



NORTH AMERICAN ELECTRIC  
RELIABILITY CORPORATION

September 30, 2010

Ms. Kimberly Bose  
Secretary  
Federal Energy Regulatory Commission  
888 First Street, N.E.  
Washington, DC 20426

**Re: NERC Abbreviated Notice of Penalty regarding Colorado Springs Utilities,  
FERC Docket No. NP10-\_\_-000**

Dear Ms. Bose:

The North American Electric Reliability Corporation (NERC) hereby provides this Abbreviated Notice of Penalty (NOP) regarding Colorado Springs Utilities (CSU),<sup>1</sup> with information and details regarding the nature and resolution of the violation<sup>2</sup> discussed in detail in the Settlement Agreement (Attachment a) and the Disposition Documents (Attachment b), in accordance with the Federal Energy Regulatory Commission's (Commission or FERC) rules, regulations and orders, as well as NERC Rules of Procedure including Appendix 4C (NERC Compliance Monitoring and Enforcement Program (CMEP)).<sup>3</sup>

During a Spot Check conducted by the Western Electricity Coordinating Council (WECC) on June 4, 2008 (Spot Check), the WECC Audit Team (Audit Team) found that that CSU had a possible violation of FAC-003-1 R2 because it had not conducted a patrol for the Cottonwood to Fuller 230 kV line transmission line as required by its Transmission Vegetation Management Program (TVMP).

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<sup>1</sup> On October 14, 2009, NERC submitted an Omnibus filing, FERC Docket No. NP10-2-000, which addressed violations for certain registered entities including violations of PER-002-0 R3 and COM-001-1 R2 for CSU. On November 13, 2009, FERC issued an order stating it would not engage in further review of the violations addressed in the Omnibus Notice of Penalty. WECC determined that the prior violations should not serve as a basis for aggravating the penalty because the subject violations of NP10-2-000 involved unrelated standards and the Mitigation Plans in NP10-2-000 would not have resolved or prevented the instant violations. Moreover, there was nothing in the record to suggest that broader corporate issues were implicated.

<sup>2</sup> For purposes of this document, each violation at issue is described as a "violation," regardless of its procedural posture and whether it was a possible, alleged or confirmed violation.

<sup>3</sup> *Rules Concerning Certification of the Electric Reliability Organization; and Procedures for the Establishment, Approval, and Enforcement of Electric Reliability Standards* (Order No. 672), III FERC Stats. & Regs. ¶ 31,204 (2006); *Notice of New Docket Prefix "NP" for Notices of Penalty Filed by the North American Electric Reliability Corporation*, Docket No. RM05-30-000 (February 7, 2008). See also 18 C.F.R. Part 39 (2010). *Mandatory Reliability Standards for the Bulk-Power System*, FERC Stats. & Regs. ¶ 31,242 (2007) (Order No. 693), *reh'g denied*, 120 FERC ¶ 61,053 (2007) (Order No. 693-A). See 18 C.F.R. § 39.7(c)(2).

On June 30, 2008, CSU self-reported its non-compliance with FAC-010-1 R2 because, since it was not compliant with TPL-003, it could not determine its system's response to multiple contingencies as required by this Standard.

On December 15, 2008, CSU self-reported its non-compliance with FAC-010-R1, R3 and R4 because its existing methodology for determining System Operating Limits (SOL) and Interconnected Reliability Operating Limits (IROL) was not sufficient to meet the requirements of the Standard.

On January 8, 2009, CSU self-certified that it had a violation of IRO-STD-006-0 WR1 because, during an Unscheduled Flow (USF) Event implemented for WECC Path 66 on July 10, 2008, CSU created a Restricted Transaction<sup>4</sup> on the path and failed to provide 1.2 MW of relief.

On June 15, 2007, CSU self-reported its non-compliance with MOD-018-0 R1 because it did not address whether its report of forecast and actual demand data included the data of nonmember entities within its metered bounds as required by R1.1; it did not have formal documentation of the assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load as required by R1.2; and it did not have complete reporting procedures for MOD-016-1 R1. Thus, CSU could not address MOD-018-0 R1.1 and R1.2 in these procedures as required by R1.3.

During the Spot Check, WECC determined that CSU had a violation of PRC-005-1 R2 because it had not maintained and tested five (5) Protection System devices<sup>5</sup> (relays) according to the intervals defined by its Protection System Maintenance and Testing Program.

On December 15, 2008, CSU's pre-June 18, 2007 self-reported violation of TPL-003-0 R1 became a post-June 18, 2007 enforceable violation because CSU had not provided the required number of studies of forecast system demands.

This NOP is being filed with the Commission because WECC and CSU have entered into a Settlement Agreement to resolve all outstanding issues arising from WECC's determination and findings of the enforceable violations of FAC-003-1 R2; FAC-010-1 R2; FAC-010-1 R1, R3, and R4; IRO-STD-006-0 WR1; MOD-018-0 R1; PRC-005-1 R2 and TPL-003-0 R1.<sup>6</sup> According

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<sup>4</sup> The Standard defines a "Restricted Transaction" as any transaction that is implemented after a USF Event is declared with a Transfer Distribution Factor of greater than five percent on the Qualified Path in the qualified direction. See Restricted Transaction section of Attachment 1 of the Standard.

<sup>5</sup> The NERC Glossary of Terms Used in Reliability Standards defines Protection System as "Protective relays, associated communication systems, voltage and current sensing devices, station batteries and DC control circuitry."

<sup>6</sup> The Settlement Agreement discusses WECC's dismissal of WECC200801245. In its June 30, 2009 Notice of Alleged Violation and Penalty or Sanction (NAVAPS), WECC alleged that CSU had violated FAC-013-1 because it had not established Transfer Capabilities. After considering CSU's response to the NAVAPS and reviewing information provided by CSU, this alleged violation was dismissed because FAC-013-1 requires an entity to have Transfer Capabilities that are established according to the entity's Transfer Capability Methodology required under FAC-012-1. However, FAC-012-1 has not been approved by FERC. Thus, because CSU was not required to have a transfer capabilities methodology meeting the requirements of FAC-012-1, it could not be required to develop transfer capabilities consistent with such a methodology, as required by FAC-013-1 R1. In addition, WECC determined that CSU's practice of conducting maximum import/export studies, determining that the limiting factors

to the Settlement Agreement, CSU stipulates to the facts of the violations and has agreed to the assessed penalty of thirty-one thousand dollars (\$31,000), in addition to other remedies and actions to mitigate the instant violations and facilitate future compliance under the terms and conditions of the Settlement Agreement. Accordingly, the violations identified as NERC Violation Tracking Identification Numbers WECC200801421, WECC200800883, WECC200801241, WECC200801242, WECC200801243, WECC200901407, WECC200810400, WECC200801034 and WECC200910405 are being filed in accordance with the NERC Rules of Procedure and the CMEP.

### Statement of Findings Underlying the Violations

This NOP incorporates the findings and justifications set forth in the Settlement Agreement executed on January 25, 2010, by and between WECC and CSU. The details of the findings and the basis for the penalty are set forth in the Disposition Documents. This NOP filing contains the basis for approval of the Settlement Agreement by the NERC Board of Trustees Compliance Committee (NERC BOTCC). In accordance with Section 39.7 of the Commission's regulations, 18 C.F.R. § 39.7, NERC provides the following summary table identifying each violation of a Reliability Standard resolved by the Settlement Agreement, as discussed in greater detail below.

Region	Registered Entity	NOC ID	NERC Violation ID	Reliability Std.	Req. (R)	VRF	Total Penalty (\$)
WECC	Colorado Springs Utilities	NOC-472	WECC200801421	FAC-003-1	2	High	31,000
			WECC200800883	FAC-010-1 <sup>7</sup>	2	Medium <sup>8</sup>	
			WECC200801241	FAC-010-1	1	Lower	
			WECC200801242	FAC-010-1	3	Lower <sup>9</sup>	
			WECC200801243	FAC-010-1	4	Lower	
			WECC200901407	IRO-STD-006-0	WR1	N/A	
			WECC200810400	MOD-018-0	1	Medium <sup>10</sup>	

of its system were the thermal ratings of tie lines, and using these thermal ratings of equipment and tie lines as its transfer capabilities, qualifies as ml adequate and compliant methodology in the absence of the need to have a transfer capabilities methodology meeting the requirements of FAC-012-1.

<sup>7</sup> FAC-010-1 was enforceable from July 1, 2008 through April 28, 2009. FAC-010-2 was enforceable from April 29, 2009 to April 18, 2010. FAC-010-2.1, the current enforceable version of the Standard, was approved by the Commission and became enforceable on April 19, 2010. The subsequent errata changes reassigned R2.3.2, R2.4 and R2.5 of the original NERC Reliability Standard to R2.4, R2.5 and R2.6 of the current version. For consistency in this filing, the original NERC Reliability Standard, FAC-010-1, is used throughout.

<sup>8</sup> FAC-010-1 R2 did not have an assigned violation risk factor (VRF), as it was an introductory phrase; however, the sub-requirements each had a "Medium" VRF.

<sup>9</sup> FAC-010-1 R3, R3.1, R3.2, R3.3 and R3.5 each have a "Lower" VRF, and R3.4 and R3.6 each have a "Medium" VRF.

<sup>10</sup> MOD-018-0 R1 and R1.1 were assigned "Lower" VRFs. The Commission approved the VRFs as filed but directed NERC to submit modifications. On August 9, 2007, the Commission approved the modified "Medium" VRFs. MOD-018-0 R1.2 and R1.3 have "Lower" VRFs.

Region	Registered Entity	NOC ID	NERC Violation ID	Reliability Std.	Req. (R)	VRF	Total Penalty (\$)
			WECC200801034	PRC-005-1	2	High <sup>11</sup>	
			WECC200910405	TPL-003-0 <sup>12</sup>	1/1.3.6	High/Medium	

The text of the Reliability Standards at issue is set forth in the Disposition Documents.

#### FAC-003-1 R2 - OVERVIEW<sup>13</sup>

WECC determined that CSU, as a Transmission Owner, did not conduct a vegetation management patrol for the Cottonwood to Fuller 230 kV line transmission line with the timeframe required by its TVMP.

The duration of the FAC-003-1 R2 violation was from July 13, 2007, when patrol of the line was scheduled to be completed, through June 12, 2008, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because all but 1.8 miles of the Cottonwood to Fuller line had been inspected and the 1.8 miles of line that had not been inspected were located on grassland.

#### FAC-010-1 R2 - OVERVIEW<sup>14</sup>

WECC determined that CSU, as a Planning Authority, could not determine its system's response to multiple contingencies as required by this Standard.

The duration of the FAC-010-1 R2 violation was from July 1, 2008,<sup>15</sup> when this Standard became mandatory and enforceable, through December 15, 2008, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because CSU studied a subset of the multiple contingencies that are identified in TPL-003 and concluded that it would not have any overloads on its system due to multiple contingencies for about 8 years. Currently CSU's SOL's are equal to its Facility Ratings, but in

<sup>11</sup> PRC-005-1 R2 has a "Lower" VRF; R2.1 and R2.2 each have a "High" VRF. During a final review of the standards subsequent to the March 23, 2007 filing of the Version 1 VRFs, NERC identified that some standards requirements were missing VRFs; one of these include PRC-005-1 R2.1. On May 4, 2007, NERC assigned PRC-005 R2.1 a "High" VRF. In the Commission's June 26, 2007 Order on Violation Risk Factors, the Commission approved the PRC-005-1 R2.1 "High" VRF as filed. Therefore, the "High" VRF was in effect from June 26, 2007.

<sup>12</sup> TPL-003-0 was enforceable from June 18, 2007 through April 22, 2010. TPL-003-0a, the current version of the enforceable Standard, was approved by the Commission and became effective on April 23, 2010. The subsequent interpretation provides clarity to R1.3.2 and R1.3.12. For consistency in this filing, the original NERC Reliability Standard, TPL-003-0, is used throughout.

<sup>13</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.1.

<sup>14</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.2.

<sup>15</sup> The Settlement Agreement incorrectly states that the violation began on June 18, 2007, however the Standard was not enforceable until July 1, 2008.



the event of overloading, CSU has operating procedures in place to reduce any overloaded facilities to under the Facility Rating within 30 minutes.

#### FAC-010-1 R1, R3, and R4 - OVERVIEW<sup>16</sup>

WECC determined that CSU, as a Planning Authority, did not have a documented SOL Methodology for use in developing SOLs within its Planning Authority Area, and therefore did not have appropriate descriptions in its methodology and reliability margins and did not issue its SOL Methodology to appropriate parties. On December 15, 2008, CSU self-reported its non-compliance with FAC-010-R1, R3 and R4 because its existing methodology for determining SOL and IROL was not sufficient to meet the requirements of the Standard.

The duration of the FAC-010-1 R1, R3 and R4 violation was from July 1, 2008,<sup>17</sup> when this Standard became mandatory and enforceable, through December 15, 2008, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because CSU studies have demonstrated that the area in which CSU is located does not experience dynamic or voltage stability problems and does not require under voltage load shedding. Thus, CSU's SOL Methodology was simply to ensure that all facilities are operated within operating limits.

#### IRO-STD-006-0 WR1 - OVERVIEW<sup>18</sup>

WECC determined that CSU, as a Transmission Operator and Load Serving Entity, during a USF Event implemented for WECC Path 66 on July 10, 2008, created a Restricted Transaction on the path and failed to provide 1.2 MW of relief.

The duration of the IRO-STD-006-0 WR1 violation was for 1 day on July 10, 2008.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because the magnitude of the impact in this instance (1.2 MW) was a very small percentage of the transfer capability of the Qualified Path (4,800 MW). This small percentage was not significant to the constrained path.

#### MOD-018-0 R1 - OVERVIEW<sup>19</sup>

WECC determined that CSU, as a Load Serving Entity, Planning Authority, Resource Planner and Transmission Planner, did not address whether its report of forecast and actual demand data included the data of nonmember entities within its metered bounds as required by R1.1; it did not have formal documentation of the assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load as required by R1.2; and it did not have complete reporting procedures for MOD-016-1 R1. Thus, CSU could not address R1.1 and R1.2 in these procedures as required by R1.3.

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<sup>16</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.3.

<sup>17</sup> The Settlement Agreement incorrectly states that the violation began on June 18, 2007, however the Standard was not enforceable until July 1, 2008.

<sup>18</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.4.

<sup>19</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.5.

The duration of the MOD-018-0 R1 violation was from June 18, 2007, when this Standard became mandatory and enforceable, until September 24, 2008, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because the only other entity with load within the metered boundary of CSU is City of Fountain, a network transmission service customer of CSU with a peak load of only 50 MW.

#### PRC-005-1 R2 - OVERVIEW<sup>20</sup>

WECC determined that CSU, as a Transmission Owner and Distribution Provider, had not maintained and tested five (5) Protection System devices according to the intervals defined by its Protection System Maintenance and Testing Program. The 5 devices for which testing was not performed were relays and constitute less than 4% of CSU's total number of protection devices.

The duration of the PRC-005-1 R2 violation was from June 18, 2007, when this Standard became mandatory and enforceable, through July 1, 2008, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because the relays that were not tested represent less than 4 percent of all Protection Systems maintained by CSU and CSU's transmission grid is relatively small in size with 231 miles of transmission lines and a peak load of 863 MW.

#### TPL-003-0 R1 - OVERVIEW<sup>21</sup>

On December 15, 2008, WECC rejected CSU's completion of its pre-June 18, 2007 self-reported violation because CSU, as a Transmission Planner and Planning Authority, had not provided the required number of studies of forecast system demands under the contingency conditions as defined as Category C in Table 1 of the Standard, system performance following the loss of two or more Bulk Electric System elements.

The duration of the TPL-003-0 R1 violation was from June 18, 2007, when this Standard became mandatory and enforceable, through March 6, 2009, the date that CSU completed its Mitigation Plan.

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the BPS because, by CSU's portion of the interconnected transmission grid is planned such that the network can operate to supply projected demand over a range of forecasted demands.<sup>22</sup>

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<sup>20</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.6.

<sup>21</sup> Further information on this violation is contained in the Disposition Document included as Attachment b.7.

<sup>22</sup> In response to the NAVAPS, CSU noted that it had tested its system during peak summer loading conditions (its heaviest load demand), and by such testing, CSU demonstrated that its portion of the interconnected transmission grid is planned such that the network can operate to supply projected demand over a range of forecasted demands.

## **Statement Describing the Assessed Penalty, Sanction or Enforcement Action Imposed<sup>23</sup>**

### **Basis for Determination**

Taking into consideration the Commission's direction in Order No. 693, the NERC Sanction Guidelines, the Commission's July 3, 2008 and October 26, 2009 Guidance Orders,<sup>24</sup> the NERC BOTCC reviewed the Settlement Agreement and supporting documentation on July 12, 2010. The NERC BOTCC approved the Settlement Agreement, including WECC's assessment of a thirty-one thousand dollar (\$31,000) financial penalty against CSU and other actions to facilitate future compliance required under the terms and conditions of the Settlement Agreement. In approving the Settlement Agreement, the NERC BOTCC reviewed the applicable requirements of the Commission-approved Reliability Standards and the underlying facts and circumstances of the violations at issue.

In reaching this determination, the NERC BOTCC considered the following factors:<sup>25</sup>

1. the violations constituted CSU's first occurrence of violation of the subject NERC Reliability Standards;
2. CSU self-reported six (6) of the nine (9) the violations;
3. WECC reported that CSU was cooperative throughout the compliance enforcement process;
4. there was no evidence of any attempt to conceal a violation nor evidence of intent to do so;
5. WECC determined that the violations did not pose a serious or substantial risk to the reliability of the BPS, as discussed above and in the Disposition Documents; and
6. WECC reported that there were no other mitigating or aggravating factors or extenuating circumstances that would affect the assessed penalty.

For the foregoing reasons, the NERC BOTCC approves the Settlement Agreement and believes that the assessed penalty of thirty-one thousand dollars (\$31,000) is appropriate for the violation and circumstances at issue, and is consistent with NERC's goal to promote and ensure reliability of the BPS.

Pursuant to 18 C.F.R. § 39.7(e), the penalty will be effective upon expiration of the 30 day period following the filing of this NOP with FERC, or, if FERC decides to review the penalty, upon final determination by FERC.

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<sup>23</sup> See 18 C.F.R. § 39.7(d)(4).

<sup>24</sup> *North American Electric Reliability Corporation*, "Guidance Order on Reliability Notices of Penalty," 124 FERC ¶ 61,015 (2008); *North American Electric Reliability Corporation*, "Further Guidance Order on Reliability Notices of Penalty," 129 FERC ¶ 61,069 (2009). See also *North American Electric Reliability Corporation*, "Notice of No Further Review and Guidance Order," 132 FERC ¶ 61,182 (2010).

<sup>25</sup> CSU did not receive credit for having a compliance program because it was not reviewed by WECC.

**Attachments to be included as Part of this Notice of Penalty**

The attachments to be included as part of this NOP are the following documents:

- a) Settlement Agreement by and between WECC and CSU executed January 25, 2010, included as Attachment a;
- b) Disposition Documents included as the following Attachments:
  - i. Information common to the violations, included as Attachment b;
  - ii. Information regarding the violation of FAC-003-1 R2, included as Attachment b.1;
  - iii. Information regarding the violation of FAC-010-1 R2, included as Attachment b.2;
  - iv. Information regarding the violation of FAC-010-1 R1, R3 and R4, included as Attachment b.3;
  - v. Information regarding the violation of IRO-STD-006-0 WR1, included as Attachment b.4;
  - vi. Information regarding the violation of MOD-018-0 R1, included as Attachment b.5;
  - vii. Information regarding the violation of PRC-005-1 R2, included as Attachment b.6;
  - viii. Information regarding the violation of TPL-003-0 R1, included as Attachment b.7;
- c) Record documents for the violation of FAC-003-1 R2, included as Attachment c:
  - 1. WECC's Spot Check Determination Summary (not dated);
  - 2. CSU's Mitigation Plan dated June 13, 2008;
  - 3. CSU's Certification of Completion dated June 13, 2008;
  - 4. WECC's Verification of Completion dated October 7, 2008;
- d) Record documents for the violation of FAC-010-1 R2, included as Attachment d:
  - 1. CSU's Self Report dated June 30, 2008;
  - 2. CSU's Mitigation Plan dated June 30, 2008;
  - 3. CSU's Certification of Completion dated December 15, 2008;
  - 4. WECC's Verification of Completion dated January 22, 2009;
- e) Record documents for the violation of FAC-010-1 R1, R3 and R4, included as Attachment e:
  - 1. CSU's Self Report dated December 15, 2008;
  - 2. CSU's Mitigation Plan dated December 15, 2008;
  - 3. CSU's Certification of Completion dated December 15, 2008;

4. WECC's Verification of Completion dated January 22, 2009;
- f) Record documents for the violation of IRO-STD-006-0 WR1, included as Attachment f:
1. CSU's Self Certification dated January 7, 2009 and submitted January 8, 2009;
  2. CSU's Mitigation Plan submitted October 14, 2009;
  3. CSU's Certification of Completion dated December 23, 2009;
  4. WECC's Verification of Completion dated January 11, 2010;
- g) Record documents for the violation of MOD-018-0 R1, included as Attachment g:
1. CSU's Self Report dated June 15, 2007;
  2. CSU's Mitigation Plan dated September 24, 2008;
  3. CSU's Certification of Completion dated September 24, 2008;
  4. WECC's Verification of Completion dated January 22, 2009;
- h) Record documents for the violation of PRC-005-1 R2, included as Attachment h:
1. WECC's Spot Check Determination (not dated);
  2. CSU's Mitigation Plan dated July 2, 2008;
  3. CSU's Certification of Completion dated July 2, 2008;
  4. WECC's Verification of Completion dated October 7, 2008;
- i) Record documents for the violation of TPL-003-0 R1, included as Attachment i:
1. CSU's Self Report dated June 15, 2007;
  2. CSU's Mitigation Plan dated March 6, 2009;
  3. CSU's Certification of Completion dated March 6, 2009; and
  4. WECC's Verification of Completion dated April 8, 2009.

