conditions.

It must be emphasized that the data requirements for PRC-002-2 are based on a System configuration assuming all normally closed circuit breakers on a bus are closed.

When current recording is required, it should be on the same phase as the voltage recording taken at the location if a single phase-to-neutral voltage is provided. Positive sequence current recording is also acceptable.

For all circuits where current recording is required, Real and Reactive Power will be recorded on a three phase basis. These recordings may be derived either from phase quantities or from positive sequence quantities.

**Guideline for Requirement R7:**

All Guidelines specified for Requirement R6 apply to Requirement R7. Since either the high- or low-side windings of the generator step-up transformer (GSU) may be connected in delta, phase-to-phase voltage recording is an acceptable voltage recording. As was explained in the Guideline for Requirement R6, the BES is operating under a relatively balanced operating condition and, if needed, phase-to-neutral quantities can be derived from phase-to-phase quantities.

Again it must be emphasized that the data requirements for PRC-002-2 are based on a System configuration assuming all normally closed circuit breakers on a bus are closed.

**Guideline for Requirement R8:**

Wide-area System outages are generally an evolving sequence of events that occur over an extended period of time, making DDR data essential for event analysis. Pre- and post-contingency data helps identify the causes and effects of each event leading to the outages. This

drives a need for continuous recording and storage to ensure sufficient data is available for the entire Disturbance.

Transmission Owners and Generator Owners are required to have continuous DDR for the BES Elements identified in Requirement R6. However, this requirement recognizes that legacy equipment may exist for some BES Elements that do not have continuous data recording capabilities. For equipment that was installed prior to the effective date of the standard, triggered DDR records of three minutes are acceptable using at least one of the trigger types specified in Requirement R8, Part 8.2:

- Off nominal frequency triggers are used to capture high- or low-frequency excursions of significant size based on the Interconnection size and inertia.
- Rate of change of frequency triggers are used to capture major changes in System frequency which could be caused by large changes in generation or load, or possibly changes in System impedance.
- The undervoltage trigger specified in this standard is provided to capture possible sustained undervoltage conditions such as Fault Induced Delayed Voltage Recovery (FIDVR) events. A sustained voltage of 85 percent is outside normal schedule operating voltages and is sufficiently low to capture abnormal voltage conditions on the BES.

### **Guideline for Requirement R9:**

DDR data contains the dynamic response of a power System to a Disturbance and is used for analyzing complex power System events. This recording is typically used to capture short-term and long-term Disturbances, such as a power swing. Since the data of interest is changing over time, DDR data is normally stored in the form of RMS values or phasor values, as opposed to directly sampled data as found in FR data.

The issue of the sampling rate used in a recording instrument is quite important for at least two reasons: the anti-aliasing filter selection and accuracy of signal representation. The anti-aliasing filter selection is associated with the requirement of a sampling rate at least twice the highest frequency of a sampled signal. At the same time, the accuracy of signal representation is also dependent on the selection of the sampling rate. In general, the higher the sampling rate, the better the representation. In the abnormal conditions of interest (e.g. faults or other Disturbances); the input signal may contain frequencies in the range of 0-400 Hz. Hence, the rate of 960 samples per second (16 samples/cycle) is considered an adequate sampling rate that satisfies the input signal requirements.

In general, dynamic events of interest are: inter-area oscillations, local generator oscillations, wind turbine generator torsional modes, HVDC control modes, exciter control modes, and steam turbine torsional modes. Their frequencies range from 0.1-20 Hz. In order to reconstruct these dynamic events, a minimum recording time of 30 times per second is required.

**Guideline for Requirement R10:** Time synchronization of Disturbance monitoring data allows for the time alignment of large volumes of geographically dispersed data records from diverse recording sources. A universally recognized time standard is necessary to provide the foundation for this alignment. Coordinated Universal Time (UTC) is the foundation used for the time alignment of records. It is an international time standard utilizing atomic clocks for generating

precision time measurements at fractions of a second levels. The local time offset, expressed as a negative number, is the difference between UTC and the local time zone where the measurements are recorded.

Accuracy of time synchronization applies only to the clock used for synchronizing the monitoring equipment.

Time synchronization accuracy is specified in response to Recommendation 12b in the NERC August, 2003, Blackout Final NERC Report Section V Conclusions and Recommendations:

“Recommendation 12b: Facilities owners shall, in accordance with regional criteria, upgrade existing dynamic recorders to include GPS time synchronization...”