**A Form of Notice Suitable for Publication<sup>26</sup>**

A copy of a notice suitable for publication is included in Attachment j.

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<sup>26</sup> See 18 C.F.R. § 39.7(d)(6).

## Notices and Communications

Notices and communications with respect to this filing may be addressed to the following:

<p>Gerald W. Cauley* President and Chief Executive Officer David N. Cook* Sr. Vice President and General Counsel North American Electric Reliability Corporation 116-390 Village Boulevard Princeton, NJ 08540-5721 (609) 452-8060 (609) 452-9550 – facsimile gerry.cauley@nerc.net david.cook@nerc.net</p> <p>Christopher Luras* Manager of Compliance Enforcement Western Electricity Coordinating Council 155 North 400 West, Suite 200 Salt Lake City, UT 84103 (801) 883-6887 (801) 883-6894 – facsimile CLuras@wecc.biz</p> <p>Lisa Cleary* ECOM Manager Colorado Springs Utilities 215 Nichols Blvd. Colorado Springs, CO 80947 (719) 668-4122 Lcleary@csu.org</p> <p>*Persons to be included on the Commission's service list are indicated with an asterisk. NERC requests waiver of the Commission's rules and regulations to permit the inclusion of more than two people on the service list.</p>	<p>Rebecca J. Michael* Assistant General Counsel North American Electric Reliability Corporation 1120 G Street, N.W. Suite 990 Washington, DC 20005-3801 (202) 393-3998 (202) 393-3955 – facsimile rebecca.michael@nerc.net</p> <p>Louise McCarren* Chief Executive Officer Western Electricity Coordinating Council 155 North 400 West, Suite 200 Salt Lake City, UT 84103 (801) 883-6868 (801) 582-3918 – facsimile Louise@wecc.biz</p> <p>Steven Goodwill* General Counsel Western Electricity Coordinating Council 155 North 400 West, Suite 200 Salt Lake City, UT 84103 (801) 883-6857 (801) 883-6894 – facsimile SGoodwill@wecc.biz</p> <p>Constance White* Vice President of Compliance Western Electricity Coordinating Council 155 North 400 West, Suite 200 Salt Lake City, UT 84103 (801) 883-6885 (801) 883-6894 – facsimile CWhite@wecc.biz</p>
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## Conclusion

Accordingly, NERC respectfully requests that the Commission accept this Abbreviated NOP as compliant with its rules, regulations and orders.

Respectfully submitted,

Gerald W. Cauley  
President and Chief Executive Officer  
David N. Cook  
Sr. Vice President and General Counsel  
North American Electric Reliability Corporation  
116-390 Village Boulevard  
Princeton, NJ 08540-5721  
(609) 452-8060  
(609) 452-9550 – facsimile  
gerry.cauley@nerc.net  
david.cook@nerc.net

/s/ Rebecca J. Michael  
Rebecca J. Michael  
Assistant General Counsel  
North American Electric Reliability  
Corporation  
1120 G Street, N.W.  
Suite 990  
Washington, DC 20005-3801  
(202) 393-3998  
(202) 393-3955 – facsimile  
rebecca.michael@nerc.net

cc: Colorado Springs Utilities  
Western Electricity Coordinating Council

Attachments

## **Attachment a**

### **Settlement Agreement by and between WECC and CSU executed January 25, 2010**

**SETTLEMENT AGREEMENT**  
**OF**  
**WESTERN ELECTRICITY COORDINATING COUNCIL**  
**AND**  
**COLORADO SPRINGS UTILITIES**

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The WESTERN ELECTRICITY COORDINATING COUNCIL ("WECC") and COLORADO SPRINGS UTILITIES, an enterprise of the City of Colorado Springs, a home-rule city and municipal corporation ("CSU")(collectively the "Parties") hereby enter into this Settlement Agreement ("Agreement") on this 21 day of JANUARY, 2010.

**RECITALS**

A. The Parties desire to enter into this Agreement to resolve all outstanding issues between them arising from certain WECC determinations and findings regarding alleged CSU violations of the following North American Electric Reliability Corporation ("NERC") Reliability Standards ("Reliability Standards"):

WECC200801421	FAC-003-1 R2	Transmission Vegetation Management Program
WECC200800883	FAC-010-1 R2	System Operating Limits Methodology
WECC200801241	FAC-010-1 R1	System Operating Limits Methodology
WECC200801242	FAC-010-1 R3	System Operating Limits Methodology
WECC200801243	FAC-010-1 R4	System Operating Limits Methodology
WECC200901245	FAC-013-1	Transfer Capability
WECC200901407	IRO-STD-006 WR1	Qualified Path Unscheduled Flow Relief
WECC200810400	MOD-018-0 R1	Reports of Actual and Forecast Demand Data
WECC200801034	PRC-005-1 R2	Protection System Maintenance and Testing
WECC200910405	TPL-003-0 R1	System Performance (Loss $\geq$ Two BES Elements)

These alleged violations were detailed in WECC's Notice of Alleged Violation and Proposed Penalty or Sanction, dated June 30, 2009 ("NAVAPS").

B. CSU is a municipal utility. Its principal offices are located in Colorado Springs, Colorado. CSU was registered on the NERC Compliance Registry on April 10, 2007 as a Distribution Provider, Generator Owner, Generator Operator, Load Serving Entity, Planning Authority, Purchase Selling Entity, Resource Planner, Transmission Owner, Transmission Operator, and Transmission Service Provider.

C. WECC was formed on April 18, 2002 by the merger of the Western Systems Coordinating Council, Southwest Regional Transmission Association and Western Regional

Transmission Association. WECC is one of eight Regional Entities in the United States responsible for coordinating and promoting electric system reliability and enforcing the mandatory Reliability Standards created by NERC under the authority granted in Section 215 of the Federal Power Act. In addition, WECC supports efficient competitive power markets, assures open and non-discriminatory transmission access among members, provides a forum for resolving transmission access disputes, and provides an environment for coordinating the operating and planning activities of its members. WECC's region encompasses a vast area of nearly 1.8 million square miles extending from Canada to Mexico and including 14 western states. It is the largest and most diverse of the eight Regional Entities in the United States.

D. The Parties are entering into this Agreement to settle the disputed matters between them. It is in the Parties' and the public's best interests to resolve this matter efficiently without the delay and burden associated with a contested proceeding. Nothing contained in this Agreement shall be construed as an admission or waiver of either party's rights. Except, however, nothing in this Agreement shall limit or prevent WECC from evaluating CSU for subsequent violations of the same Reliability Standards addressed herein and taking enforcement action, if necessary. Such enforcement action can include assessing penalties against CSU for subsequent violations of the Reliability Standards addressed herein in accordance with NERC Rules of Procedure.

NOW, THEREFORE, in consideration of the terms set forth herein, including in the Recitals, WECC and CSU hereby agree and stipulate to the following:

## **I. Representations of the Parties**

For purposes of this Agreement, CSU stipulates to the facts contained herein. The facts stipulated herein are stipulated solely for the purpose of resolving between CSU and WECC the matters discussed herein and do not constitute stipulations or admissions for any other purpose. WECC has established sufficient facts, as set forth herein, to support its determination that CSU has Confirmed Violations as this term is defined in the WECC Compliance and Monitoring Enforcement Program ("CMEP"), of the Reliability Standards described below in detail.

## **II. Confirmed Violations**

### **A. NERC Reliability Standard FAC-003-1, Requirement 2**

**R2:** *The Transmission Owner shall create and implement an annual plan for vegetation management work to ensure the reliability of the system. The plan shall describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan should be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the transmission systems. Adjustments to the plan shall be documented as they occur. The plan should take into consideration the time required to obtain permissions or permits from landowners or regulatory authorities. Each Transmission Owner shall have systems and procedures for documenting and tracking the planned vegetation management work and ensuring that the vegetation management work was completed according to work specifications.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner. On June 4, 2008, the WECC Audit Team ("Audit Team") conducted a Spot Check of CSU. During the Spot Check, the Audit Team found that CSU had one of the most comprehensive detailed annual work plans for vegetation management ("TMVP") it had reviewed to date. This plan describes the methods that CSU uses and the roles of all the key CSU personnel involved in its implementation. The plan is flexible, adjusts to changing conditions, and takes into consideration lead times to obtain permission or permits. Also, the Audit Team found that CSU maintenance records are organized and detailed and that CSU has a process to ensure that vegetation management work is completed according to specifications.

For the Spot Check, CSU produced information about its previous and current vegetation inspection and maintenance cycles. Based on a review of this evidence, the Audit Team confirmed that CSU's vegetation inspection and maintenance was on schedule for all transmission lines except the Cottonwood to Fuller 230 kV transmission line. CSU's schedule suggested that the line was due to be patrolled on July 13, 2007. However, the Audit Team did not find a completion date for the line patrol. The Audit Team found a work order for this line, but the work order stated: "Unknown if line patrol was complete. Paperwork lost."

The Audit Team contacted CSU and asked CSU to confirm whether it had patrolled the line consistent with the requirements set forth in the CSU TVMP, which states that 230 kV transmission lines shall be patrolled annually. CSU was unable to locate records demonstrating that it had patrolled the Cottonwood to Fuller 230 kV transmission line on schedule. CSU patrolled the Cottonwood to Fuller 230 kV line the next day on June 5, 2008. Based on these findings, the Audit Team determined that CSU had a possible violation of this Standard and forwarded its findings to the WECC Enforcement Department ("Enforcement") for its review and consideration.

Enforcement reviewed the findings of the Audit Team. Enforcement determined that CSU could not demonstrate that it had patrolled the Cottonwood to Fuller 230 kV transmission line in 2007 as specified in the CSU TVMP. Thus, Enforcement concluded that CSU had an Alleged Violation of this Standard because CSU was unable to provide evidence that it had fully implemented its TVMP. Enforcement determined that the violation period for this Alleged Violation was from July 13, 2007, when patrol of the line was scheduled to be completed, until June 12, 2008, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that the Cottonwood to Fuller 230kV line is 8.5 miles long and that its primary purpose is to feed lower voltage lines on the CSU system. The line is located on the eastern plains of Colorado, which is near desert, with only grasses, shrubs and small trees. The Cottonwood to Fuller line is located a minimum of 24 feet off the ground and much of the line is located more than 40 feet above the ground so there is little risk that the vegetation would reach a height to adversely impact the operation of the line. Additionally, the Cottonwood to Fuller line shares a right-of-way with the Cottonwood to Nixon line. CSU had inspected the first 6.7 miles of the 8.5 mile Cottonwood to Fuller line when it inspected the Cottonwood to Nixon line. The remaining 1.8 miles of the line consists of 15 towers that are located on grassland.

CSU submitted a mitigation plan to address this violation on June 13, 2008. CSU certified that it had completed this mitigation plan on June 12, 2008. This mitigation plan stated that CSU inspected its Cottonwood to Fuller 230 kV line on June 5, 2008. CSU reported that it did not find any problems. Also, CSU modified its procedures for scheduling vegetation inspections on its 230 kV lines to minimize the probability that the inspections would not be completed per its TVMP. To demonstrate completion of this mitigation plan, CSU provided WECC with a copy of documentation demonstrating that it had patrolled the Cottonwood to Fuller 230 kV line as well as a copy of an internal email describing how it changed its process for scheduling vegetation inspections for 230 kV lines. On October 3, 2008, WECC subject matter experts ("SMEs") reviewed CSU's mitigation plan and completion documentation. Based on this review, the SMEs accepted the mitigation plan and verified its completion.

**B. NERC Reliability Standard FAC-010-1, Requirement 2**

**R2:** *The Planning Authority's SOL Methodology shall include a requirement that SOLs provide BES performance consistent with the following:*

**R2.1** *In the pre-contingency state and with all Facilities in service, the BES shall demonstrate transient, dynamic and voltage stability; all Facilities shall be within their Facility Ratings and within their thermal, voltage and stability limits. In the determination of SOLs, the BES condition used shall reflect expected system conditions and shall reflect changes to system topology such as Facility outages.*

**R2.2** *Following the single Contingencies1 identified in Requirement 2.2.1 through Requirement 2.2.3, the system shall demonstrate transient, dynamic and voltage stability; all Facilities shall be operating within their Facility Ratings and within their thermal, voltage and stability limits; and Cascading Outages or uncontrolled separation shall not occur.*

**R2.2.1** *Single line to ground or three-phase Fault (whichever is more severe), with Normal Clearing, on any Faulted generator, line, transformer, or shunt device.*

**R2.2.2** *Loss of any generator, line, transformer, or shunt device without a Fault.*

**R2.2.3** *Single pole block, with Normal Clearing, in a monopolar or bipolar high voltage direct current system.*

**R2.3** *Starting with all Facilities in service, the system's response to a single Contingency, may include any of the following:*

**R2.3.1** *Planned or controlled interruption of electric supply to radial customers or some local network customers connected to or supplied by the Faulted Facility or by the affected area.*

**R2.3.2** *System reconfiguration through manual or automatic control or protection actions.*

**R2.3.3** *To prepare for the next Contingency, system adjustments may be made, including changes to generation, uses of the transmission system, and the transmission system topology.*

**R2.4** *Starting with all facilities in service and following any of the multiple Contingencies identified in Reliability Standard TPL-003 the system shall demonstrate transient, dynamic and voltage stability; all Facilities shall be*



*operating within their Facility Ratings and within their thermal, voltage and stability limits; and Cascading Outages or uncontrolled separation shall not occur.*

**R2.5** *In determining the system's response to any of the multiple Contingencies, identified in Reliability Standard TPL-003, in addition to the actions identified in R2.3.1 and R2.3.2, the following shall be acceptable:*

**R2.5.1** *Planned or controlled interruption of electric supply to customers (load shedding), the planned removal from service of certain generators, and/or the curtailment of contracted Firm (non-recallable reserved) electric power Transfers.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Planning Authority. CSU discovered a possible violation of this Standard on June 30, 2008 and self-reported it to WECC on the same date. In its Self-Report, CSU explained that it was in violation of sub-requirements 2.4 and 2.5 of this Standard because it had violated Reliability Standard TPL-003, which is discussed below in Table 5. CSU reported that, because of its TPL-003 violation, it could not determine its system's response to multiple contingencies as required by this Standard. CSU stated that it had submitted a mitigation plan to WECC to address its violation of TPL-003, and that it could not be compliant with FAC-010 R2 until it had completed that mitigation plan.

WECC subject matter experts ("SMEs") reviewed CSU's Self-Report and determined that CSU had a possible violation of this Standard. They forwarded their findings to Enforcement for its review and consideration. Enforcement reviewed CSU's Self-Report and determined that CSU had an Alleged Violation of this Standard because it was not compliant with Reliability Standard TPL-003, to which R2.4 and R2.5 of this Standard refer. CSU did not conduct the necessary multiple contingency studies identified in TPL-003. Thus, CSU could not demonstrate that its facilities would operate properly under multiple contingency scenarios such as thermal, voltage and stability limits, or when cascading outages or uncontrolled separation occur. Enforcement determined that the violation period for this Alleged Violation was from June 18, 2007, when this Standard became mandatory and enforceable, until December 15, 2008, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that its approach to compliance with this standard was to ensure that all facilities are operated within their applicable thermal ratings. Additionally, CSU noted that numerous studies support that there are no known dynamic or stability issues in the CSU area.

CSU submitted a mitigation plan to address this violation on June 13, 2008. This mitigation plan stated that CSU would wait until it had finished its mitigation plan for TPL-003, and would then submit evidence establishing compliance with FAC-010. CSU's TPL-003 mitigation plan had an expected completion date of December 15, 2008. On September 29, 2008, WECC SMEs reviewed and accepted this mitigation plan.

CSU certified completion of this mitigation plan on December 15, 2008. To demonstrate completion of the mitigation plan, CSU provided WECC with a copy of its *FAC-010-1 SOL-IROL Methodology*. Also, CSU provided WECC with emails demonstrating that it had provided this Methodology to neighboring Planning Authorities, Transmission Planners, and the

Reliability Coordinator. On December 26, 2008, WECC SMEs reviewed CSU's completion documentation and verified CSU's completion of the mitigation plan.

**C. NERC Reliability Standard FAC-010-1, Requirement 1, 3, 4**

**R1:** *The Planning Authority shall have a documented SOL Methodology for use in developing SOLs within its Planning Authority Area. This SOL Methodology shall:*

**R1.1** *Be applicable for developing SOLs used in the planning horizon.*

**R1.2** *State that SOLs shall not exceed associated Facility Ratings.*

**R1.3** *Include a description of how to identify the subset of SOLs that qualify as IROLs.*

**R3:** *The Planning Authority's methodology for determining SOLs, shall include, as a minimum, a description of the following, along with any reliability margins applied for each:*

**R3.1** *Study model (must include at least the entire Planning Authority Area as well as the critical modeling details from other Planning Authority Areas that would impact the Facility or Facilities under study).*

**R3.2** *Selection of applicable Contingencies.*

**R3.3** *Level of detail of system models used to determine SOLs.*

**R3.4** *Allowed uses of Special Protection Systems or Remedial Action Plans.*

**R3.5** *Anticipated transmission system configuration, generation dispatch and Load level.*

**R3.6** *Criteria for determining when violating a SOL qualifies as an Interconnection Reliability Operating Limit (IROL) and criteria for developing any associated IROL Tv.*

**R4:** *The Planning Authority shall issue its SOL Methodology, and any change to that methodology, to all of the following prior to the effectiveness of the change:*

**R4.1** *Each adjacent Planning Authority and each Planning Authority that indicated it has a reliability-related need for the methodology.*

**R4.2** *Each Reliability Coordinator and Transmission Operator that operates any portion of the Planning Authority's Planning Authority Area.*

**R4.3** *Each Transmission Planner that works in the Planning Authority's Planning Authority Area.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Planning Authority. CSU discovered possible violations of this Standard on December 5, 2008, and reported them to WECC on December 15, 2008.

In its Self-Report, CSU stated that it violated this Standard because its methodology for determining System Operating Limits ("SOL") and Interconnected Reliability Operating Limits ("IROL") was not sufficient to meet the requirements of the Standard. WECC SMEs reviewed this Self-Report and determined that CSU had a possible violation of this Standard. They forwarded the Self-Report and their findings to Enforcement for its review and consideration.

Enforcement reviewed CSU's Self-Report and the findings of WECC SMEs. Enforcement determined that CSU had Alleged Violations of this Standard. Enforcement concluded that: CSU violated R1 and R3 because it did not have an adequate SOL Methodology; and CSU violated R4 because it could not issue a SOL Methodology to the entities specified in the Standard, which was the result of its violations of R1 and R3. Enforcement determined that the violation period for this Alleged Violation was from June 18, 2007, when this Standard became mandatory and enforceable, until December 15, 2008, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that its approach to compliance with this standard was to ensure that all facilities are operated within their applicable thermal ratings. Additionally, CSU noted that numerous studies support that there are no known dynamic or stability issues in the CSU area.

CSU submitted a mitigation plan to address its violations of this Standard on December 15, 2008. Also, CSU certified that it had completed this mitigation plan on December 15, 2008. CSU stated that it had worked with consultants to develop an SOL Methodology meeting the requirements of the Standard. In addition, CSU stated that it sent its new SOL Methodology to all necessary utilities and to WECC. To demonstrate completion of the mitigation plan, CSU provided WECC with a copy of its FAC-010-1 SOL-IROL Methodology. Also, CSU provided WECC with copies of emails demonstrating that it had provided this Methodology to neighboring Planning Authorities, Transmission Planners, and the Reliability Coordinator. On December 26, 2008, WECC SMEs reviewed CSU's mitigation plan and completion documentation. Based on this review, WECC SMEs accepted the mitigation plan and verified its completion.

**D. NERC Reliability Standard IRO-STD-006-0, Requirement WR1**

**WR1:** *WECC's Unscheduled Flow Mitigation Plan (Plan) which is on file with FERC and has been accepted by FERC, specifies that members shall comply with the requests from (Qualified) Transfer Path Operators to take actions that will reduce unscheduled flow on the Qualified Path in accordance with the table entitled "WECC Unscheduled Flow Procedure Summary of Curtailment Actions," which is located in Attachment 1 of the Plan.*

WECC Regional Reliability Standard IRO-STD-006 WR1 is applicable to Transmission Operators, Balancing Authorities, and Load Serving Entities. CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator and Load Serving Entity. CSU discovered a possible violation of this Standard through Self-Certification, which CSU submitted to WECC on January 8, 2009. In its Self-Certification, CSU stated that on July 10, 2008 it failed to curtail flow to provide 1.2 MW of relief on Path 66.

Another WECC Audit Team ("Audit Team2") reviewed CSU's Self-Certification and the facts and circumstances concerning the July 10, 2008 event at an on-site Compliance Audit of CSU on April 27, 2009. The Audit Team2 determined that CSU had a possible violation of this Standard because, during an Unscheduled Flow ("USF") Event implemented for WECC Path 66 on July 10, 2008, CSU created a Restricted Transaction on Path 66. The Standard defines a

“Restricted Transaction” as any transaction that is implemented after a USF Event is declared with a Transfer Distribution Factor of greater than five percent on the Qualified Path in the qualified direction.

The Audit Team2 confirmed CSU’s non-compliance with this Standard by evaluating USF Event compliance reports obtained from the WECC webSAS application, which calculates the impact of all existing interchange transactions on the applicable qualified paths and determines the required relief obligation based on the requirements of the USF Procedure. The Audit Team2 found that CSU did not have any obligation to provide relief for this USF event, but that CSU had implemented an interchange transaction “WACM\_CSUM010037266\_WAC” in the amount of 20 MW. This transaction was a Restricted Transaction as defined in the Standard and resulted in a USF contribution by CSU of 1.2 MW on Qualified Path 66. The Audit Team forwarded CSU’s Self-Certification and its findings to Enforcement for its review and consideration.

Enforcement reviewed CSU’s Self-Certification and the findings of the Audit Team2. Enforcement determined that CSU had an Alleged Violation of this Standard because it had implemented a Restricted Transaction on Path 66 on July 10, 2008 that resulted in a contribution of 1.2 MW of USF.

CSU submitted a mitigation plan to address this violation on October 14, 2009. This mitigation plan stated that CSU: (1) had reviewed the event underlying this violation with the Transmission System Operator (“TSO”) that was on duty during the event; (2) had updated CSU’s TSO Training and Certification Program to specifically address a requirement for continuing operator training of one hour per year per operator targeted toward information on WECC’s Unscheduled Flow Mitigation Plan; and (3) would complete the new annual requirement for each operator. This mitigation plan has an expected completion date of December 31, 2009. WECC SMEs have not yet reviewed or accepted this mitigation plan. CSU acknowledges and accepts that settlement of this Alleged Violation, and the terms of this Settlement Agreement, depend upon WECC’s acceptance of CSU’s mitigation plan for this Alleged Violation and on CSU’s completion of the mitigation plan.

**E. NERC Reliability Standard MOD-018-0, Requirement 1**

**MOD-018-0 R. 1:** *The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner’s report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:*

**R1.1.** *Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and*

**R1.2.** *Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.*

**R1.3.** *Items (MOD-018-0\_R 1.1) and (MOD-018-0\_R 1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1\_R 1.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Load Serving Entity, Planning Authority, Transmission Planner

and Resource Planner. CSU discovered a possible violation of this Standard on May 31, 2007, and self-reported it to WECC on June 15, 2007.

In its Self-Report, CSU explained that it violated this Standard because it did not explicitly address whether its report of forecast and actual demand data included the data of nonmember entities within its metered bounds as required by R1.1. Also, CSU reported that it did not have formal documentation of the assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load as required by R1.2. Finally, CSU explained that it did not have complete reporting procedures for MOD-016-1 R1 and, thus, could not address R1.1 and R1.2 in these procedures (R1.3).

WECC SMEs reviewed CSU's Self-Report and determined that CSU had a possible violation of this Standard. They forwarded the Self-Report and their findings to Enforcement for its review and consideration.

Enforcement reviewed CSU's Self-Report and determined that CSU had an Alleged Violation of this Standard because CSU's report of actual and forecast demand data did not meet the requirements set forth in R1.1, R1.2, and R1.3. Although CSU reported a possible violation of this Standard before June 18, 2007, this violation became sanctionable because CSU failed to complete its first mitigation plan for this violation, as discussed below. Enforcement determined that the violation period for this Alleged Violation was from June 18, 2007, when this Standard became mandatory and enforceable, until September 24, 2008, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that its approach to compliance with this standard was to ensure that all facilities are operated within their applicable thermal ratings. Additionally, CSU noted that numerous studies support that there are no known dynamic or stability issues in the CSU area.

CSU submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that CSU would finish developing its MOD-016-1 reporting procedures, and that these procedures would include the requirements of R1.1 and R1.2. This mitigation plan had an expected completion date of September 15, 2007.

CSU certified completion of this mitigation plan on September 14, 2007. WECC SMEs reviewed this completed mitigation plan and rejected its completion because CSU did not include any evidence demonstrating a report of actual and forecast demand data. CSU had submitted its procedure for preparing the data developed for MOD-016-1, but failed to include the data report that resulted from following this procedure.

On September 24, 2008, CSU submitted a new mitigation plan for this violation. This mitigation plan stated that CSU would submit a report of actual and forecast demand data. This mitigation plan was accepted by WECC on December 2, 2008. Also on September 24, 2008, CSU certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, CSU provided WECC with copies of its Monthly Peaks and Load Factors, Monthly Loads, and 2008 Forecast Annual Report documents. On December 2, 2008, WECC SMEs reviewed the completion documentation and verified completion of the mitigation plan.

**F. NERC Reliability Standard PRC-005-1, Requirement 2**

**R2:** *Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Reliability Organization on request (within 30 calendar days). The documentation of the program implementation shall include:*

**R2.1** *Evidence Protection System devices were maintained and tested within the defined intervals.*

**R2.2** *Date each Protection System device was last tested/maintained.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Distribution Provider. As mentioned above, on June 4, 2008, the Audit Team conducted a Spot Check of CSU.

For the Spot Check, CSU provided the Audit Team with a document titled *Relay Maintenance Not Completed in 2007*. This document listed five Protection System devices that were due for maintenance in 2007, but that CSU had not maintained as scheduled. CSU stated that it had deferred the maintenance for these five devices because of relay replacement, transformer outages, relay upgrades and construction. CSU tested these relays within 20 days of the date of discovery of this violation. The Audit Team determined that CSU had a possible violation of this Standard because it had not tested five Protection System devices within defined intervals. The Audit Team forwarded its findings to Enforcement for its review and consideration.

Enforcement reviewed the findings of the Audit Team. Enforcement determined that CSU had an Alleged Violation of this Standard because CSU had not tested five Protection System devices within the intervals defined by its Protection System maintenance and testing program. Enforcement determined that the violation period for this Alleged Violation was from June 18, 2007, when this Standard became mandatory and enforceable, until July 2, 2008, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that the list of devices for which testing was not performed constitutes less than 4% of CSU's total number of protection devices.

CSU submitted a mitigation plan to address this violation on July 2, 2008. Also, CSU certified that it had completed this mitigation plan as of July 2, 2008. In its mitigation plan, CSU stated that it had tested the five Protection System devices at issue. Also, CSU stated that it had changed its process for scheduling relay maintenance and testing. CSU's new process involves entering preventive maintenance requests into its work management system, which automatically generates work orders to schedule relay testing and maintenance per the required testing interval of the device. To demonstrate completion of the mitigation plan, CSU provided WECC with testing records for the five Protection System devices at issue. On October 1, 2008, WECC SMEs reviewed the mitigation plan and completion documentation. Based on this review, WECC SMEs accepted the mitigation plan and verified its completion.



**G. NERC Reliability Standard TPL-003-0, Requirement 1**

**TPL-003-0 R. 1:** *The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission systems is planned such that the network can be operated to supply projected customer demands and projected Firm (nonrecallable reserved) Transmission Services, at all demand Levels over the range of forecast system demands, under the contingency conditions as defined in Category C of Table I (attached). The controlled interruption of customer Demand, the planned removal of generators, or the Curtailment of firm (non-recallable reserved) power transfers may be necessary to meet this standard. To be valid, the Planning Authority and Transmission Planner assessments shall:*

**R1.1.** *Be made annually.*

**R1.2.** *Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.*

**R1.3.** *Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category C of Table 1 (multiple contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).*

**R1.3.1.** *Be performed and evaluated only for those Category C contingencies that would produce the more severe system results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.*

**R1.3.2.** *Cover critical system conditions and study years as deemed appropriate by the responsible entity.*

**R1.3.3.** *Be conducted annually unless changes to system conditions do not warrant such analyses.*

**R1.3.4.** *Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.*

**R1.3.5.** *Have all projected firm transfers modeled.*

**R1.3.6.** *Be performed and evaluated for selected demand levels over the range of forecast system demands.*

**R1.3.7.** *Demonstrate that System performance meets Table 1 for Category C contingencies.*

**R1.3.8.** *Include existing and planned facilities.*

**R1.3.9.** *Include Reactive Power resources to ensure that adequate reactive resources are available to meet System performance.*

**R1.3.10.** *Include the effects of existing and planned protection systems, including any backup or redundant systems.*

**R1.3.11.** *Include the effects of existing and planned control devices.*

**R1.3.12.** *Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their*

*components) at those Demand levels for which planned (including maintenance) outages are performed.*

**R1.4.** *Address any planned upgrades needed to meet the performance requirements of Category C.*

**R1.5.** *Consider all contingencies applicable to Category C.*

CSU is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Planning Authority and Transmission Planner. CSU discovered a possible violation of this Standard on May 31, 2007, and self-reported it to WECC on June 15, 2007.

In its Self-Report, CSU explained that its transmission studies for extreme contingencies (more than N-1) were completed by the Colorado Coordinated Planning Group ("CCPG"). CSU stated that it violated this Standard for the following reasons: (1) it had not updated its assessment annually (R1.1 and R1.3.3.); (2) its past documentation did not show that all projected firm transfers had been modeled (R1.3.5.); and (3) it had not determined whether CCPG provided the appropriate range of forecast system demands (R1.3.6.)

WECC SMEs reviewed CSU's Self-Report and determined that CSU had a possible violation of this Standard. They forwarded the Self-Report and their findings to Enforcement for its review and consideration.

Enforcement reviewed CSU's Self-Report and determined that CSU had an Alleged Violation of this Standard because CSU's planning studies failed to address the above-described sub-requirements of the Standard. Although CSU self-reported this violation before June 18, 2007, this violation became sanctionable because CSU failed to complete its first mitigation plan for this violation, as discussed below. Enforcement determined that the violation period for this Alleged Violation was from June 18, 2007, when this Standard became mandatory and enforceable, until March 6, 2009, the date that CSU completed its mitigation plan.

In response to the NAVAPS, CSU noted that it had tested its system during peak summer loading conditions, and by so testing, CSU demonstrated that its portion of the interconnected transmission grid is planned such that the network can operate to supply projected demand over a range of forecasted demands. CSU further noted that while it believed it was previously in compliance with TPL-003-0, R1, it nevertheless subsequently undertook to conduct additional off-peak studies.

CSU submitted a mitigation plan to address this violation on June 15, 2008. This mitigation plan stated that CSU would: (1) complete its Transmission Data Verification Project to provide a more accurate base case to CCPG; (2) continue to move forward with its revised CSU Long Range Transmission Assessment Project; (3) discuss, decide on and document CCPG processes to ensure that all entities will commit to an annual transmission study incorporating Category C contingencies to comply with R1; (4) provide data to CCPG for an updated assessment, as well as to ensure that CCPG completes the assessment within a year of the last annual study; (5) document its internal processes to ensure that it coordinates and cooperates with CCPG to produce an annual transmission assessment compliant with the Standard; and (6) ensure that it has a corrective plan in place which documents existing procedures and the necessary communications to WECC each year to comply with R1, R2 and R3. CSU stated that

if its proposed mitigation plan as described above did not meet the requirements of the Standard, then it would hire consultants to help produce an adequate transmission study and assessment. This mitigation plan was accepted by WECC on July 17, 2007.

On June 13, 2008, CSU submitted a revised mitigation plan stating that CSU had determined that it would have to hire a third party to perform the required studies. This revised mitigation plan stated that CSU would: (1) execute the necessary non-disclosure agreement and contract with the third party consultant; (2) obtain a detailed schedule from the consultant and identify key milestones; and (3) review the studies produced by the consultant and report them to WECC. This revised mitigation plan had an expected completion date of December 15, 2008.

CSU certified completion of this mitigation plan on December 15, 2008. To demonstrate completion of the mitigation plan, CSU provided WECC with copies of project documentation, the required planning studies, a planning process flowchart, a Transmission System Study/Assessment Report, its electric transmission major capital budget, and an email from WECC addressing TPL Standards. On December 22nd and 23rd, 2008, WECC SMEs reviewed CSU's completion documentation and rejected completion of the mitigation plan because they determined that CSU had analyzed only one demand level (heavy summer). Thus, CSU continued to be in violation of R1.3.6, which requires Registered Entities to perform and evaluate studies for selected demand levels over the range of forecast system demands.

CSU submitted a new mitigation plan to address this violation and certified its completion on March 6, 2009. This mitigation plan stated that CSU applied system simulations to a 2011 light spring case. To demonstrate completion of this mitigation plan, CSU provided WECC with a copy of its final assessment concerning the light spring case. On March 12, 2009, WECC SMEs reviewed this mitigation plan and completion documentation. Based on this review, WECC SMEs accepted the mitigation plan and verified its completion.

### **III. Dismissed Violations**

In its June 30, 2009 NAVAPS, WECC alleged that CSU had violated FAC-013-1 because it had not established Transfer Capabilities. After considering CSU's response to the NAVAPS and reviewing information provided by CSU, this alleged violation was dismissed because FAC-013-1 requires an entity to have Transfer Capabilities that are established according to the entity's Transfer Capability Methodology required under FAC-012-1. However, FAC-012-1 has not been approved by FERC. Thus, because CSU was not required to have a transfer capabilities methodology meeting the requirements of FAC-012-1, it could not be required to develop transfer capabilities consistent with such a methodology, as required by FAC-013-1 R1. In addition, WECC determined that CSU's practice of conducting maximum import/export studies, determining that the limiting factors of its system were the thermal ratings of tie lines, and using these thermal ratings of equipment and tie lines as its transfer capabilities, qualifies as an adequate and compliant methodology in the absence of the need to have a transfer capabilities methodology meeting the requirements of FAC-012-1.

### **IV. Settlement Terms**

A. Payment. To settle all matters alleged in the NAVAPS, CSU hereby agrees to pay \$31,000 to WECC via wire transfer or cashier's check. CSU shall make the funds payable to a

WECC account identified in a Notice of Payment Due that WECC will send to CSU upon approval of this Agreement by NERC and the Federal Energy Regulatory Commission ("FERC"). CSU shall issue the payment to WECC no later than thirty days after receipt of the Notice of Payment Due.

The terms of this Agreement, including the agreed upon payment, are subject to review and possible revision by NERC and FERC. Upon NERC approval of the Agreement, NERC will file a Notice of Penalty with FERC. If FERC approves the Agreement, NERC will post the Agreement publicly. If either NERC or FERC rejects the Agreement, then WECC will attempt to negotiate a revised settlement agreement with CSU that includes any changes to the Agreement specified by NERC or FERC. If the Parties cannot reach a settlement agreement, the CMEP governs the enforcement process.

B. Settlement Rationale. WECC's determination of penalties in an enforcement action is guided by the statutory requirement codified at 16 U.S.C. § 824o(e)(6) that any penalty imposed "shall bear a reasonable relation to the seriousness of the violation and shall take into consideration the efforts of such user, owner, or operator to remedy the violation in a timely manner". Additionally, WECC considers the guidance provided by the NERC Sanction Guidelines and by the FERC in Order No. 693 and in its July 3, 2008 Guidance Order on Reliability Notices of Penalty.

Specifically, to determine penalty assessment, WECC considers the following factors: (1) the seriousness of the violation, including the applicable Violation Risk Factor ("VRF") and Violation Severity Level, and the risk to the reliability of the Bulk Power System ("BPS"); (2) the violation's duration; (3) the Registered Entity's compliance history; (4) the Registered Entity's self-reports and voluntary corrective action; (5) the degree and quality of cooperation by the Registered Entity in the audit or investigation process, and in any remedial action; (6) the quality of the Registered Entity's compliance program; (7) any attempt by the Registered Entity to conceal the violation or any related information; (8) whether the violation was intentional; (9) any other relevant information or extenuating circumstances; and (10) the Registered Entity's ability to pay a penalty.

The following VRFs apply to CSU's Alleged Violations in accordance with NERC's VRF Matrix dated February 3, 2009:

1. The violation of FAC-003-1 R2 has a VRF of High. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because the Cottonwood to Fuller 230 kV line is located in an area of several parallel transmission lines. The primary purpose of this line is to feed the lower voltage lines providing service to CSU customers. Consequently, a vegetation outage would likely have a minimal impact on the BPS. In addition, the Audit Team found that CSU has one of the most comprehensive TVMPs it had reviewed to date. This provides confidence that CSU is addressing vegetation management thoroughly despite this one incidence of non-compliance.
2. The violation of FAC-010-0 R2 has a VRF of Medium. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because CSU stated that studies have demonstrated that the area in which CSU is located does not

experience voltage stability problems and does not require under voltage load shedding. Thus, CSU's SOL Methodology was simply to ensure that all facilities are operated within operating limits.

3. The violations of FAC-010-0 R1, R3, and R4 have a VRF of Lower. WECC determined that these violations posed a minimal risk to the reliability of the BPS because CSU stated that studies have demonstrated that the area in which CSU is located does not experience voltage stability problems and does not require under voltage load shedding. Thus, CSU's SOL Methodology was simply to ensure that all facilities are operated within operating limits.
4. The violation of IRO-STD-006-0 WR1 does not have a VRF. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because the magnitude of the impact in this instance (1.2 MW) was a very small percentage of the transfer capability of the Qualified Path (4800 MW). The effect of this small percentage was not significant to the constrained path.
5. The violation of MOD-018-0 R1 has a VRF of Medium. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because the only other entity with load within the metered boundary of CSU is City of Fountain, a network transmission service customer of CSU with a peak load of only 50 MW. The other acts of non-compliance underlying this violation were failures by CSU to have adequate documentation.
6. The violation of PRC-005-1 R2 has a VRF of High. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because CSU deferred the maintenance and testing of these devices for specific reasons and it tested them within 20 days of the date of discovery of this violation. These relays represent less than 3 percent of all Protection Systems maintained by CSU. WECC determined that these facts coupled with the limited physical interconnection of the CSU system, and the relatively small size of its transmission grid, strongly suggest that this violation posed minimal risk to the reliability of the BPS.
7. The violation of TPL-003-0 R1 has a VRF of Medium. WECC determined that this violation posed only a minimal risk to the reliability of the BPS because WECC SMEs determined that CSU's most critical system conditions occur during the summer peak loading conditions. CSU schedules maintenance outages during its off-peak periods (light load levels). Before CSU performs this maintenance, it performs studies to guarantee that system performance will meet criteria requirements. These studies indicate no performance problems when modeling specific maintenance scenarios and, thus, no further attention regarding these studies is required from CSU's planning engineers. Based on the facts that (1) CSU was conducting light load studies to guarantee that system performance will meet criteria requirements during maintenance outages at times of light load levels, and (2) CSU did have studies simulating the most critical load conditions during heavy summer load hours, the reliability impact of not studying other load conditions was minimal.

In addition to the factors listed above, WECC considered several mitigating factors to reach an agreement with CSU regarding the payment amount. First, the Alleged Violations addressed by this Agreement are CSU's first assessed noncompliance with the applicable Reliability Standards. Second, CSU has mitigated all of the violations, except for its violation of IRO-STD-006-0 WR1 for which CSU has submitted a mitigation plan that it expects to complete by December 31, 2009. Third, CSU self-reported the violations of FAC-010-1 R1, R2, R3, R4; MOD-018-0 R1; and TPL-003-0 R1. Fourth, CSU was cooperative throughout WECC's evaluation of its compliance with the Reliability Standards and the enforcement process.

Finally, in reaching this Agreement, WECC considered that there were no aggravating factors warranting a higher payment amount. Specifically, CSU did not have any negative compliance history. There was no failure by CSU to comply with applicable compliance directives, nor any evidence of an attempt by CSU to conceal a violation. Finally, there was no evidence that CSU's violations were intentional.

## **V. Additional Terms**

A. Authority. The undersigned representative of each party warrants that he or she is authorized to represent and bind the designated party.

B. Representations. The undersigned representative of each party affirms that he or she has read the Agreement, that all matters set forth in the Agreement are true and correct to the best of his or her knowledge, information, or belief, and that he or she understands that the Agreement is entered into by each party in express reliance on the representations set forth herein.

C. Review. Each party agrees that it has had the opportunity to consult with legal counsel regarding the Agreement and to review it carefully. Each party enters the Agreement voluntarily. No presumption or rule that ambiguities shall be construed against the drafting party shall apply to the interpretation or enforcement of this Agreement.

D. Entire Agreement. The Agreement represents the entire agreement between the Parties. No tender, offer, or promise of any kind outside the terms of the Agreement by any member, employee, officer, director, agent, or representative of CSU or WECC has been made to induce the signatories or the Parties to enter into the Agreement. No oral representations shall be considered a part of the Agreement.

E. Effective Date. The Agreement shall become effective upon FERC's approval of the Agreement by order or operation of law.

F. Waiver of Right to Further Proceedings. WECC and CSU agree that the Agreement, upon approval by NERC and FERC, is a final settlement of all matters alleged in the NAVAPS. CSU waives its right to further hearings and appeal in connection with matters alleged in the NAVAPS, except to the extent that CSU contends that any NERC or FERC action concerning the Agreement contains one or more material modifications to the Agreement or seeks to reopen matters settled herein.



G. Reservation of Rights. WECC reserves all of its rights to initiate enforcement, penalty or sanction actions against CSU for alleged violations not addressed in the NAVAPS, in accordance with the CMEP and the NERC Rules of Procedure. In the event that CSU fails to comply with any of the terms of this Agreement, WECC shall have the right to pursue enforcement, penalty or sanction actions against CSU up to the maximum penalty allowed by the NERC Rules of Procedure. CSU shall retain all of its rights to defend against such enforcement actions in accordance with the CMEP and the NERC Rules of Procedure. Failure by WECC to enforce any provision of the CMEP or the NERC Rules of Procedure on this occasion shall not constitute a waiver by WECC of its enforcement rights or be binding on WECC on any other occasion. Failure by CSU to enforce any provision hereof on this occasion shall not constitute waiver by CSU of any of its rights under the Agreement.

H. Consent. CSU consents to the use of WECC's determinations, findings, and conclusions set forth in this Agreement for the purpose of assessing the factors, including the factor of determining the company's history of violations, in accordance with the NERC Sanction Guidelines and applicable Commission orders and policy statements. Such use may be in any enforcement action or compliance proceeding undertaken by NERC and/or any Regional Entity; provided, however, that Registered Entity does not consent to the use of the specific acts set forth in this Agreement as the sole basis for any other action or proceeding brought by NERC and/or WECC, nor does CSU consent to the use of this Agreement by any other party in any other action or proceeding.

I. Modification or Rejection by NERC or FERC: This Agreement shall be void to the extent NERC and/or FERC reject or modify any of its provisions. In that event, both WECC and CSU reserve all rights conferred on them by all applicable regulations and law.

J. Amendments. Any amendments to the Agreement shall be in writing. No amendment to the Agreement shall be effective unless it is in writing and executed by the Parties.

K. Successors and Assigns. The Agreement shall be binding on successors or assigns of the Parties.

L. Governing Law. The Agreement shall be governed by and construed under the laws of the State of Utah.

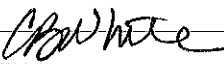
M. Captions. The Agreement's titles, headings and captions are for the purpose of convenience only and in no way define, describe or limit the scope or intent of the Agreement.