Also, from the U.S.-Canada Power System Outage Task Force Interim Report: Causes of the August 14th Blackout, November 2003, in the United States and Canada, page 103:

“Establishing a precise and accurate sequence of outage-related events was a critical building block for the other parts of the investigation. One of the key problems in developing this sequence was that although much of the data pertinent to an event was time-stamped, there was some variance from source to source in how the time-stamping was done, and not all of the time-stamps were synchronized...”

From NPCC’s SP6 Report Synchronized Event Data Reporting, revised March 31, 2005, the investigation by the authoring working group revealed that existing GPS receivers can be expected to provide a time code output which has an uncertainty on the order of 1 millisecond, uncertainty being a quantitative descriptor.

**Guideline for Requirement R11:**

This requirement directs the applicable entities, upon requests from the Responsible Entity, Regional Entity or NERC, to provide SER and FR data for BES buses determined in Requirement R1 and DDR data for BES Elements determined as per Requirement R5. To facilitate the analysis of BES Disturbances, it is important that the data is provided to the requestor within a reasonable period of time.

Requirement R11, Part 11.1 specifies the maximum time frame of 30-calendar days to provide the data. Thirty calendar days is a reasonable time frame to allow for the collection of data, and submission to the requestor. An entity may request an extension of the 30-day submission requirement. If granted by the requestor, the entity must submit the data within the approved extended time.

Requirement R11, Part 11.2 specifies that the minimum time period of 10-calendar days inclusive of the day the data was recorded for which the data will be retrievable. With the equipment in use that has the capability of recording data, having the data retrievable for the 10-calendar days is realistic and doable. It is important to note that applicable entities should account for any expected delays in retrieving data and this may require devices to have data available for more than 10 days. To clarify the 10-calendar day time frame, an incident occurs on Day 1. If a request for data is made on Day 6, then that data has to be provided to the requestor within 30-calendar days after a request or a granted time extension. However, if a request for the



data is made on Day 11, that is outside the 10-calendar days specified in the requirement, and an entity would not be out of compliance if it did not have the data.

Requirement R11, Part 11.3 specifies a Comma Separated Value (CSV) format according to Attachment 2 for the SER data. It is necessary to establish a standard format as it will be incorporated with other submitted data to provide a detailed sequence of events timeline of a power System Disturbance.

Requirement R11, Part 11.4 specifies the IEEE C37.111 COMTRADE format for the FR and DDR data. The IEEE C37.111 is the Standard for Common Format for Transient Data Exchange and is well established in the industry. It is necessary to specify a standard format as multiple submissions of data from many sources will be incorporated to provide a detailed analysis of a power System Disturbance. The latest revision of COMTRADE (C37.111-2013) includes an annex describing the application of the COMTRADE standard to synchophasor data.

Requirement R11, Part 11.5 specifies the IEEE C37.232 COMNAME format for naming the data files of the SER, FR and DDR. The IEEE C37.232 is the Standard for Common Format for Naming Time Sequence Data Files. The first version was approved in 2007. From the August 14, 2003 blackout there were thousands of Fault Recording data files collected. The collected data files did not have a common naming convention and it was therefore difficult to discern which files came from which utilities and which ones were captured by which devices. The lack of a common naming practice seriously hindered the investigation process. Subsequently, and in its initial report on the blackout, NERC stressed the need for having a common naming practice and listed it as one of its top ten recommendations.

### **Guideline for Requirement R12:**

This requirement directs the respective owners of Transmission and Generator equipment to be alert to the proper functioning of equipment used for SER, FR, and DDR data capabilities for the BES buses and BES Elements, which were established in Requirements R1 and R5. The owners are to restore the capability within 90-calendar days of discovery of a failure. This requirement is structured to recognize that the existence of a “reasonable” amount of capability out-of-service does not result in lack of sufficient data for coverage of the System. Furthermore, 90-calendar days is typically sufficient time for repair or maintenance to be performed. However, in recognition of the fact that there may be occasions for which it is not possible to restore the capability within 90-calendar days, the requirement further provides that, for such cases, the entity submit a Corrective Action Plan (CAP) to the Regional Entity and implement it. These actions are considered to be appropriate to provide for robust and adequate data availability.