N. Counterparts and Facsimiles. The Agreement may be executed in counterparts, in which case each of the counterparts shall be deemed to be an original. Also, the Agreement may be executed via facsimile, in which case a facsimile shall be deemed to be an original.

***[Remainder of page intentionally left blank -  
signatures affixed to following page]***

Agreed to and accepted:

WESTERN ELECTRICITY COORDINATING COUNCIL


  
\_\_\_\_\_  
Constance B. White  
Vice President of Compliance

1-25-10  
\_\_\_\_\_  
Date

COLORADO SPRINGS UTILITIES

  
\_\_\_\_\_  
M. Thomas Black  
Chief Energy Services Officer

1-21-2010  
\_\_\_\_\_  
Date

APPROVED AS TO FORM:  
  
CITY ATTORNEYS OFFICE  
UTILITIES DIVISION 1/20/2010

## **Attachment b**

### **Disposition Documents Information common to the violations**



## II. PENALTY INFORMATION

TOTAL ASSESSED PENALTY OR SANCTION OF \$31,000 FOR NINE (9) VIOLATIONS OF RELIABILITY STANDARDS.

The Settlement Agreement includes a discussion on a dismissed FAC-013-1 R1 violation, NERC ID Number WECC200901245. In its June 30, 2009 Notice of Alleged Violation and Proposed Penalty or Sanction (NAVAPS), WECC alleged that CSU had violated FAC-013-1 R1 because it had not established Transfer Capabilities. After considering CSU's response to the NAVAPS and reviewing information provided by CSU, this alleged violation was dismissed because FAC-013-1 R1 requires an entity to have Transfer Capabilities that are established according to the entity's Transfer Capability Methodology required under FAC-012-1. However, FAC-012-1 has not been approved by FERC. Thus, because CSU was not required to have a Transfer Capabilities Methodology meeting the requirements of FAC-012-1, it could not be required to develop transfer capabilities consistent with such a methodology, as required by FAC-013-1 R1. In addition, WECC determined that CSU's practice of conducting maximum import/export studies, determining that the limiting factors of its system were the thermal ratings of tie lines, and listing these thermal ratings of equipment and tie lines as its transfer capabilities, qualifies as an adequate and compliant methodology in the absence of the need to have a transfer capabilities methodology meeting the requirements of FAC-012-1.

### (1) REGISTERED ENTITY'S COMPLIANCE HISTORY

PRIOR VIOLATIONS OF ANY OF THE INSTANT RELIABILITY STANDARD(S) OR REQUIREMENT(S) THEREUNDER

YES ☐ NO ☒

LIST ANY CONFIRMED OR SETTLED VIOLATIONS AND STATUS

ADDITIONAL COMMENTS

PRIOR VIOLATIONS OF OTHER RELIABILITY STANDARD(S) OR REQUIREMENTS THEREUNDER

YES ☒ NO ☐

LIST ANY PRIOR CONFIRMED OR SETTLED VIOLATIONS AND STATUS<sup>3</sup>

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<sup>3</sup> WECC determined that the prior violations should not serve as a basis for aggravating the penalty because the subject violations of NP10-2-000 involved unrelated standards and the Mitigation Plans in NP10-2-000 would not have resolved or prevented the instant violations. Moreover, there was nothing in the record to suggest that broader corporate issues were implicated.

**On October 14, 2009, NERC submitted an Omnibus filing, FERC Docket No. NP10-2-000, which addressed violations for certain registered entities including violations of PER-002-0 R3 and COM-001-1 R2 for CSU. On November 13, 2009, FERC issued an order stating it would not engage in further review of the violations addressed in the Omnibus Notice of Penalty.**

ADDITIONAL COMMENTS

(2) THE DEGREE AND QUALITY OF COOPERATION BY THE REGISTERED ENTITY (IF THE RESPONSE TO FULL COOPERATION IS "NO," THE ABBREVIATED NOP FORM MAY NOT BE USED.)

FULL COOPERATION      YES ☒      NO ☐  
IF NO, EXPLAIN

(3) THE PRESENCE AND QUALITY OF THE REGISTERED ENTITY'S COMPLIANCE PROGRAM

IS THERE A DOCUMENTED COMPLIANCE PROGRAM  
YES ☐      NO ☐      UNDETERMINED ☒  
EXPLAIN

**WECC did not review CSU's compliance program.**

EXPLAIN SENIOR MANAGEMENT'S ROLE AND INVOLVEMENT WITH RESPECT TO THE REGISTERED ENTITY'S COMPLIANCE PROGRAM, INCLUDING WHETHER SENIOR MANAGEMENT TAKES ACTIONS THAT SUPPORT THE COMPLIANCE PROGRAM, SUCH AS TRAINING, COMPLIANCE AS A FACTOR IN EMPLOYEE EVALUATIONS, OR OTHERWISE.

**WECC did not review CSU's compliance program.**

(4) ANY ATTEMPT BY THE REGISTERED ENTITY TO CONCEAL THE VIOLATION(S) OR INFORMATION NEEDED TO REVIEW, EVALUATE OR INVESTIGATE THE VIOLATION.

YES ☐      NO ☒  
IF YES, EXPLAIN

(5) ANY EVIDENCE THE VIOLATION(S) WERE INTENTIONAL (IF THE RESPONSE IS "YES," THE ABBREVIATED NOP FORM MAY NOT BE USED.)

YES ☐      NO ☒  
IF YES, EXPLAIN

(6) ANY OTHER MITIGATING FACTORS FOR CONSIDERATION

YES ☐ NO ☒  
IF YES, EXPLAIN

(7) ANY OTHER AGGRAVATING FACTORS FOR CONSIDERATION

YES ☐ NO ☒  
IF YES, EXPLAIN

(8) ANY OTHER EXTENUATING CIRCUMSTANCES

YES ☐ NO ☒  
IF YES, EXPLAIN

OTHER RELEVANT INFORMATION:

NOTICE OF ALLEGED VIOLATION AND PROPOSED PENALTY OR  
SANCTION ISSUED

DATE: **6/30/09** OR N/A ☐

SETTLEMENT DISCUSSIONS COMMENCED

DATE: **8/10/09** OR N/A ☐

**CSU initially requested settlement on 8/10/09 for the violation of FAC-010-1  
R2; the additional violations were subsequently added to the discussions.**

NOTICE OF CONFIRMED VIOLATION ISSUED

DATE: OR N/A ☒

SUPPLEMENTAL RECORD INFORMATION

DATE(S) OR N/A ☐

REGISTERED ENTITY RESPONSE CONTESTED

FINDINGS ☐ PENALTY ☐ BOTH ☐ NO CONTEST ☒

HEARING REQUESTED

YES ☐ NO ☒

DATE

OUTCOME

APPEAL REQUESTED

## **Information regarding the violation of FAC-003-1 R2**



## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200801421</b>	<b>CSU_WECC20081593</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>FAC-003-1</b>	<b>2</b>		<b>High</b>	<b>LNC - Level 2</b>

VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
											X			

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of FAC-003-1 provides:**

**To improve the reliability of the electric transmission systems by preventing outages from vegetation located on transmission rights-of-way (ROW) and minimizing outages from vegetation located adjacent to ROW, maintaining clearances between transmission lines and vegetation on and along transmission ROW, and reporting vegetation-related outages of the transmission systems to the respective Regional Reliability Organizations (RRO) and the North American Electric Reliability [Corporation] (NERC).**

**FAC-003-1 R2 provides:**

**R2. The Transmission Owner shall create and implement an annual plan for vegetation management work to ensure the reliability of the system. The plan shall describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan should be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the transmission systems. Adjustments to the plan shall be documented as they occur. The plan should take into consideration the time required to obtain permissions or permits from landowners or regulatory authorities. Each Transmission Owner shall have systems and procedures for documenting and tracking the planned vegetation**

**management work and ensuring that the vegetation management work was completed according to work specifications.**

#### **VIOLATION DESCRIPTION**

**During a Spot Check conducted by WECC on June 4, 2008,<sup>1</sup> the WECC Audit Team found that that CSU had a possible violation of this Standard because it had not conducted a patrol for the Cottonwood to Fuller 230 kV line transmission line, which had been due to be patrolled on July 13, 2007. The Audit Team found a work order for this line, but the work order stated: "Unknown if line patrol was complete. Paperwork lost." The Audit Team contacted CSU and asked CSU to confirm whether it had patrolled the line consistent with the requirements set forth in the CSU Transmission Vegetation Management Program (TVMP), which states that 230 kV transmission lines shall be patrolled annually. CSU was unable to locate records demonstrating that it had patrolled the Cottonwood to Fuller 230 kV transmission line on schedule.**

**The Audit Team also found that CSU had one of the most comprehensive detailed annual work plans for vegetation management it had reviewed prior to the Spot Check. This plan describes the methods that CSU uses and the roles of all the key CSU personnel involved in its implementation. The plan is flexible, adjusts to changing conditions, and takes into consideration lead times to obtain permission or permits. Also, the Audit Team found that CSU maintenance records are organized and detailed and that CSU has a process to ensure that vegetation management work is completed according to specifications.**

**The WECC Enforcement staff concluded that CSU had a violation of this Standard because CSU was unable to provide evidence that it had fully implemented its TVMP.**

**During settlement negotiations, CSU noted that the Cottonwood to Fuller 230 kV line is 8.5 miles long and that its primary purpose is to feed lower voltage lines on the CSU system. The line is located on the eastern plains of Colorado, which is near desert, with only grasses, shrubs and small trees. The Cottonwood to Fuller line is located a minimum of 24 feet off the ground and much of the line is located more than 40 feet above the ground so there is little risk that the vegetation would reach a height to adversely impact the operation of the line. Additionally, the Cottonwood to Fuller line shares ROW with the Cottonwood to Nixon line. On June 19, 2007, CSU had inspected the first 6.7 miles of the 8.5 mile Cottonwood to Fuller line when it inspected the Cottonwood to Nixon line. The remaining 1.8 miles of the line consists of 15 towers that are located on grassland.**

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<sup>1</sup> The source document incorrectly states that the violation was discovered by WECC on June 13, 2008.

## RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL

**WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system because all but 1.8 miles of the Cottonwood to Fuller line had been inspected and the 1.8 miles of line that had not been inspected were located on grassland. Additionally, the Cottonwood to Fuller line is located in an area of several parallel transmission lines.**

**II. DISCOVERY INFORMATION**

## METHOD OF DISCOVERY

SELF-REPORT	<input type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK (6/4/08)	<input checked="" type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

**DURATION DATE(S) July 13, 2007, when patrol of the line was scheduled to be completed, through June 12, 2008, the date that CSU completed its Mitigation Plan**

**DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY 6/4/08**

**IS THE VIOLATION STILL OCCURRING**

**YES ☐ NO ☒**

**IF YES, EXPLAIN**

<b>REMEDIAL ACTION DIRECTIVE ISSUED</b>	<b>YES</b>	<input type="checkbox"/>	<b>NO</b>	<input checked="" type="checkbox"/>
<b>PRE TO POST JUNE 18, 2007 VIOLATION</b>	<b>YES</b>	<input type="checkbox"/>	<b>NO</b>	<input checked="" type="checkbox"/>

**III. MITIGATION INFORMATION**

**FOR FINAL ACCEPTED MITIGATION PLAN:**

<b>MITIGATION PLAN NO.</b>	<b>MIT-08-1752</b>
<b>DATE SUBMITTED TO REGIONAL ENTITY</b>	<b>6/13/08</b>
<b>DATE ACCEPTED BY REGIONAL ENTITY</b>	<b>10/3/08</b>
<b>DATE APPROVED BY NERC</b>	<b>6/15/09</b>
<b>DATE PROVIDED TO FERC</b>	<b>6/15/09</b>

**IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE**

**MITIGATION PLAN COMPLETED YES ☒ NO ☐**

EXPECTED COMPLETION DATE **6/12/08**  
EXTENSIONS GRANTED **NONE**  
ACTUAL COMPLETION DATE **6/12/08**

DATE OF CERTIFICATION LETTER **6/13/08**  
CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **6/12/08**

DATE OF VERIFICATION LETTER **10/7/08**  
VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **6/12/08**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT  
RECURRENCE

**CSU inspected its Cottonwood to Fuller 230 kV line on June 5, 2008 and reported that it did not find any problems. Also, CSU modified its procedures for scheduling vegetation inspections on its 230 kV lines to minimize the probability that the inspections would not be completed per its TVMP.**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE  
COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN  
WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE  
REVIEWED FOR COMPLETED MILESTONES)

**The document *2008 LP 230CW-1 TO 230FR-4 & 230FR-5 WO#1721863.pdf* showing that CSU patrolled the line on June 5, 2008 and found no problems.**

**The *Line Patrol email.txt* describes how CSU changed the process for scheduling its vegetation inspections for 230 kV lines.**

EXHIBITS:

SOURCE DOCUMENT  
**WECC's Spot Check Determination Summary (not dated)**

MITIGATION PLAN  
**CSU's Mitigation Plan dated June 13, 2008**

CERTIFICATION BY REGISTERED ENTITY  
**CSU's Certification of Completion dated June 13, 2008**

VERIFICATION BY REGIONAL ENTITY  
**WECC's Verification of Completion dated October 7, 2008**

## **Information regarding the violation of FAC-010-1 R2**

## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200800883</b>	<b>CSU_WECC2008932</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>FAC-010-1<sup>1</sup></b>	<b>2</b>	<b>2.4, 2.5</b>	<b>Medium<sup>2</sup></b>	<b>LNC – level 3</b>

VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
						X								

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of FAC-010-1 provides: “To ensure that System Operating Limits (SOLs) used in the reliable planning of the Bulk Electric System (BES) are determined based on an established methodology or methodologies.”**

**FAC-010-1 R2 provides, in pertinent part:**

**R2. The Planning Authority’s SOL Methodology shall include a requirement that SOLs provide BES performance consistent with the following:**

**R2.4. Starting with all facilities in service and following any of the multiple Contingencies identified in Reliability Standard TPL-003 the system shall demonstrate transient, dynamic and voltage stability; all Facilities shall be operating within their Facility Ratings and within their thermal, voltage and stability limits;**

<sup>1</sup> FAC-010-1 was enforceable from July 1, 2008 through April 28, 2009. FAC-010-2 was enforceable from April 29, 2009 to April 18, 2010. FAC-010-2.1, the current enforceable version of the Standard, was approved by the Commission and became effective on April 19, 2010. The subsequent errata changes reassigned R2.3.2, R2.4 and R2.5 of the original NERC Reliability Standard to R2.4, R2.5 and R2.6 of the current version. For consistency in this filing, the original NERC Reliability Standard, FAC-010-1, is used throughout.

<sup>2</sup> FAC-010-1 R2 did not have an assigned violation risk factor (VRF), as it was an introductory phrase; however the sub-requirements each had a “Medium” VRF.

**and Cascading Outages or uncontrolled separation shall not occur.**

**R2.5. In determining the system's response to any of the multiple Contingencies, identified in Reliability Standard TPL-003, in addition to the actions identified in R2.3.1 and R2.3.2, the following shall be acceptable:**

**R2.5.1. Planned or controlled interruption of electric supply to customers (load shedding), the planned removal from service of certain generators, and/or the curtailment of contracted Firm (non-recallable reserved) electric power Transfers.**

#### **VIOLATION DESCRIPTION**

**On June 30, 2008, CSU discovered its non-compliance with FAC-010-1 R2.4 and R2.5, and self-reported it to WECC on the same day. In its Self Report, CSU explained that it was in violation of FAC-010-1 because it had violated Reliability Standard TPL-003. CSU reported that, because of its TPL-003 violation, it could not determine its system's response to multiple contingencies as required by this Standard. CSU also stated that it had submitted a Mitigation Plan to WECC to address its violation of TPL-003, and that it could not be compliant with FAC-010-1 R2 until it had completed that Mitigation Plan.**

**WECC determined that CSU was in violation of this Standard because it was not compliant with Reliability Standard TPL-003, to which R2.4 and R2.5 of this Standard refer. CSU did not conduct the necessary multiple contingency studies identified in TPL-003 and thus, CSU could not demonstrate that its facilities would operate properly under multiple contingency scenarios such as thermal, voltage and stability limits, or when cascading outages or uncontrolled separation occur.**

**In response to the NAVAPS, CSU noted that its approach to compliance with this standard was to ensure that all facilities are operated within their applicable thermal ratings. Additionally, CSU noted that numerous studies support that there are no known dynamic or stability issues in the CSU area.**

#### **RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL**

**WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because CSU studied a subset of the multiple contingencies that are identified in TPL-003 and concluded that it would not have any overloads on its system due to multiple contingencies for about 8 years. Currently, CSU's SOL's are equal to its Facility Ratings, but in the event of overloading, CSU has operating procedures in place to reduce any overloaded facilities to under the Facility Rating within 30 minutes.**

## **II. DISCOVERY INFORMATION**

### METHOD OF DISCOVERY

SELF-REPORT (6/30/08)	<input checked="" type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK	<input type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

**DURATION DATE(S) July 1, 2008,<sup>3</sup> when this Standard became mandatory and enforceable, through December 15, 2008, the date that CSU completed its Mitigation Plan**

**DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY 6/30/08**

**IS THE VIOLATION STILL OCCURRING**

**YES** ☐ **NO** ☒

**IF YES, EXPLAIN**

REMEDIAL ACTION DIRECTIVE ISSUED	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>
PRE TO POST JUNE 18, 2007 VIOLATION	YES	<input type="checkbox"/>	NO	<input checked="" type="checkbox"/>

## **III. MITIGATION INFORMATION**

**FOR FINAL ACCEPTED MITIGATION PLAN:**

MITIGATION PLAN NO.	MIT-08-1086
DATE SUBMITTED TO REGIONAL ENTITY	6/30/08 <sup>4</sup>
DATE ACCEPTED BY REGIONAL ENTITY	9/29/08
DATE APPROVED BY NERC	11/4/08
DATE PROVIDED TO FERC	11/4/08

**IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE**

**MITIGATION PLAN COMPLETED** YES ☒ NO ☐

**EXPECTED COMPLETION DATE 12/15/08**

**EXTENSIONS GRANTED NONE**

<sup>3</sup> The Settlement Agreement incorrectly states that the violation began on June 18, 2007, however the Standard was not enforceable until July 1, 2008.

<sup>4</sup> The Settlement Agreement, page 5, incorrectly states that CSU submitted its Mitigation Plan on June 13, 2008.



ACTUAL COMPLETION DATE **12/15/08**

DATE OF CERTIFICATION LETTER **12/15/08**<sup>5</sup>  
CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **12/15/08**

DATE OF VERIFICATION LETTER **1/22/09**  
VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **12/15/08**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT  
RECURRENCE

- **Complete Mitigation Plan for TPL-003 and TPL-004**<sup>6</sup>
- **Obtain a Non-Disclosure Agreement from ABB so that it can conduct project study work**
- **Develop a plan for N-2 contingencies to demonstrate transient, dynamic and voltage stability for N-2**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE  
COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN  
WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE  
REVIEWED FOR COMPLETED MILESTONES)

- ***FAC-010-1 SOL-IROL Methodology***
- **E-mail, and confirmation e-mails, to each of the adjacent Planning Authorities, Transmission Planners and to the WECC Reliability Coordinator**

EXHIBITS:

SOURCE DOCUMENT  
**CSU's Self Report dated June 30, 2008**

MITIGATION PLAN  
**CSU's Mitigation Plan dated June 30, 2008**

CERTIFICATION BY REGISTERED ENTITY  
**CSU's Certification of Completion dated December 15, 2008**

VERIFICATION BY REGIONAL ENTITY  
**WECC's Verification of Completion dated January 22, 2009**

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<sup>5</sup> The Certification of Completion and the Verification of Completion documents both include a reference to a violation of R5 (WECC200801244) which was dismissed by WECC on May 26, 2009 because there was no request as required by FAC-010-1 R5.

<sup>6</sup> The reference to the TPL-004 Mitigation refers to pre-June 18, 2007 violations that were timely mitigated.

## **Information regarding the violation of FAC-010-1 R1, R3 and R4**

## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING NO.	REGIONAL ENTITY TRACKING NO.
<b>WECC200801241</b>	<b>CSU_WECC20081353</b>
<b>WECC200801242</b>	<b>CSU_WECC20081354</b>
<b>WECC200801243</b>	<b>CSU_WECC20081355</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>FAC-010-1<sup>1</sup></b>	<b>1, 3, 4<sup>2</sup></b>		<b>Lower<sup>3</sup></b>	<b>Not Specified</b>

#### VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
						X								

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of FAC-010-1 provides: “To ensure that System Operating Limits (SOLs) used in the reliable planning of the Bulk Electric System (BES) are determined based on an established methodology or methodologies.”**

**FAC-010-1 R1, R3 and R4 provides:**

**R1. The Planning Authority shall have a documented SOL Methodology for use in developing SOLs within its Planning Authority Area. This SOL Methodology shall:**

**R1.1. Be applicable for developing SOLs used in the planning horizon.**

**R1.2. State that SOLs shall not exceed associated Facility Ratings.**

<sup>1</sup> FAC-010-1 was enforceable from July 1, 2008 through April 28, 2009. FAC-010-2 was enforceable from April 29, 2009 to April 18, 2010. FAC-010-2.1, the current enforceable version of the Standard, was approved by the Commission and became effective on April 19, 2010. The subsequent errata changes reassigned R2.3.2, R2.4 and R2.5 of the original NERC Reliability Standard to R2.4, R2.5 and R2.6 of the current version. For consistency in this filing, the original NERC Reliability Standard, FAC-010-1, is used throughout.

<sup>2</sup> The documents include a violation of R5 (WECC200801244) which was dismissed by WECC on May 26, 2009 because there was no request as required by FAC-010-1 R5.

<sup>3</sup> FAC-010-1 R1, R1.1, R1.2, R1.3, R3, R3.1, R3.2, R3.3, R3.5, R4, R4.1, R4.2 and R4.3 each have a “Lower” VRF, and R3.4 and R3.6 each have a “Medium” VRF.

- R1.3. Include a description of how to identify the subset of SOLs that qualify as IROLs.**
- R3. The Planning Authority's methodology for determining SOLs, shall include, as a minimum, a description of the following, along with any reliability margins applied for each:**
  - R3.1. Study model (must include at least the entire Planning Authority Area as well as the critical modeling details from other Planning Authority Areas that would impact the Facility or Facilities under study).**
  - R3.2. Selection of applicable Contingencies.**
  - R3.3. Level of detail of system models used to determine SOLs.**
  - R3.4. Allowed uses of Special Protection Systems or Remedial Action Plans.**
  - R3.5. Anticipated transmission system configuration, generation dispatch and Load level.**
  - R3.6. Criteria for determining when violating a SOL qualifies as an Interconnection Reliability Operating Limit (IROL) and criteria for developing any associated IROL  $T_v$ .**
- R4. The Planning Authority shall issue its SOL Methodology, and any change to that methodology, to all of the following prior to the effectiveness of the change:**
  - R4.1. Each adjacent Planning Authority and each Planning Authority that indicated it has a reliability-related need for the methodology.**
  - R4.2. Each Reliability Coordinator and Transmission Operator that operates any portion of the Planning Authority's Planning Authority Area.**
  - R4.3. Each Transmission Planner that works in the Planning Authority's Planning Authority Area.**

#### **VIOLATION DESCRIPTION**

**CSU discovered possible violations of this Standard during a compliance review on December 5, 2008 and reported them to WECC on December 15, 2008. In its Self-Report, CSU stated that it violated this Standard because its existing methodology for determining SOLs and IROLs were not sufficient to meet the requirements of the Standard. CSU did not have a documented SOL Methodology for use in developing SOLs within its Planning Authority Area, and therefore did not have appropriate descriptions in its methodology and reliability margins and did not issue its SOL Methodology to appropriate parties.**

**CSU violated R1 and R3 because it did not have an adequate SOL Methodology; and CSU violated R4 because it could not issue a SOL Methodology to the entities specified in the Standard, which was the result of its violations of R1 and R3.**

**In response to the NAVAPS, CSU noted that its approach to compliance with this standard was to ensure that all facilities are operated within their applicable thermal ratings. Additionally, CSU noted that numerous studies support that there are no known dynamic or stability issues in the CSU area.**

## **RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL**

**WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because CSU's studies have demonstrated that the area in which CSU is located does not experience dynamic or voltage stability problems and does not require under voltage load shedding. Thus, CSU's SOL Methodology was simply to ensure that all facilities are operated within operating limits.**

## **II. DISCOVERY INFORMATION**

### **METHOD OF DISCOVERY**

SELF-REPORT (12/15/08)	<input checked="" type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK	<input type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

**DURATION DATE(S) July 1, 2008,<sup>4</sup> when this Standard became mandatory and enforceable, through December 15, 2008, the date that CSU completed its Mitigation Plan**

**DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY 12/15/08**

**IS THE VIOLATION STILL OCCURRING**

**YES ☐ NO ☒**

**IF YES, EXPLAIN**

<b>REMEDIAL ACTION DIRECTIVE ISSUED</b>	<b>YES</b>	<input type="checkbox"/>	<b>NO</b>	<input checked="" type="checkbox"/>
<b>PRE TO POST JUNE 18, 2007 VIOLATION</b>	<b>YES</b>	<input type="checkbox"/>	<b>NO</b>	<input checked="" type="checkbox"/>

<sup>4</sup> The Settlement Agreement incorrectly states that the violation began on June 18, 2007; however, the Standard was not enforceable until July 1, 2008.

### III. MITIGATION INFORMATION

FOR FINAL ACCEPTED MITIGATION PLAN:

MITIGATION PLAN NO. **MIT-08-1326**  
 DATE SUBMITTED TO REGIONAL ENTITY **12/15/08**  
 DATE ACCEPTED BY REGIONAL ENTITY **12/26/08**  
 DATE APPROVED BY NERC **2/3/09**  
 DATE PROVIDED TO FERC **2/9/09**

IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE

MITIGATION PLAN COMPLETED YES ☒ NO ☐

EXPECTED COMPLETION DATE **12/15/08**  
 EXTENSIONS GRANTED **NONE**  
 ACTUAL COMPLETION DATE **12/15/08**

DATE OF CERTIFICATION LETTER **12/15/08**  
 CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **12/15/08**

DATE OF VERIFICATION LETTER **1/22/09**  
 VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **12/15/08**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT RECURRENCE

**CSU worked with consultants to develop a SOL Methodology that met the requirements of the Standard. In addition, CSU sent its new SOL Methodology to all necessary utilities including its adjacent Planning Authorities, their Transmission Planners and to its Reliability Coordinator, WECC, according to FAC-010-1 R4.**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE REVIEWED FOR COMPLETED MILESTONES)

**The document *2008 LP 230CW-1 TO 230FR-4 & 230FR-5 WO#1721863.pdf* showing that CSU patrolled the line on June 5, 2008 and found no problems.**

**The *Line Patrol email.txt* describes how CSU changed the process for scheduling its vegetation inspections for 230 kV lines.**

**E-mails sent to utilities required in FAC-010-1 R4 that show CSU issued its SOL Methodology.**

EXHIBITS:

SOURCE DOCUMENT

**CSU's Self Report dated December 15, 2008**

MITIGATION PLAN

**CSU's Mitigation Plan dated December 15, 2008**

CERTIFICATION BY REGISTERED ENTITY

**CSU's Certification of Completion dated December 15, 2008**

VERIFICATION BY REGIONAL ENTITY

**WECC's Verification of Completion dated January 22, 2009**

## **Information regarding the violation of IRO-STD- 006-0 WR1**



## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200901407</b>	<b>CSU_WECC20091576</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>IRO-STD-006-0</b>	<b>WR1</b>		<b>N/A</b>	<b>Not Specified</b>

VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
					X							X		

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of IRO-STD-006-0 provides: “Mitigation of transmission overloads due to unscheduled line flow on Qualified Paths.”**

**IRO-STD-006-0 provides in pertinent part:**

#### **Curtailment of Contributing Schedules**

**WECC’s Unscheduled Flow Mitigation Plan (Plan), which is on file with FERC and has been accepted by FERC (most recently prior to the date hereof on November 20, 2001 in Docket No. ER01-3085-000), 1/ specifies that members 2/ shall comply with requests from (Qualified) Transfer Path Operators to take actions that will reduce unscheduled flow on the Qualified Path in accordance with the table entitled “WECC Unscheduled Flow Procedure Summary of Curtailment Actions,” which is located in Attachment 1 of the Plan.**

**1/ Capitalized terms used in this section, unless separately defined in this standard, shall have the meaning specified in the Plan.**

**2/ Reliability Standard will apply to all Responsible Entities within the Western Interconnection.**

## VIOLATION DESCRIPTION

On January 8, 2009, CSU self-certified to WECC that, on July 10, 2008 it failed to curtail flow to provide 1.2 MW of relief on Path 66.<sup>1</sup>

The WECC Audit Team (Audit Team) reviewed CSU's self-certification during the April 27, 2009 on-site Compliance Audit, and determined that during an Unscheduled Flow (USF) Event implemented for WECC Path 66 on July 10, 2008, CSU created a Restricted Transaction<sup>2</sup> on Path 66.

The Audit Team evaluated USF Event compliance reports obtained from the WECC webSAS application, which calculates the impact of all existing interchange transactions on the applicable qualified paths and determines the required relief obligation based on the requirements of the USF Procedure. The Audit Team found that CSU did not have any obligation to provide relief for this USF event, but that CSU had implemented an interchange transaction "WACM\_CSUM010037266\_WAC" in the amount of 20 MW. This transaction was a Restricted Transaction as defined in the Standard and resulted in a USF contribution by CSU of 1.2 MW on Qualified Path 66.

## RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because the magnitude of the impact in this instance (1.2 MW) was a very small percentage of the transfer capability of the Qualified Path (4,800 MW). This small percentage was not significant to the constrained path.

## II. DISCOVERY INFORMATION

### METHOD OF DISCOVERY

SELF-REPORT	<input type="checkbox"/>
SELF-CERTIFICATION (1/8/09)	<input checked="" type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK	<input type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

DURATION DATE(S) **For 1 day on July 10, 2008**

<sup>1</sup> The self-certification document is dated January 7, 2009.

<sup>2</sup> The Standard defines a "Restricted Transaction" as any transaction that is implemented after a USF Event is declared with a Transfer Distribution Factor of greater than five percent on the Qualified Path in the qualified direction. See Restricted Transaction section in Attachment 1 of the Standard.

DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY **1/8/09**

IS THE VIOLATION STILL OCCURRING

YES ☐ NO ☒

IF YES, EXPLAIN

REMEDIAL ACTION DIRECTIVE ISSUED YES ☐ NO ☒  
 PRE TO POST JUNE 18, 2007 VIOLATION YES ☐ NO ☒

### **III. MITIGATION INFORMATION**

FOR FINAL ACCEPTED MITIGATION PLAN:

MITIGATION PLAN NO. **MIT-08-2256**

DATE SUBMITTED TO REGIONAL ENTITY **10/14/09<sup>3</sup>**

DATE ACCEPTED BY REGIONAL ENTITY **12/31/09**

DATE APPROVED BY NERC **1/13/10**

DATE PROVIDED TO FERC **1/13/10**

IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE

MITIGATION PLAN COMPLETED YES ☒ NO ☐

EXPECTED COMPLETION DATE **12/31/09**

EXTENSIONS GRANTED **NONE**

ACTUAL COMPLETION DATE **12/14/09**

DATE OF CERTIFICATION LETTER **12/23/09<sup>4</sup>**

CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **12/14/09**

DATE OF VERIFICATION LETTER **1/11/10**

VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **12/14/09**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT RECURRENCE

1. **CSU reviewed the event underlying this violation with the Transmission System Operator (TSO) that was on duty during the event;**
2. **CSU updated CSU's TSO Training and Certification Program to specifically address a requirement for continuing operator training of**

<sup>3</sup> The Mitigation Plan is signed on October 13, 2009.

<sup>4</sup> CSU's Certification of Completion incorrectly states that the 'Date of Submittal of Certification' is 10/14/09.

- one hour per year per operator targeted toward information on WECC's USF Mitigation Plan; and**
- 3. CSU committed to complete the new annual requirement for each operator.**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE REVIEWED FOR COMPLETED MILESTONES)

**The attendance list with each operator's signature and the date the training was completed.**

EXHIBITS:

SOURCE DOCUMENT

**CSU's Self Certification dated January 7, 2009 and submitted January 8, 2009**

MITIGATION PLAN

**CSU's Mitigation Plan submitted October 14, 2009**

CERTIFICATION BY REGISTERED ENTITY

**CSU's Certification of Completion dated December 23, 2009**

VERIFICATION BY REGIONAL ENTITY

**WECC's Verification of Completion dated January 11, 2010**

## **Information regarding the violation of MOD-018- 0 R1**

## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200810400</b>	<b>CSU_WECC20081177</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>MOD-018-0</b>	<b>1</b>		<b>Medium</b>	<b>Lower</b>

VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
					X	X			X				X	

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of MOD-018-0 provides:**

**To ensure that Assessments and validation of past events and databases can be performed, reporting of actual demand data is needed. Forecast demand data is needed to perform future system assessments to identify the need for system reinforcement for continued reliability. In addition, to assist in proper real-time operating, load information related to controllable Demand-Side Management programs is needed.**

**MOD-018-0 R1 provides:**

- R1. The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:**
  - R1.1. Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and**
  - R1.2. Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.**

**R1.3. Items (MOD-018-0\_R1.1) and (MOD-018-0\_R1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-0\_R1.**

#### **VIOLATION DESCRIPTION**

**CSU discovered a possible violation of this Standard on May 31, 2007 and self-reported it to WECC on June 15, 2007, prior to the Standard becoming enforceable. Although CSU reported a possible violation of this Standard before June 18, 2007, this violation became an enforceable post-June 18, 2007 violation because CSU failed to complete its first Mitigation Plan for the pre-June 18, 2007 violation by the approved completion date.**

**In its Self Report, CSU explained that it violated this Standard because it did not explicitly address whether its report of forecast and actual demand data included the data of nonmember entities within its metered bounds as required by R1.1. Also, CSU reported that it did not have formal documentation of the assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load as required by R1.2. Finally, CSU explained that it did not have complete reporting procedures for MOD-016-1 R1 and, thus, could not address R1.1 and R1.2 in these procedures as required by R1.3.**

#### **RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL**

**WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because the only other entity with load within the metered boundary of CSU is City of Fountain, a network transmission service customer of CSU with a peak load of only 50 MW.**

## **II. DISCOVERY INFORMATION**

#### **METHOD OF DISCOVERY**

SELF-REPORT	<input checked="" type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK	<input type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

**DURATION DATE(S) June 18, 2007, when this Standard became mandatory and enforceable, until September 24, 2008, the date that CSU completed its Mitigation Plan**

DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY **6/15/07**

IS THE VIOLATION STILL OCCURRING

YES ☐ NO ☒

IF YES, EXPLAIN

REMEDIAL ACTION DIRECTIVE ISSUED	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
PRE TO POST JUNE 18, 2007 VIOLATION	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>

### **III. MITIGATION INFORMATION**

FOR FINAL ACCEPTED MITIGATION PLAN:

MITIGATION PLAN NO.	<b>MIT-07-1426</b>
DATE SUBMITTED TO REGIONAL ENTITY	<b>9/24/08</b>
DATE ACCEPTED BY REGIONAL ENTITY	<b>12/2/08</b>
DATE APPROVED BY NERC	<b>2/23/09</b>
DATE PROVIDED TO FERC	<b>2/26/09</b>

IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE

**On June 15, 2007, CSU submitted a Mitigation Plan with an approved completion date of September 15, 2007. On September 14, 2007, CSU submitted a Certification of Completion for the June 15, 2007 Mitigation Plan, but it was rejected by WECC on September 15, 2008 because CSU did not include any evidence demonstrating a report of actual and forecast demand data. CSU had submitted its procedure for preparing the data developed for MOD-016-1, but failed to include the data report that resulted from following this procedure.**

**On September 24, 2008, CSU submitted a new Mitigation Plan for this violation. This Mitigation Plan stated that CSU would submit a report of actual and forecast demand data.**

MITIGATION PLAN COMPLETED YES ☒ NO ☐

EXPECTED COMPLETION DATE	<b>9/24/08</b>
EXTENSIONS GRANTED	<b>NONE</b>
ACTUAL COMPLETION DATE	<b>9/24/08</b>

DATE OF CERTIFICATION LETTER **9/24/08**  
 CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **9/24/08**

DATE OF VERIFICATION LETTER **1/22/09**



VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **9/24/08**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT  
RECURRENCE

**CSU provided the necessary actual and forecast demand data reports  
evidence.**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE  
COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN  
WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE  
REVIEWED FOR COMPLETED MILESTONES)

*Monthly Peaks and Load Factors.pdf,*  
*Monthly Loads.xls, and*  
*2008 Forecast Annual Report.doc*

EXHIBITS:

SOURCE DOCUMENT  
**CSU's Self Report dated June 15, 2007**

MITIGATION PLAN  
**CSU's Mitigation Plan dated September 24, 2008**

CERTIFICATION BY REGISTERED ENTITY  
**CSU's Certification of Completion dated September 24, 2008**

VERIFICATION BY REGIONAL ENTITY  
**WECC's Verification of Completion dated January 22, 2009**

## **Information regarding the violation of PRC-005-1 R2**

## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200801034</b>	<b>CSU_WECC20081120</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>PRC-005-1</b>	<b>2</b>		<b>Lower<sup>1</sup></b>	<b>LNC – Level 2</b>

#### VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
	X										X			

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of PRC-005-1 states: “To ensure all transmission and generation Protection Systems<sup>[2]</sup> affecting the reliability of the Bulk Electric System (BES) are maintained and tested.” (Footnote added.)**

**PRC-005-1 R2 provides:**

**Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Reliability Organization on request (within 30 calendar days). The documentation of the program implementation shall include:**

<sup>1</sup> PRC-005-1 R2 has a “Lower” VRF; R2.1 and R2.2 each have a “High” VRF. During a final review of the standards subsequent to the March 23, 2007 filing of the Version 1 VRFs, NERC identified that some standards requirements were missing VRFs; one of these include PRC-005-1 R2.1. On May 4, 2007, NERC assigned PRC-005 R2.1 a “High” VRF. In the Commission’s June 26, 2007 Order on Violation Risk Factors, the Commission approved the PRC-005-1 R2.1 “High” VRF as filed. Therefore, the “High” VRF was in effect from June 26, 2007.

<sup>2</sup> *The NERC Glossary of Terms Used in Reliability Standards* defines Protection System as “Protective relays, associated communication systems, voltage and current sensing devices, station batteries and DC control circuitry.”

**R2.1. Evidence Protection System devices were maintained and tested within the defined intervals.**

**R2.2. Date each Protection System device was last tested/maintained.**

#### VIOLATION DESCRIPTION

During a Spot Check conducted by WECC on June 4, 2008,<sup>3</sup> CSU provided the Audit Team with a document titled *Relay Maintenance Not Completed in 2007*. This document listed five Protection System devices (relays) that were due for maintenance in 2007, but that CSU had not maintained as scheduled. CSU stated that it had deferred the maintenance for these five devices because of relay replacement, transformer outages, relay upgrades and construction, as shown below. The list of devices for which testing was not performed constitutes less than 4% of CSU's total number of protection devices.<sup>4</sup>

Substation	Device	Reason
Cottonwood	230CW3/115CW2	Deferred to 2008 for Transformer Outage
Fontanero	115FT5	Bus Tie not finished in 2007
Fountain	FN115 N. Bus	Bus Tie not finished in 2007
Kelker	115KE11	Deferred to 2008 for Carrier Replacement
Kelker	115KE8	Deferred to 2008 for Line Panel Construction

#### RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL

WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because the relays that were not tested represent less than 4 percent of all Protection Systems maintained by CSU and CSU's transmission grid is relatively small in size with 231 miles of transmission lines and a peak load of 863 MW.

## II. DISCOVERY INFORMATION

#### METHOD OF DISCOVERY

SELF-REPORT	<input type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK (6/4/08)	<input checked="" type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

<sup>3</sup> The source document incorrectly states that the violation was discovered by WECC on February 5, 2008.

<sup>4</sup> Some of the documents refer to less than 3%, due to an error in rounding.

**DURATION DATE(S) June 18, 2007, when this Standard became mandatory and enforceable, through July 2, 2008, the date that CSU completed its Mitigation Plan**

**DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY 6/4/08**

**IS THE VIOLATION STILL OCCURRING**

**YES ☐ NO ☒**

**IF YES, EXPLAIN**

**REMEDIAL ACTION DIRECTIVE ISSUED YES ☐ NO ☒**

**PRE TO POST JUNE 18, 2007 VIOLATION YES ☐ NO ☒**

### **III. MITIGATION INFORMATION**

**FOR FINAL ACCEPTED MITIGATION PLAN:**

**MITIGATION PLAN NO. MIT-08-1150**

**DATE SUBMITTED TO REGIONAL ENTITY 7/2/08**

**DATE ACCEPTED BY REGIONAL ENTITY 10/1/08**

**DATE APPROVED BY NERC 12/16/08**

**DATE PROVIDED TO FERC 12/16/08**

**IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE**

**MITIGATION PLAN COMPLETED YES ☒ NO ☐**

**EXPECTED COMPLETION DATE 7/2/08**

**EXTENSIONS GRANTED NONE**

**ACTUAL COMPLETION DATE 7/1/08<sup>5</sup>**

**DATE OF CERTIFICATION LETTER 7/2/08**

**CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF 7/1/08**

**DATE OF VERIFICATION LETTER 10/7/08**

**VERIFIED COMPLETE BY REGIONAL ENTITY AS OF 7/1/08**

**ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT RECURRENCE**

- 1. CSU tested the five Protection System devices at issue.**
- 2. CSU stated that it had changed its process for scheduling relay maintenance and testing. CSU's new process involves entering preventive**

<sup>5</sup> The Settlement Agreement, page 10, incorrectly states that CSU certified it completed its Mitigation Plan as of July 2, 2008.

**maintenance requests into its work management system, which automatically generates work orders to schedule relay testing and maintenance per the required testing interval of the device.**

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE REVIEWED FOR COMPLETED MILESTONES)

- ***Mitigation Plan CSU PRC-005-1 Attachment (1 ).pdf* shows testing of the following sets of devices at the dates shown:**

<b>Substation</b>	<b>Device</b>	<b>Date</b>
Cottonwood	230CW3/115CW2	6/24/08
Fontanero	115FT5	6/23/08
Fountain	FN115N	6/10/08
Kelker	115KE 11	3/18/08
Kelker	115KE8	5/23/08

- **Updated Protection System Maintenance and Testing Program dated June 17, 2008**

#### EXHIBITS:

##### SOURCE DOCUMENT

**WECC's Spot Check Determination (not dated)**

##### MITIGATION PLAN

**CSU's Mitigation Plan submitted September 24, 2008**

##### CERTIFICATION BY REGISTERED ENTITY

**CSU's Certification of Completion dated July 2, 2008**

##### VERIFICATION BY REGIONAL ENTITY

**WECC's Verification of Completion dated October 7, 2008**

## **Information regarding the violation of TPL-003-0 R1**

## **DISPOSITION OF VIOLATION**

**Dated July 12, 2010**

NERC TRACKING	REGIONAL ENTITY TRACKING
NO.	NO.
<b>WECC200910405</b>	<b>CSU_WECC20091142</b>

### **I. VIOLATION INFORMATION**

RELIABILITY STANDARD	REQUIREMENT(S)	SUB-REQUIREMENT(S)	VRF(S)	VSL(S)
<b>TPL-003-0<sup>1</sup></b>	<b>1</b>	<b>1.3.6</b>	<b>High/Medium</b>	<b>LNC – level 4</b>

VIOLATION APPLIES TO THE FOLLOWING FUNCTIONS:

BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
						X							X	

PURPOSE OF THE RELIABILITY STANDARD AND TEXT OF RELIABILITY STANDARD AND REQUIREMENT(S)/SUB-REQUIREMENT(S)

**The purpose statement of TPL-003-0 provides: “System simulations and associated assessments are needed periodically to ensure that reliable systems are developed that meet specified performance requirements, with sufficient lead time and continue to be modified or upgraded as necessary to meet present and future System needs.”**

**TPL-003-0 R1 provides in pertinent part:**

- R1. The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission systems is planned such that the network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand Levels over the range of forecast system demands, under the contingency conditions as defined in Category C of Table I (attached). The controlled interruption of customer Demand, the planned removal of generators, or the Curtailment of firm (non-recallable reserved) power transfers may be necessary to meet this standard. To**

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<sup>1</sup> TPL-003-0 was enforceable from June 18, 2007 through April 22, 2010. TPL-003-0a, the current version of the enforceable Standard, was approved by the Commission and became effective on April 23, 2010. The subsequent interpretation provides clarity to R1.3.2 and R1.3.12. For consistency in this filing, the original NERC Reliability Standard, TPL-003-0, is used throughout.



be valid, the Planning Authority and Transmission Planner assessments shall:

- R1.1.** Be made annually.
- R1.2.** Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.
- R1.3.** Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category C of Table 1 (multiple contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s). ...
  - R1.3.6.** Be performed and evaluated for selected demand levels over the range of forecast system demands.
  - ...

#### **VIOLATION DESCRIPTION**

**CSU discovered a possible violation of this Standard on May 31, 2007 and self-reported it to WECC on June 15, 2007, prior to the Standard becoming enforceable. Although CSU reported a possible violation of this Standard before June 18, 2007, the mandatory effective date for this Standard, this violation for R1.3.6 became an enforceable post-June 18, 2007 violation because CSU failed to complete its first Mitigation Plan for the R1.3.6 pre-June 18, 2007 violation by the approved completion date.**

**In its Self Report, CSU explained that its transmission studies for extreme contingencies (more than N-1) were completed by the Colorado Coordinated Planning Group (CCPG). CSU stated that it violated this Standard for the following reasons: (1) it had not updated its assessment annually (R1.1 and R1.3.3.); (2) its past documentation did not show that all projected firm transfers had been modeled (R1.3.5); and (3) it had not determined whether CCPG provided the required number of studies of forecast system demands (R1.3.6.).**

#### **RELIABILITY IMPACT STATEMENT- POTENTIAL AND ACTUAL**

**WECC concluded that this violation did not pose a serious or substantial risk to the reliability of the bulk power system (BPS) because CSU's portion of the interconnected transmission grid is planned such that the network can operate to supply projected demand over a range of forecasted demands.<sup>2</sup>**

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<sup>2</sup> In response to the NAVAPS, CSU noted that it had tested its system during peak summer loading conditions (its heaviest load demand), and by such testing, CSU demonstrated that its portion of the interconnected transmission grid is planned such that the network can operate to supply projected demand over a range of forecasted demands.

## II. DISCOVERY INFORMATION

### METHOD OF DISCOVERY

SELF-REPORT (6/15/07)	<input checked="" type="checkbox"/>
SELF-CERTIFICATION	<input type="checkbox"/>
COMPLIANCE AUDIT	<input type="checkbox"/>
COMPLIANCE VIOLATION INVESTIGATION	<input type="checkbox"/>
SPOT CHECK	<input type="checkbox"/>
COMPLAINT	<input type="checkbox"/>
PERIODIC DATA SUBMITTAL	<input type="checkbox"/>
EXCEPTION REPORTING	<input type="checkbox"/>

**DURATION DATE(S) June 18, 2007, when this Standard became mandatory and enforceable, through March 6, 2009, the date that CSU completed its Mitigation Plan**

**DATE DISCOVERED BY OR REPORTED TO REGIONAL ENTITY 6/15/07**

IS THE VIOLATION STILL OCCURRING

YES ☐ NO ☒

IF YES, EXPLAIN

REMEDIAL ACTION DIRECTIVE ISSUED	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
PRE TO POST JUNE 18, 2007 VIOLATION	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>

## III. MITIGATION INFORMATION

FOR FINAL ACCEPTED MITIGATION PLAN:

MITIGATION PLAN NO. <b>MIT-07-1584</b>	
DATE SUBMITTED TO REGIONAL ENTITY	<b>3/6/09</b>
DATE ACCEPTED BY REGIONAL ENTITY	<b>3/12/09</b>
DATE APPROVED BY NERC	<b>4/23/09</b>
DATE PROVIDED TO FERC	<b>4/27/09</b>

IDENTIFY AND EXPLAIN ALL PRIOR VERSIONS THAT WERE ACCEPTED OR REJECTED, IF APPLICABLE

**CSU submitted a Mitigation Plan on June 15, 2007,<sup>3</sup> and stated that if its pre-June 18, 2007 Mitigation Plan actions did not meet the requirements of the Standard, then it would hire consultants to help produce an adequate transmission study and**

<sup>3</sup> The Settlement Agreement, page 12, incorrectly states that this Mitigation Plan was submitted on June 15, 2008.

assessment. With the exception of R1.3.6, CSU's non-compliance was mitigated with this Mitigation Plan.<sup>4</sup>

On June 13, 2008, CSU submitted a revised Mitigation Plan stating that CSU had determined that it would have to hire a third party to perform the required studies. This Mitigation Plan had an approved completion date of December 15, 2008. CSU certified completion of this Mitigation Plan on December 15, 2008. On February 20, 2009, WECC rejected the completion because CSU had analyzed only one demand level (heavy summer), and thus continued to be in violation of R1.3.6, which requires Registered Entities to perform and evaluate multiple studies for selected demand levels over the range of forecast system demands. To be compliant with R1.3.6, CSU would be required to study an additional load level.

On March 6, 2009, CSU submitted a Mitigation Plan to conduct an additional study.

MITIGATION PLAN COMPLETED      YES ☒      NO ☐

EXPECTED COMPLETION DATE **3/6/09**

EXTENSIONS GRANTED      **NONE**

ACTUAL COMPLETION DATE      **3/6/09**

DATE OF CERTIFICATION LETTER **3/6/09**

CERTIFIED COMPLETE BY REGISTERED ENTITY AS OF **3/6/09**

DATE OF VERIFICATION LETTER **4/8/09**

VERIFIED COMPLETE BY REGIONAL ENTITY AS OF **3/3/09**

ACTIONS TAKEN TO MITIGATE THE ISSUE AND PREVENT  
RECURRENCE

**For 6/13/08 Mitigation Plan**

- CSU would hire a third party to perform the required studies. To do so, CSU would:
  - (1) execute the necessary non-disclosure agreement and contract with the third party consultant;
  - (2) obtain a detailed schedule from the consultant and identify key milestones; and
  - (3) review the studies produced by the consultant and report them to WECC.

**For 3/6/09 Mitigation Plan**

- CSU conducted an additional study (a 2011 light spring case) and applied system simulations

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<sup>4</sup> CSU's June 15, 2007 Self Report included non-compliance with R1, R2 and R3.

LIST OF EVIDENCE REVIEWED BY REGIONAL ENTITY TO EVALUATE COMPLETION OF MITIGATION PLAN OR MILESTONES (FOR CASES IN WHICH MITIGATION IS NOT YET COMPLETED, LIST EVIDENCE REVIEWED FOR COMPLETED MILESTONES)

**For 6/13/08 Mitigation Plan**

- **project documentation;**
- **the required planning studies;**
- **a planning process flowchart;**
- **a Transmission System Study/Assessment Report;**
- **its electric transmission major capital budget; and**
- **an e-mail from WECC addressing TPL Standards.**

**For 3/6/09 Mitigation Plan:**

- **Compliance with NERC TPL - 003 and TPL - 004 Standards Project, Final Report, March 2, 2009**

**EXHIBITS:**

**SOURCE DOCUMENT**

**CSU's Self Report dated June 15, 2007**

**MITIGATION PLAN**

**CSU's Mitigation Plan dated March 6, 2009**

**CERTIFICATION BY REGISTERED ENTITY**

**CSU's Certification of Completion dated March 6, 2009**

**VERIFICATION BY REGIONAL ENTITY**

**WECC's Verification of Completion dated April 8, 2009**

## **Attachment c**

### **Record documents for the violation of FAC-003-1 R2**

- 1. WECC's Spot Check Determination  
Summary (not dated)**
- 2. CSU's Mitigation Plan dated June 13, 2008**
- 3. CSU's Certification of Completion dated  
June 13, 2008**
- 4. WECC's Verification of Completion dated  
October 7, 2008**



**Non-Public and CONFIDENTIAL**

## Regional Determination of Alleged Violation Summary

**Region:** WECC

**Registered Entity:** Colorado Springs Utilities

**NERC Registry ID:** NCR05106

**NERC Violation ID:** WECC200801421

**Date Alleged Violation reported to or discovered by WECC:** 06/13/2008

**Method of Discovery:** Spot Check

**Standard:** FAC-003-1

**Requirement:** 2

**Regional description of Alleged Violation:**

Documentation was not available for the ROW inspection performed on the 230kV line as specified in the TVMP.

**Repeat Alleged Violation:** ☐ Yes ☒ No

**If Yes, NERC Violation ID:**

**NAVAPS Issue Date:** 06/30/2009

**Violation Risk Factor:** HIGH

**Violation Severity Level (VSL):** LNC - Level 2

**Regional Determination of VSL:**

**Regional Determination of Impact to BPS:** Minimal

**Regional Detailed Description of Impact to BPS:**

\*DIMI \* Minimal- Documentation Issue - Documentation of ROW inspection was not available.

**Begin Date of Alleged Violation:** 06/04/2008

**Time of Alleged Violation:** 12:00:00 am

**End Date of Alleged Violation:**

**Mitigation Plan Submittal Date:** 06/13/2008

**Mitigation Plan Target Completion Date:** 06/13/2008

**Registered Entity Certification of Closure Date:** 06/13/2008

**Mitigation Plan Actual Completion Date:** 06/12/2008



**Non-Public and CONFIDENTIAL**

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**Additional Comments:**

**WECC Contact:**

Name: Chris Luras  
Title: Manager of Enforcement  
Phone Number: 801-582-0353  
Email: [cluras@wecc.biz](mailto:cluras@wecc.biz)



## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 06/13/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 06/12/2008

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities  
 Registered Entity Address: P.O. Box 1103, Colorado Springs, CO  
 80947  
 NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael McAvoy  
 Title: System Operations Superintendent  
 Email: mmcavoy@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.





**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: FAC-003-1  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R2	Lower	06/04/08	Spot Check of Self Certification

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

We do not have documentation that a ROW vegetation inspection was performed on our Cottonwood to Fuller 230kV line per the schedule specified in our TVMP.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:



[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## Section D: Details of Proposed Mitigation Plan

### Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

We performed a vegetation inspection on our Cottonwood to Fuller 230kV on 06/05/2008. No problems were found.

We also modified our procedure, on 06/12/2008, for scheduling vegetation inspections on our 230kV lines to minimize the probability that the vegetation inspections on lines 200kV and above are not completed per our TVMP.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)



(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

- D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]





## Section E: Interim and Future Reliability Risk

**Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

We also modified our procedure for scheduling vegetation inspections on our 230kV lines to minimize the probability that the vegetation inspections on lines 200kV and above are not completed per our TVMP. The new procedure will give vegetation inspections of the 230kV lines higher priority and more visibility to the management that is responsible for completing and documenting the vegetation inspections.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability



Western Electricity Coordinating Council



standards. If so, identify and describe any such action, including milestones and completion dates:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am System Operations Superintendent of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: \_\_\_\_\_

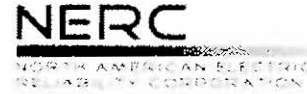
(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): MICHAEL MCAVOY

Title: System Operations Superintendent

Date: 06/13/2008





### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>



## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.





- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



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### Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz) along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: Transmission Vegetation Management Program

Standard Number: FAC-003-1

Requirement Number(s): R2

Actual completion date of Mitigation Plan: 06/12/2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

The document '2008 LP 230CW-1 TO 230FR-4 & 230FR-5 WO#1721863.pdf' shows that we patrolled the line on 06/05/2008 and found no problems. The document 'Line Patrol email.txt' is a copy of an email describing how we changed the process for scheduling vegetation inspections for 230kV lines.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: Mike McG FOR Tom BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Chief Energy Services Officer

Date: 6/13/08

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**Bob Kiser**  
Manager of Audits and Investigations

360.980.2799  
bkiser@wecc.biz

October 7, 2008

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

Subject: Mitigation Plan Completion Review(s)

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by October 21, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or [mike@wecc.biz](mailto:mike@wecc.biz). Thanks for your assistance in this effort.

**CONFIDENTIAL**

Sincerely,

*Bob Kiser*

Bob Kiser  
Manager of Audits and  
Investigations

BK:gc

Attachment

Cc: Paul Morland, CSU Principal Engineer  
Lisa Milanes, WECC Manager of Compliance Administration  
Ed Ruck, NERC Regional Compliance Program Coordinator



For Public Release - September 29, 2010

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**Registered Entity: Colorado Springs Utilities**

**Date: October 7, 2008**

	Standard Number	Requirement	Completion Received by WECC	Sufficient Evidence	Review Status
1	FAC-003-1	2	13-Jun-08	Yes	Compliant
2	PRC-005-1	2	02-Jul-08	Yes	Compliant

## **Attachment d**

### **Record documents for the violation of FAC-010-1 R2**

- 1. CSU's Self Report dated June 30, 2008**
- 2. CSU's Mitigation Plan dated June 30, 2008**
- 3. CSU's Certification of Completion dated  
December 15, 2008**
- 4. WECC's Verification of Completion dated  
January 22, 2009**



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## **Compliance Violation Self-Reporting Form**

Please complete an individual Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz)

Registered Entity Name: Colorado Springs Utilities

Contact Name: Mike McAvoy

Contact Phone: 719-668-4028

Contact email: [mmcavoy@csu.org](mailto:mmcavoy@csu.org)

Date noncompliance was discovered: June 30, 2008

Date noncompliance was reported: June 30, 2008

Standard Title: System Operating Limits Methodology for the Planning Horizon

Standard Number: FAC-010-1

Requirement Number(s)<sup>1</sup>: **R2**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-Evaluation

**\*Submit a Mitigation Plan in conjunction with this form to show that corrective steps are being taken within ten (10) business days. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

Colorado Springs Utilities will not be compliant with TPL-003 until December 15, 2008. We can not be compliant with R2.4. and R2.5 of FAC-010 until we are compliant with TPL-003. We currently have a Mitigation Plan on File for TPL-003 with WECC with a completion date of December 15, 2008.

Describe the reliability impact of this non-compliance:

---

<sup>1</sup> Violations are on a per requirement basis.

Minimal.

Expected date of Mitigation Plan submittal: June 30, 2008





## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 06/30/2008

If this Mitigation Plan has already been completed:

- Check this box ☐ and
- Provide the Date of Completion of the Mitigation Plan: 12/15/08

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities  
Registered Entity Address: P.O. Box 1103, Colorado Springs, CO  
80947  
NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael Mcavoy  
Title: System Operations Superintendent  
Email: mmcavoy@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Western Electricity Coordinating Council

Phone: (719) 668-4028



### **Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: FAC-010-1  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R2	Lower	06/30/2008	self-report

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

Colorado Springs Utilities will not be compliant with TPL-003 until December 15, 2008. We can not be compliant with R2.4, and R2.5 of FAC-010 until we are compliant with TPL-003. We currently have a Mitigation Plan on File for TPL-003 with WECC with a completion date of December 15, 2008.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

C.4 ***[Optional]*** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section D: Details of Proposed Mitigation Plan**

### **Mitigation Plan Contents**

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

We will wait for the completion and compliance of TPL-003 so we can submit compliance for FAC-010.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### **Mitigation Plan Timeline and Milestones**

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected: Complete by 12/15/2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)
TPL-003 and TPL-004 Milestones 06/27/08 – Awaiting signed Non-Disclosure Agreement from ABB 06/27/08 – Finalize contract with ABB 07/01/08 – Receive detailed schedule with dates from ABB	12/15/08



Western Electricity Coordinating Council

NERC

NORTH AMERICAN ELECTRIC  
RELIABILITY CORPORATION

07/02/08 -- Identify key milestones for schedule 07/15/08 -- ABB to begin project study work 11/15/08 -- Complete study work and review report 12/15/08 -- Submit compliance to WECC	
Have a plan for N-2 to demonstrate transient, dynamic and voltage stability for N-2	11/15/08
Review and complete documentation for FAC-010-1 and submit WECC compliance	12/15/08

(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section E: Interim and Future Reliability Risk**

*Check this box ☐ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.*

### **Abatement of Interim BPS Reliability Risk**

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

We have studied a subset of the multiple contingencies that will be identified in TPL-003 and believe that we will not have any overloads on our system due to multiple contingencies for about 8 years. Currently our SOL's are equal to our facility ratings. We have operating procedures in place to reduced any overloaded facilities to under the facility rating within 30 minutes. [Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

We believe that this non-compliance will have minimal risk to reliability. When we complete these Mitigation plans by 12/15/2008, we will be fully compliant with FAC-010 and TPL-003. [Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or



*Western Electricity Coordinating Council*



similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am System Operations Superintendent of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: 

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): MICHAEL McAvoy

Title: System Operations Superintendent

Date: 06/30/2008





### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>



## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



Western Electricity Coordinating Council



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



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### **Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and submit to the WECC Compliance Web Portal File Upload along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: System Operating Limits Methodology for the Planning Horizon

Standard Number: FAC-010-1

Requirement Number(s): **R1, R2, R3, R4, R5**

Actual completion date of Mitigation Plan: 12/15/08

**Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.**

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Colorado Springs Utilities (CSU) has a documented SOL Methodology for use in developing SOLs within its Planning Authority Area. FAC-010-1 SOL-IROL Methodology.doc is the methodology that shows CSU's compliance for each of the following requirements:

- R1. Section 3.1, page 4
- R2. Section 3.2, page 4-5
- R3. Section 3.3, page 5-7
- R4. Section 3.4, page 7
- R5. Section 3.5, page 7

R4. In addition, CSU has issued its SOL Methodology to each of the adjacent Planning Authorities and their Transmission Planners (Xcel, TriState, WAPA and Black Hills) and to CSU's Reliability Coordinator (WECC) as shown in the following email:

- Email to R4 Recipients of SOL Methodology.pdf
- Email to Confirmation R4 Recipients of SOL Methodology.pdf

R5. To date, there have been no comments on or requests for CSU's SOL Methodology.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature:  FOR Tom BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Chief Energy Services Officer

Date: 12/15/2008

**CONFIDENTIAL**



**Bob Kiser**  
Manager of Compliance Audits and Investigations

360.567.4058  
[bkiser@wecc.biz](mailto:bkiser@wecc.biz)

January 22, 2009

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
NCR05106  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

Subject: Certification of Completion Response Letter

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) has received Colorado Springs Utilities CSU's Certification of Completion and supporting evidence on 12/15/2008 for CSU's alleged violation of Reliability Standard FAC-010-1 and Requirement(s) 1, 2, 3, 4, 5. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 1, 2, 3, 4, 5 of the Reliability Standard FAC-010-1 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Jay Loock at [jay@wecc.biz](mailto:jay@wecc.biz). Thanks for your assistance in this effort.

Sincerely,

*Bob Kiser*

Bob Kiser  
Manager of Audits and  
Investigations

BK:cm

cc: Paul Morland, CSU Principal Engineer  
Lisa Milanese, WECC Manager of Compliance Administration  
Jay Loock, WECC Senior Compliance Engineer

## **Attachment e**

### **Record documents for the violation of FAC-010-1 R1, R3 and R4**

- 1. CSU's Self Report dated December 15, 2008**
- 2. CSU's Mitigation Plan dated December 15, 2008**
- 3. CSU's Certification of Completion dated December 15, 2008**
- 4. WECC's Verification of Completion dated January 22, 2009**



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## **Compliance Violation Self-Reporting Form**

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and submit via the WECC Compliance Web Portal File Upload

Registered Entity Name: Colorado Springs Utilities

Contact Name: Mike McAvoy

Contact Phone: 719-668-4208

Contact email: mmcavoy@csu.org

Date noncompliance was discovered: December 5, 2008

Date noncompliance was reported: December 15, 2008

Standard Title: System Operating Limits Methodology for the Planning Horizon

Standard Number: FAC-010-1

Requirement Number(s)<sup>1</sup>: **R1, R3, R4 and R5**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Internal Audit: There was confusion on whether FAC-013-1 was needed since FAC-012-1 has not been FERC approved. A consultant review of compliance documents in November 2008 suggested that Colorado Springs Utilities (CSU) should try to comply with FAC-013-1 despite the confusion. CSU investigated and did an internal review to see what was needed for compliance.

**\*Submit a Mitigation Plan in conjunction with this form to show that corrective steps are being taken within ten (10) business days. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

The methodology developed for determining SOL's and IROL's was not sufficient to meet the standard.

Describe the reliability impact of this non-compliance:

---

<sup>1</sup> Violations are on a per requirement basis.

There is no change to our operating practice and no impact.

Expected date of Mitigation Plan submittal: December 15, 2008





## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: December 15, 2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: December 15, 2008

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities (CSU)  
Registered Entity Address: P.O. Box 1103, Colorado Springs, CO  
80947  
NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael Mcavoy  
Title: System Operations Superintendent  
Email: mmcavoy@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.

**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: FAC-010-1  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1		12/15/08	Self-report
		R3		12/15/08	Self-report
		R4		12/15/08	Self-report
		R5		12/15/08	Self-report

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

Based on a review of compliance forms by a consultant, Colorado Springs Utilities (CSU) did provide details on or communicate their SOL methodology for the planning horizon.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

## **Section D: Details of Proposed Mitigation Plan**

### **Mitigation Plan Contents**

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

CSU investigated and did an internal review to see what was needed for compliance. CSU worked with consultant to understand the needs and develop a methodology. After the methodology document was internally approved by the Electric Planning Supervisor, it was then sent out to all neighboring utilities and John Greenlaw of WECC.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### **Mitigation Plan Timeline and Milestones**

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)



**Western Electricity Coordinating Council**



(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

- D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section E: Interim and Future Reliability Risk**

**Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### **Abatement of Interim BPS Reliability Risk**

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Developing the SOL Methodology for the Planning Horizon has helped us become better prepared for the enforcement of FAC-014-2. With our process in place, we have communicated and will communicate any changes to our neighbors.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



*Western Electricity Coordinating Council*

**NERC**

NORTH AMERICAN ELECTRIC  
RELIABILITY CORPORATION

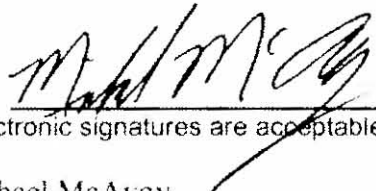
We are working on our compliance documentation for FAC-014-2.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am System Operations Superintendent of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: 

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Michael McAvoy  
Title: System Operations Superintendent  
Date: 12/15/2008





### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>



## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



*Western Electricity Coordinating Council*



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



**CONFIDENTIAL**

### **Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and submit to the WECC Compliance Web Portal File Upload along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: System Operating Limits Methodology for the Planning Horizon

Standard Number: FAC-010-1

Requirement Number(s): **R1, R2, R3, R4, R5**

Actual completion date of Mitigation Plan: 12/15/08

**Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.**

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Colorado Springs Utilities (CSU) has a documented SOL Methodology for use in developing SOLs within its Planning Authority Area. FAC-010-1 SOL-IROL Methodology.doc is the methodology that shows CSU's compliance for each of the following requirements:

- R1. Section 3.1, page 4
- R2. Section 3.2, page 4-5
- R3. Section 3.3, page 5-7
- R4. Section 3.4, page 7
- R5. Section 3.5, page 7

R4. In addition, CSU has issued its SOL Methodology to each of the adjacent Planning Authorities and their Transmission Planners (Xcel, TriState, WAPA and Black Hills) and to CSU's Reliability Coordinator (WECC) as shown in the following email:

- Email to R4 Recipients of SOL Methodology.pdf
- Email to Confirmation R4 Recipients of SOL Methodology.pdf

R5. To date, there have been no comments on or requests for CSU's SOL Methodology.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature:  FOR Tom BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Chief Energy Services Officer

Date: 12/15/2008

**CONFIDENTIAL**



**Bob Kiser**  
Manager of Compliance Audits and Investigations

360.567.4058  
[bkiser@wecc.biz](mailto:bkiser@wecc.biz)

January 22, 2009

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
NCR05106  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

Subject: Certification of Completion Response Letter

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) has received Colorado Springs Utilities CSU's Certification of Completion and supporting evidence on 12/15/2008 for CSU's alleged violation of Reliability Standard FAC-010-1 and Requirement(s) 1, 2, 3, 4, 5. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 1, 2, 3, 4, 5 of the Reliability Standard FAC-010-1 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Jay Loock at [jay@wecc.biz](mailto:jay@wecc.biz). Thanks for your assistance in this effort.

Sincerely,

*Bob Kiser*

Bob Kiser  
Manager of Audits and  
Investigations

BK:cm

cc: Paul Morland, CSU Principal Engineer  
Lisa Milanese, WECC Manager of Compliance Administration  
Jay Loock, WECC Senior Compliance Engineer

## **Attachment f**

### **Record documents for the violation of IRO-STD-006-0 WR1**

- 1. CSU's Self Certification dated January 7, 2009 and submitted January 8, 2009**
- 2. CSU's Mitigation Plan submitted October 14, 2009**
- 3. CSU's Certification of Completion dated December 23, 2009**
- 4. WECC's Verification of Completion dated January 11, 2010**



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IRO-STD-006-0 Self Certification - IRO-STD-006-0 - January 1, 2008 - December 31, 2008 2009

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Attachments (0)

**This form was marked as ready for authorized signatory approval on 1/7/2009.**

\* Required Fields

Status: Read Only

### Technical Contact

\* Michael McAvoy (mmcavoy@csu.org) |

WECC will disclose this information to NERC and other third parties, only as required, and in accordance with established procedures pursuant to section 1500 of the NERC rules of procedure.

### Applicable Function(s): TOP,LSE

As an authorized representative of **Colorado Springs Utilities** , I certify the following:

C NC N/A **WR1. Curtailment of Contributing Schedules**

Ja Ja Ja

WECC's Unscheduled Flow Mitigation Plan (Plan), which is on file with FERC and has been accepted by FERC (most recently prior to the date hereof on November 20, 2001 in Docket No. ER01-3085-000), 1/ specifies that members2/ shall comply with requests from (Qualified) Transfer Path Operators to take actions that will reduce unscheduled flow on the Qualified Path in accordance with the table entitled "WECC Unscheduled Flow Procedure Summary of Curtailment Actions," which is located in Attachment 1 of the Plan.

#### Plan Section 11:

11.1 When USF Accommodation, as specified in Section 7, together with coordinated operation of the Qualified Controllable Devices, as specified in Section 9, are insufficient to reduce the Actual Flow on the Qualified Transfer Path to below the Transfer Limit, the Transfer Path Operator shall request curtailments in Schedules that contribute to the USF through the Qualified Transfer Path according to the USF Reduction Procedure.

11.2 Responsible Entities shall comply in a timely manner with a Transfer Path

**Plan Attachment 1 Section 9:**

"h. Upon receipt of a curtailment request, Contributing Schedules which are subject to curtailments will be reduced (or equivalent alternative schedule adjustments will be effected) in accordance with the following procedures:

- i. Receivers of Contributing Schedules will initiate the requested schedule reductions unless an otherwise agreed upon procedure for schedule reduction achieving the equivalent effect on the Qualified Transfer Path is established by the Receiver and/or the Sender.
- ii. Responsible Entities may arrange among themselves to make curtailments called for by this USF Reduction Procedure in a manner other than prescribed provided that the arrangements are as effective as the identified schedule curtailment in reducing USF across the Qualified Transfer Path. Responsible Entities may make bilateral arrangements, which will enable a Responsible Entity with schedules on the affected Qualified Transfer Path to make the required curtailments in lieu of making larger curtailments in schedules over other parallel paths. Where alternative schedule adjustments are utilized, it is the Receiver's responsibility to cause schedule adjustments to be effected which provide the same reduction in flow across the Qualified Transfer Path as would have been achieved by the prescribed reduction in the Contributing Schedule.
- iii. The total amount of requested schedule reduction may be apportioned to the applicable schedules at the discretion of the Receiver subject to item iv below.
- iv. Irrespective of the schedules altered or the manner in which they are altered, each Responsible Entity's overall net reduction in Actual Flow across the constrained Qualified Transfer Path must be equivalent to or greater than the reduction which would have been achieved had the identified schedule reduction occurred as requested.
- v. System dispatchers or real-time schedulers should identify in advance those schedules that qualify for curtailment requests for all Qualified Transfer Paths. This will expedite implementation of this USF Reduction Procedure when requested.
- vi. While this USF Reduction Procedure does not expect receivers to curtail



schedules which would result in loss of firm load, nothing in this USF Reduction Procedure shall relieve the receiver of the obligation to achieve the required reduction in USF across the constrained Qualified Transfer Path.”

Contributing Schedule curtailments apply to schedules in place before initiation of the USF Procedure at Step 4 (First level Contributing Schedule Curtailment) or higher step.

At the time a Step 4 Level 1 USF Action or higher step is initiated, Schedules are established by the existence of an “Implemented” NERC Transaction Tag.

#### Restricted Transactions

After the USF Event is declared, a transaction with greater than a 5% Transfer

Distribution Factor (TDF) on the Qualified Path in the qualified direction will be

considered a “Restricted Transaction.” Changes to Restricted Transactions, other than the specific curtailments used to comply with relief obligations, cannot be made unless

some alternative action is taken to compensate for the full impact on the Qualified Path.

This applies to: New transaction, and Extensions or Adjustments to existing transaction.”

If two or more Qualified Paths become simultaneously constrained to the point where the curtailment of contributing schedules is necessary, schedule curtailments which relieve USF on one path but increase USF on any other curtailed path shall not be made, unless specific procedures or methods are provided to address this condition. The entity shall be compliant with this standard although the required curtailments were not made.

Violation was previously self-reported or identified by Colorado Springs Utilities

☒ Yes ☐ No

Violation Severity Level (Levels of Non-Compliance)

LNC - Level 1

Provide a detailed explanation of non-compliance

We failed to cut a schedule to provide 1.2MW of relief on Path 66 on 7/10/2008

Reliability Impact to the Bulk Power System

Minimal

Describe the Reliability Impact of this Non-Compliance

None

Summary of Self Certification Submittal [Auto Populated from responses]:

Colorado Springs Utilities is Non-Compliant with NERC Reliability Standard IRO-STD-006-0 Requirement(s): WR1

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## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 10/14/09

If this Mitigation Plan has already been completed:

- Check this box ☐ and
- Provide the Date of Completion of the Mitigation Plan: 12/31/09

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities  
Registered Entity Address: 215 Nichols Blvd. Colorado Springs, CO  
80907  
NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Lisa A. Cleary  
Title: Energy Operations Manager  
Email: lcleary@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at:  
<http://compliance.wecc.biz/Application/Documents/Home/20090101%20-%20CMEP.pdf>.  
Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: IRO-STD-006-0  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known ]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
WECC200901407	CSU_WECC20091576	WR1	Minimal	7/10/2008	Self-Certification

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use .

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

On July 10, 2008, an Unscheduled Flow (USF) Event was implemented for WECC Path 66. During the event, CSU created a Restricted Transaction on Path 66. The Standard defines a Restricted Transaction as any transaction that is implemented after a USF event is declared with a Transfer Distribution Factor of greater than five percent on the Qualified Path in the qualified direction. While CSU did not have any obligation to provide relief for this USF event, CSU did implement an interchange transaction in the amount of 20 MW that resulted in a contribution of 1.2 MW of USF.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*



C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

N/A

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section D: Details of Proposed Mitigation Plan**

### **Mitigation Plan Contents**

D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The following actions were/ are being taken to ensure on-going compliance with IRO-STD-006-0:

1. The incident was reviewed with the Transmission System Operator (TSO) that was on duty during the event.
2. The Transmission System Operator (TSO) Training and Certification Program was updated on 10/01/09 to specifically address a requirement for Continuing Operator Training of 1 hour per year per operator targeted toward information on WECC's Unscheduled Flow Mitigation Plan. (See Attachment A: Transmission System Operator (TSO) Training and Certification Program Section 6.2.3, page 5 of 9)
3. The 2009 annual requirement for this targeted training of each operator will be completed by 12/31/2009. (See Attachment B: CSU Training on WECC Unscheduled Flow Mitigation)

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### **Mitigation Plan Timeline and Milestones**



D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected: 12/31/2009

D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)
Review incident with on duty Transmission System Operator (TSO)	Completed
Update Transmission System Operator (TSO) Training and Certification Program	Completed 10/01/2009
Conduct annual Continuing Operator Training targeted toward information on WECC's Unscheduled Flow Mitigation Plan.	12/31/2009

(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

N/A

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## **Section E: Interim and Future Reliability Risk**

**Check this box ☐ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### **Abatement of Interim BPS Reliability Risk**

- E.1** While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

As indicated in WECC's Notice of Violation and Proposed Penalty or Sanction to Colorado Springs Utilities dated June 30, 2009, WECC determined (and Colorado Springs Utilities agrees) that "the magnitude of the impact in this instance (1.2MW) was a very small percentage of the transfer capability of the Qualified Path (4800 MW). The effect of this small percentage was not significant to the constrained path. For these reasons, WECC determined that this violation posed a minimal risk to the reliability of the BPS."

Because of the steps already taken and the minimal risk associated with the violation, there is no increased risk to the reliability of the bulk power system while the final step of the mitigation plan is being implemented. [Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2** Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

The contributing factor leading to the incident was determined to be lack of information targeted toward WECC's Unscheduled Flow Mitigation Plan for the on duty Transmission System Operator. The mitigation plan prevents the



circumstances from occurring again.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

N/A

[Provide your response here; additional detailed information may be provided as an attachment as necessary]





## **Section F: Authorization**

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am the Energy Operations Manager of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities' obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

**Authorized Signature:**

A handwritten signature in black ink, appearing to read 'Lisa A. Cleary', is written over a horizontal line.

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Lisa A. Cleary  
Title: Energy Operations Manager  
Date: 10/13/09



### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the WECC Compliance Website at:

<http://compliance.wecc.biz/Application/Documents/Forms/WECC%20Compliance%20Data%20Submittal%20Policy.pdf>

## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



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- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



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## **Certification of Mitigation Plan Completion Form**

Submittal of a Certification of Mitigation Plan Completion shall include data or information sufficient for Western Electricity Coordinating Council (WECC) to verify completion of the Mitigation Plan. WECC may request additional data or information and conduct follow-up assessments, on-site or other Spot Checking, or Compliance Audits as it deems necessary to verify that all required actions in the Mitigation Plan have been completed and the Registered Entity is in compliance with the subject Reliability Standard. (CMEP Section 6.6)

**Registered Entity:** Colorado Springs Utilities

**NERC Registry ID:** NCR05106

**Date of Submittal of Certification:** 10/14/09

**NERC Violation ID No(s) (if known):** WECC200901407

**Standard:** IRO-STD-006-0

**Requirement(s):** WR1

**Date Mitigation Plan was scheduled to be completed per accepted Mitigation Plan:** 12/31/09

**Date Mitigation Plan was actually completed:** 12/14/09

**Additional Comments (or List of Documents Attached):** When the mitigation plan was submitted, there was only one milestone activity (detailed in D.3) that had not been completed. That milestone activity was:

“Conduct annual Continuing Operator Training targeted toward information on WECC’s Unscheduled Flow Mitigation Plan.”

That training was completed with each operator as of 12/14/09. Attachment B is the attendance list with each operator’s signature and the date the training was completed as evidence that this milestone activity is complete. The milestone activity was due to be completed by 12/31/09.



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I certify that the Mitigation Plan for the above named violation has been completed on the date shown above and that all submitted information is complete and correct to the best of my knowledge.

**Name:** Lisa A. Cleary

**Title:** Energy Operations Manager

**Email:** lcleary@csu.org

**Phone:** (719) 668-4122

**Authorized Signature:** *Lisa A. Cleary*

**Date:** 12/23/2009

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*Western Electricity Coordinating Council*

Laura Scholl  
Managing Director of Compliance

801-819-7619  
[lscholl@wecc.biz](mailto:lscholl@wecc.biz)

VIA COMPLIANCE WEB PORTAL

January 11, 2010

Lisa Cleary  
Energy Operations Manager  
Colorado Springs Utilities  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

NERC Registration ID: NCR05106

NERC Violation ID: WECC200901407

Subject: Notice of Completed Mitigation Plan Acceptance

Dear Lisa,

The Western Electricity Coordinating Council (WECC) received the Certification of Completion and supporting evidence of Colorado Springs Utilities (CSU) on 12/23/2009 for the alleged violation of Reliability Standard IRO-STD-006-0 Requirement WR1.

WECC has accepted the Certification of Completion for Requirement WR1 of the Reliability Standard IRO-STD-006-0 and has found this requirement to be fully mitigated. No further mitigation of this requirement will be required at this time.

If you have any questions or concerns, please contact Phil O'Donnell at [podonnell@wecc.biz](mailto:podonnell@wecc.biz). Thank you for your assistance in this effort.

Sincerely,

Laura Scholl  
Managing Director of Compliance

LS:rh

cc: Alan Laborwit, CSU Cyber Security Administrator  
Lisa Milanese, WECC Manager of Compliance Program Administration  
Phil O'Donnell, WECC Senior Compliance Engineer

## **Attachment g**

### **Record documents for the violation of MOD-018-0 R1**

- 1. CSU's Self Report dated June 15, 2007**
- 2. CSU's Mitigation Plan dated September 24, 2008**
- 3. CSU's Certification of Completion dated September 24, 2008**
- 4. WECC's Verification of Completion dated January 22, 2009**





## **Compliance Violation Self-Reporting Form**

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz)

Registered Entity Name: Colorado Springs Utilities

Contact Name: Mike McAvoy

Contact Phone: 719.668.4028

Contact email: [mmcavoy@csu.org](mailto:mmcavoy@csu.org)

Date noncompliance was discovered: 05/31/2007

Date noncompliance was reported: 06/15/2007

Standard Title: Treatment of Nonmember Demand Data and How Undertainties are Addressed in the Forecasts of Demand and Net Energy for Load

Standard Number: MOD-018-0

Requirement Number(s)<sup>1</sup>: R1

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-evaluation

**\*Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

Describe the reliability impact of this non-compliance:

Expected date of Mitigation Plan submittal:

---

<sup>1</sup> Violations are reported at the level of requirements, sub requirements are not necessary.

## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 09/24/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 09/24/2008

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities  
Registered Entity Address: P.O. Box 1103, Colorado Springs, CO  
80947  
NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael McAvoy  
Title: System Operations Superintendent  
Email: mmcavoy@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Western Electricity Coordinating Council

Phone: (719) 668-4028

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**Section C: Identity of Alleged or Confirmed Reliability Standard**  
**Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: MOD-018-0  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1	Medium	09/15/08	Mitigation Plan Completion Review

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

We submitted documentation that describes our process for producing a report of actual and forecast demand data but we did not submit the report itself.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:





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[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section D: Details of Proposed Mitigation Plan

### Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

We are sending the following attached reports: 'Monthly Peaks and Load Factors.pdf', 'Monthly Loads.xls', and '2008 Forecast Annual Report.doc'

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)



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(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section E: Interim and Future Reliability Risk**

**Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### **Abatement of Interim BPS Reliability Risk**

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

We failed to send WECC reports of actual and forecast demand data to confirm our compliance with R1. We now believe we have the proper documentation, so the next time we have to provide evidence, we will know what to submit.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:





[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am System Operations Superintendent of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: 

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): MICHAEL McAVOY

Title: System Operations Superintendent

Date: 9/24/2008





### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



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- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.





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**Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz) along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: Documentation of Data Reporting Requirements for Actual and Forecast Demands, Net Energy for Load, and Controllable Demand-Side Management

Standard Number: MOD-018-0

Requirement Number(s): R1

Actual completion date of Mitigation Plan: 09/24/2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

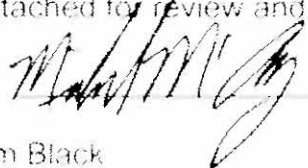
Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

See attached documents: 'Monthly Peaks and Load Factors.pdf', 'Monthly Loads.xls', and '2008 Forecast Annual Report.doc'

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature:

 FOR Tom BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Chief Energy Services Officer

Date: 09/24/2008

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**Bob Kiser**  
Manager of Compliance Audits and Investigations

360.567.4058  
[bkiser@wecc.biz](mailto:bkiser@wecc.biz)

January 22, 2009

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
NCR05106  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

Subject: Certification of Completion Response Letter

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) has received Colorado Springs Utilities CSU's Certification of Completion and supporting evidence on 9/24/2008 for CSU's alleged violation of Reliability Standard MOD-018-0 and Requirement(s) 1. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 1 of the Reliability Standard MOD-018-0 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Jay Look at [jay@wecc.biz](mailto:jay@wecc.biz). Thanks for your assistance in this effort.

Sincerely,

*Bob Kiser*

Bob Kiser  
Manager of Audits and  
Investigations

BK:cm

cc: Paul Morland, CSU Principal Engineer  
Lisa Milanese, WECC Manager of Compliance Administration  
Jay Look, WECC Senior Compliance Engineer

## **Attachment h**

### **Record documents for the violation of PRC-005-1 R2**

- 1. WECC's Spot Check Determination (not dated)**
- 2. CSU's Mitigation Plan dated July 2, 2008**
- 3. CSU's Certification of Completion dated July 2, 2008**
- 4. WECC's Verification of Completion dated October 7, 2008**



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## Regional Determination of Alleged Violation Summary

**Region:** WECC

**Registered Entity:** Colorado Springs Utilities

**NERC Registry ID:** NCR05106

**NERC Violation ID:** WECC200801034

**Date Alleged Violation reported to or discovered by WECC:** 02/05/2008

**Method of Discovery:** Spot Check

**Standard:** PRC-005-1

**Requirement:** 2

**Regional description of Alleged Violation:**

Five sets of Protective Relays were not tested in 2007 as defined in the maintenance and testing schedule.

**Repeat Alleged Violation:** ☐ Yes ☒ No

**If Yes, NERC Violation ID:**

**NAVAPS Issue Date:** 06/30/2009

**Violation Risk Factor:** LOWER

**Violation Severity Level (VSL):** LNC - Level 2

**Regional Determination of VSL:**

**Regional Determination of Impact to BPS:** Moderate Impact

**Regional Detailed Description of Impact to BPS:**

**Begin Date of Alleged Violation:** 06/09/2008

**Time of Alleged Violation:**

**End Date of Alleged Violation:**

**Mitigation Plan Submittal Date:** 07/02/2008

**Mitigation Plan Target Completion Date:** 07/02/2008

**Registered Entity Certification of Closure Date:** 07/02/2008

**Mitigation Plan Actual Completion Date:** 07/01/2008





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**Additional Comments:**

**WECC Contact:**

Name: Chris Luras  
Title: Manager of Enforcement  
Phone Number: 801-582-0353  
Email: cluras@wecc.biz



## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 07/02/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 07/02/2008

### **Section A: Compliance Notices & Mitigation Plan Requirements**

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### **Section B: Registered Entity Information**

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities

Registered Entity Address: P.O. Box 1103, Colorado Springs, CO  
80947

NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael McAvoy

Title: System Operations Superintendent

Email: mmcavoy@csu.org

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Western Electricity Coordinating Council

Phone: (719) 668-4028

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**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: PRC-005-1  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R2	Lower	06/09/08	Spot Check of Self Certification

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

We have five sets of protective devices that were scheduled to be tested in 2007 that did not get tested on schedule. The personnel that decided to defer the testing incorrectly believed that the testing could be rescheduled and we would still be compliant with PRC-005. The following devices were not tested for the following reasons:

Substation	Device set	Reason
Cottonwood	230CW3 / 115CW2	Deferred to 2008 for Transformer Outage
Fontanero	115FT5	Bus Tie not finished in 2007
Fountain	FN115 N. Bus	Bus Tie not finished in 2007



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Kelker 115KE11 Deferred to 2008 for Carrier Replacement  
Kelker 115KE8 Deferred to 2008 for Line Panel Constr.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section D: Details of Proposed Mitigation Plan**

### **Mitigation Plan Contents**

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

We tested the five devices that were supposed to be tested in 2008 on the following dates:

Substation	Device	Date
Cottonwood	230CW3 / 115CW2	06/24/2008
Fontanero	115FT5	06/23/2008
Fountain	FN115 N.	06/10/2008
Kelker	115KE11	03/18/2008
Kelker	115KE8	05/23/2008

See attachment 1 for documentation.

We have also changed our process for scheduling relay maintenance and testing. Previously, we manually scheduled relay maintenance and testing using a spreadsheet that showed the required testing interval and the last test date for each device. We have now entered Preventative Maintenance requests into our work management system. These Preventative Maintenance requests will cause the work management system to automatically generate work orders to schedule relay testing and maintenance per the required testing interval of the device.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Western Electricity Coordinating Council



**Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### **Mitigation Plan Timeline and Milestones**

D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:

D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)

(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Additional Relevant Information (Optional)**

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section E: Interim and Future Reliability Risk**

**Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### **Abatement of Interim BPS Reliability Risk**

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

By entering Preventative Maintenance requests into the work management system, work orders will be automatically generated scheduling the required work for the year. The Preventative Maintenance requests also automatically generate work orders for future testing on our testing intervals which are: three years for electro-mechanical relays and six years for self-testing, micro-processor based relays.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability



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standards. If so, identify and describe any such action, including milestones and completion dates:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am System Operations Superintendent of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: \_\_\_\_\_

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): MICHAEL McAVOY  
Title: System Operations Superintendent

Date: 7/2/2008





### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



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- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.

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### Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz) along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: Transmission and Generation Protection System Maintenance and Testing

Standard Number: PRC-005-1

Requirement Number(s): R2

Actual completion date of Mitigation Plan: 07/01/2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

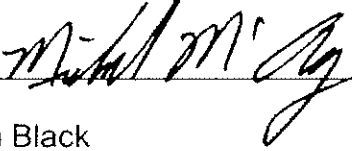
The document 'Mitigation Plan CSU PRC-005-1 Attachement (1).pdf' shows that we tested the following sets of devices at the dates shown:

Substation	Device	Date
Cottonwood	230CW3 / 115CW2	06/24/2008
Fontanero	115FT5	06/23/2008
Fountain	FN115 N.	06/10/2008
Kelker	115KE11	03/18/2008
Kelker	115KE8	05/23/2008

Additional Notes or Comments pertaining to this violation:

We have also changed our process for scheduling relay maintenance and testing. Previously, we manually scheduled relay maintenance and testing using a spreadsheet that showed the required testing interval and the last test date for each device. We have now entered Preventative Maintenance requests into our work management system. These Preventative Maintenance requests will cause the work management system to automatically generate work orders to schedule relay testing and maintenance per the required testing interval of the device.

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature:  FOR Tom BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Chief Energy Services Officer

Date: 7/02/2008

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**Bob Kiser**  
Manager of Audits and Investigations

360.980.2799  
bkiser@wecc.biz

October 7, 2008

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

Subject: Mitigation Plan Completion Review(s)

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by October 21, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or [mike@wecc.biz](mailto:mike@wecc.biz). Thanks for your assistance in this effort.

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Sincerely,

*Bob Kiser*

Bob Kiser  
Manager of Audits and  
Investigations

BK:gc

Attachment

Cc: Paul Morland, CSU Principal Engineer  
Lisa Milanes, WECC Manager of Compliance Administration  
Ed Ruck, NERC Regional Compliance Program Coordinator

**Registered Entity: Colorado Springs Utilities**

**Date: October 7, 2008**

	Standard Number	Requirement	Completion Received by WECC	Sufficient Evidence	Review Status
1	FAC-003-1	2	13-Jun-08	Yes	Compliant
2	PRC-005-1	2	02-Jul-08	Yes	Compliant



## **Attachment i**

### **Record documents for the violation of TPL-003-0 R1**

- 1. CSU's Self Report dated June 15, 2007**
- 2. CSU's Mitigation Plan dated March 6, 2009**
- 3. CSU's Certification of Completion dated  
March 6, 2009**
- 4. WECC's Verification of Completion dated  
April 8, 2009**



## **Compliance Violation Self-Reporting Form**

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz)

Registered Entity Name: Colorado Springs Utilities

Contact Name: Mike McAvoy

Contact Phone: 719-668-4028

Contact email: [mmcavoy@csu.org](mailto:mmcavoy@csu.org)

Date noncompliance was discovered: 05/31/07

Date noncompliance was reported: 06/15/07

Standard Title: System Performance Following Loss of Two or More Bulk Electric System Elements (Category C)

Standard Number: TPL-003-0

Requirement Number(s)<sup>1</sup>: **R1, R2, R3**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-evaluation

**\*Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

Describe the reliability impact of this non-compliance:

Expected date of Mitigation Plan submittal:

---

<sup>1</sup> Violations are reported at the level of requirements, sub requirements are not necessary.



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Mitigation Plan Milestone Update Form

All Mitigation Plans that extend beyond three (3) months are required to have implementation milestones. All Mitigation Plans that have approved milestones require a status update every three (3) months. Please use this Milestone Update form and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz).

Registered Entity Name: Colorado Springs Utilities

Contact Name: Mike McAvoy

Contact Phone: 719-668-4028

Contact Email Address: [mmcavoy@csu.org](mailto:mmcavoy@csu.org)

Date Milestone Update Submitted: **June 14, 2008**

Standard Title: System Performance Following Loss of Two or More Bulk Electric System Elements (Category C)

Standard Number: TPL-003-0

Requirement Number(s)<sup>1</sup>: **R1, R2, R3**

Please provide details of the milestone activity and the progress that has been made.

---

<sup>1</sup> Violations are reported at the level of requirements, sub requirements are not necessary.  
WECC Compliance Monitoring and Enforcement Program  
Mitigation Plan Update Form

Milestone Activity	Milestone Progress Notes	Milestone Completion Date*
Base-lined Transmission System Facility Ratings and Rating Methodologies	Completed	08/17/07
Model approved by Management and Stakeholders	Completed	08/17/07
Attended Colorado Coordinated Planning Group meeting to discuss N-2 and above modeling	Completed	08/22/07
Delivered base case to WAPA	Completed	09/06/07
See TPL-001 for indirect progress with N-0 and N-1 Studies	Completed	09/10/07 – 12/07/07
Attended CCPG meeting to discuss scope	Completed	12/11/07
Decided that we needed to contract this project out	Completed	01/04/08
Completed draft Scope of Services	Completed	03/07/08
Completed RFP with Purchasing	Posted RFP to the Rocky Mountain E-Purchasing Website and notified list of known companies doing work in this area of expertise	03/21/08
Received bids from RFP	Bids distributed to evaluation team	05/09/08
Review proposals	Team reviewed all proposals and submitted scores to Procurement Specialist	05/16/08
Requested project schedule from ABB	Selection of ABB as preferred contractor	05/16/08
Negotiate contract for outside services	Negotiations with ABB prior to awarding contract for outside services	05/29/08 - present
Provide Non-Disclosure Agreement to ABB	Awaiting acceptance of Non-Disclosure Agreement from ABB	06/06/08

(\*Note: Implementation milestones no more than three (3) months apart are permissible only for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Scheduling of the work with ABB is expected to happen by 07/01/08.

Our future milestones to become compliant are:

06/14/08 – File mitigation plan extension request

06/27/08 – Awaiting signed Non-Disclosure Agreement from ABB

06/27/08 – Finalize contract with ABB

07/01/08 – Receive detailed schedule with dates from ABB

07/02/08 – Identify key milestones for schedule

07/15/08 – ABB to begin project study work

11/15/08 – Complete study work and review report

12/15/08 – Submit compliance to WECC



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## **Mitigation Plan Extension Request Form**

### **Section A: Registered Entity Information**

Company Name: Colorado Springs Utilities

Standard: TPL-003-0

*[Identify by Standard Acronym (e.g. FAC-001-1)]*

Requirement Number(s): R1, R2, R3

*[Identify by Sub-Requirements (e.g. R1.1, R1.2)]*

Date original Mitigation Plan was accepted: 09-15-07

Date original Mitigation Plan was scheduled to be complete: 09-15-08

Date this request is being submitted: 06-14-08

### **Section B: Extension Request Requirements**

**Check this box ☒ to indicate that you understand that this Extension Request is incomplete and cannot be reviewed for approval unless a Revised Mitigation Plan is attached.**

Identify the reason an extension is being requested:

RFP process took longer than expected. All perspective bidders submitted schedules that would require extension of the compliance deadline. A final contract and project schedule are expected to be completed by 07/01/08.

*[Provide your response here; additional detailed information may be provided as an attachment as necessary]*

Provide detailed information as to why the original completion date will not be met:

The work schedules received from all proposals were a minimum of four months to complete. All perspective bidders submitted schedules that began immediately after the submittal of the proposal. It has taken longer than expected to complete the RFP process and negotiate the contract. The project schedule cannot be accurately determined until this is completed. A contractor has been selected (ABB), and



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negotiations are in progress to finalize the contract. The expected start date is 7/1/2008 with four months required to perform the necessary studies for compliance. To produce an approved quality product, it is necessary to extend the mitigation plan three months to 12/15/2008. [Provide your response here; additional detailed information may be provided as an attachment as necessary]



### Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to [Compliance@WECC.biz](mailto:Compliance@WECC.biz)

New ☐ Self-Report ☐ Revised ☒ Completed<sup>1</sup> ☐

Registered Entity Name: Colorado Springs Utilities

Date noncompliance was discovered or reported: 06/15/07

Date Mitigation Plan submitted: 06/14/08

Standard Title: System Performance Following Loss of Two or More Bulk Electric System Elements (Category C)

Standard Number: TPL-003-0

Requirement Number(s)<sup>2</sup>: **R1, R2, R3**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☐ Level 3 ☒ Level 4  
☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-evaluation

Provide an explanation of the noncompliance:

In the past, our transmission studies for extreme contingencies (more than N-1) have been done by the Colorado Coordinated Planning Group. We have participated in the 2007 NERC/WECC Compliance Report and Reactive Margin Analysis, however, it has yet to be finalized. We believe that we need to submit our updated base case to the CCPG to incorporate these updates. The following are details on how we believe that we fall non-compliant with all of the TPL-003-0 requirements:

R1 - In the past, we have not updated the study or assessment annually (R1.1 and R1.3.3.) Past documentation has not shown that all projected firm transfers have been modeled (R1.3.5.). It has not yet been determined if CCPG provided appropriate range of forecast system demands (R1.3.6.). Additionally, the input data for the model is not consistent throughout the organization which is being incorporated into the scope of the project (MOD-010-0 and MOD-012-0).

---

<sup>1</sup> Submit documentation verifying the completion of the mitigation plan.

<sup>2</sup> Violations are reported at the level of requirements, sub requirements are not necessary.



R2 - We currently have the means to document and review plans to correct system short comings. However, we do not have this process formally documented.

R3 - In the past, we have not always sent an assessment or corrective plans to WECC.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

Minimal - We are active members of the Colorado Coordinated Planning Group and the Colorado Long Range Transmission Planning Group. As illustrated in the CLRTPG Study of 2005-2015, Colorado Springs Utilities has a minimal impact on the interconnection.

Describe any mitigating factors for this non-compliance (include supporting documentation).

Describe your detailed plan to become compliant.

In order to become compliant for TPL-003-0, we have revised the following plan:

- 1 - Complete our Transmission System Data Verification Project to provide a more accurate base case to CCPG; COMPLETED
- 2 - Continue to move forward with our revised CSU Long Range Transmission Study / Assessment Project; COMPLETED
- 3 - Discuss, decide on and document CCPG processes to ensure all entities will commit to an annual transmission assessment and study incorporating Category C contingencies to comply with R1; COULD NOT GET ALL REQUIREMENTS SATISFIED, THUS SEE ITEM #6
- 4 - Provide our updated data to CCPG to produce an updated study / assessment, as well as ensure that the study is completed within a year of the last annual study; and
- 5 - Document our internal processes to ensure that we coordinate and cooperate with CCPG to produce an annual transmission assessment and study compliant with these requirements, as well as to ensure we have the corrective plan documenting procedures and the communication to our RRO each year in place to comply with R1, R2 and R3.
- 6 - Or, if it is determined under items #3, #4, & #5 above that the CCPG study is not going to satisfy all of the TPL-003-0 and TPL-004-0 requirements, then we will seek out consultants to help us produce a transmission study/assessment. IT WAS DETERMINED THAT WE NEED TO CONTRACT THIS STUDY OUT TO A THIRD PARTY.

#### NEW ITEMS:

Scheduling of the work with ABB is expected to happen by 07/01/08.

Our future milestones to become compliant are:

- 06/14/08 – File mitigation plan extension request
- 06/27/08 – Awaiting signed Non-Disclosure Agreement from ABB
- 06/27/08 – Finalize contract with ABB
- 07/01/08 – Receive detailed schedule with dates from ABB
- 07/02/08 – Identify key milestones for schedule
- 07/15/08 – ABB to begin project study work
- 11/15/08 – Complete study work and review report
- 12/15/08 – Submit compliance to WECC

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

We plan to be compliant by 12/15/08 with updates to WECC every three months.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Mike McAvoy  
Title: Systems Operations Superintendent  
Phone: 719-668-4028  
Email: mmcavoy@csu.org

---

**For WECC Use Only:**

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



## Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: March 6, 2009

If this Mitigation Plan has already been completed:

- Check this box ☒
- Provide the Date of Completion of the Mitigation Plan: March 6, 2009
- Evidence supporting full compliance must be submitted along with this Mitigation Plan Submittal Form

### Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Attachment A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Attachment A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

### Section B: Registered Entity Information

- B.1 Identify your organization:

Registered Entity Name: Colorado Springs Utilities  
Registered Entity Address: 215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325  
NERC Compliance Registry ID: NCR05106

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.<sup>1</sup>

Name: Michael Mcavoy

<sup>1</sup> A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Western Electricity Coordinating Council

Title: Superintendent, System Operations  
Email: mmcavoy@csu.org  
Phone: (719) 668-4028



**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: TPL-003-0  
*[Identify by Standard Acronym (e.g. FAC-001-1)]*

C.2 Requirement(s) violated and violation dates:  
*[Enter information in the following Table]*

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date <sup>(*)</sup> (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1.3.6			WECC review of Certification of Compliance

(\*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

From the WECC Certification of Completion Response Letter: "R1.3.6 states that the assessment be supported by system simulations that model "selected demand levels over the range of forecast system demands". To be compliant CSU needed to study an additional load level."





Western Electricity Coordinating Council



[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**C.4 [Optional] Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:**

Upon review of the Certification of Completion of the original Mitigation Plan filed December 15, 2008, WECC found that Colorado Springs Utilities "needed to study an additional load level" other than heavy summer. The Standard requires that studies "be performed for selected demand levels over the range of forecast system demands." Colorado Springs Utilities discussed this with WECC staff and described that studies had been done on the entire range (high, expected, low, and sensitivities) of forecasted load levels. WECC verbally notified Colorado Springs Utilities that an off peak/off season model would need to be included in studies, and Colorado Springs Utilities immediately initiated work with an outside contractor to incorporate the additional season into the studies. In addition, Colorado Springs Utilities has revised its procedures to incorporate off peak/off season models in future studies.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

## **Section D: Details of Proposed Mitigation Plan**

### **Mitigation Plan Contents**

- D.1** Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

To study and additional demand level as required, Colorado Springs Utilities selected a 2011 light spring base case and repeated the system simulations previously conducted using heavy summer base cases.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

**Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.**

### **Mitigation Plan Timeline and Milestones**



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D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:

D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)

(\*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

#### **Additional Relevant Information (Optional)**

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



## **Section E: Interim and Future Reliability Risk**

**Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.**

### **Abatement of Interim BPS Reliability Risk**

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Prevention of Future BPS Reliability Risk**

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Successful completion of this mitigation plan demonstrates that the Colorado Springs Utilities transmission system performs within the requirements of the Reliability Standards for "selected demand levels over the range of forecast system demands". Colorado Springs Utilities has revised its planning processes to include an additional off peak/off season model in the studies.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability



standards. If so, identify and describe any such action, including milestones and completion dates:

Colorado Springs Utilities believes that no further actions are required.

Colorado Springs Utilities believes it is in full compliance, and has updated processes to ensure future compliance.  
[Provide your response here; additional detailed information may be provided as an attachment as necessary]





## Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
  1. I am Superintendent, System Operations of Colorado Springs Utilities.
  2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Colorado Springs Utilities.
  3. I understand Colorado Springs Utilities obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
  4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
  5. Colorado Springs Utilities agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: 

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Michael McAvoy

Title: Superintendent, System Operations

Date: March 6, 2009



### **Section G: Comments and Additional Information**

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

### **Section H: WECC Contact and Instructions for Submission**

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: [mike@wecc.biz](mailto:mike@wecc.biz)

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

## **Attachment A – Compliance Notices & Mitigation Plan Requirements**

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
  - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
  - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
  - (3) The cause of the Alleged or Confirmed Violation(s).
  - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
  - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
  - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
  - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
  - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
  - (9) Any other information deemed necessary or appropriate.
  - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.





*Western Electricity Coordinating Council*



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



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### **Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and submit to the WECC Compliance Web Portal File Upload along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Colorado Springs Utilities

Standard Title: System Performance Following Loss of Two or More BES Elements

Standard Number: TPL-003-0

Requirement Number(s): **R1.3.6**

Actual completion date of Mitigation Plan: March 6, 2009

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Compliance with NERC TPL - 003 and TPL - 004 Standards Project, Final Report  
March 2, 2009

Section 2.6 (page 11 pdf file)

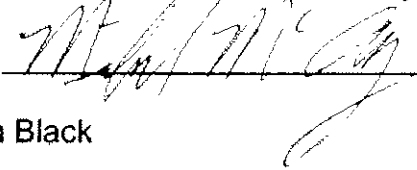
Section 10, Sub-Sections 10.1, 10.2, 10.3, and 10.4: Pages 56-58 of the report (pages 127-129 pdf file)

Appendices N-R (pages 1322 - 1692 pdf file)

- Appendix N – Nixon and Nixon South Stations – Compare against 2013 Appendix D counterpart.
- Appendix O – Drake Power Plant – Compare against Appendix E.
- Appendix P – Tesla Power Plant – Compare against Appendix F.
- Appendix Q – Birdsall Power Plant – Compare against Appendix G.
- Appendix R – Category D11-Loss of Load – Compare against Appendix H.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that Colorado Springs Utilities is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature:  FOR TOM BLACK

Authorized Officer's Name: Tom Black

Authorized Officer's Title: Energy Services Division Officer

Date: March 6, 2009

**CONFIDENTIAL**



**Laura Scholl**  
Managing Director of Compliance

801.819.7619  
[lscholl@wecc.biz](mailto:lscholl@wecc.biz)

April 8, 2009

Mike McAvoy  
Superintendent, System Operations  
Colorado Springs Utilities  
215 Nichols Blvd, PO Box 1103, MC 1325  
Colorado Springs, Colorado 80947-1325

NERC Registration ID: NCR05106

Subject: Certification of Completion Response Letter

Dear Mike McAvoy,

The Western Electricity Coordinating Council (WECC) has received the Certification of Completion and supporting evidence on 3/6/2009 for Colorado Springs Utilities CSU's alleged violation of Reliability Standard TPL-003-0 and Requirement(s) 1. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 1 of the Reliability Standard TPL-003-0 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Jay Look at [jay@wecc.biz](mailto:jay@wecc.biz). Thank you for your assistance in this effort.

Sincerely,

*Laura Scholl*

Laura Scholl  
Managing Director of Compliance

LS:cm

cc: Paul Morland, CSU Principal Engineer  
Lisa Milanese, WECC Manager of Compliance Program Administration  
Jay Look, WECC Senior Compliance Engineer

**Attachment j**

**Notice of Filing**



UNITED STATES OF AMERICA  
FEDERAL ENERGY REGULATORY COMMISSION

Colorado Springs Utilities

Docket No. NP10-\_\_\_\_-000

NOTICE OF FILING  
September 52, 2010

Take notice that on September 52, 2010, the North American Electric Reliability Corporation (NERC) filed a Notice of Penalty regarding Colorado Springs Utilities in the Western Electricity Coordinating Council region.

Any person desiring to intervene or to protest this filing must file in accordance with Rules 211 and 214 of the Commission's Rules of Practice and Procedure (18 CFR 385.211, 385.214). Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a notice of intervention or motion to intervene, as appropriate. Such notices, motions, or protests must be filed on or before the comment date. On or before the comment date, it is not necessary to serve motions to intervene or protests on persons other than the Applicant.

The Commission encourages electronic submission of protests and interventions in lieu of paper using the "eFiling" link at <http://www.ferc.gov>. Persons unable to file electronically should submit an original and 14 copies of the protest or intervention to the Federal Energy Regulatory Commission, 888 First Street, N.E., Washington, D.C. 20426.

This filing is accessible on-line at <http://www.ferc.gov>, using the "eLibrary" link and is available for review in the Commission's Public Reference Room in Washington, D.C. There is an "eSubscription" link on the web site that enables subscribers to receive email notification when a document is added to a subscribed docket(s). For assistance with any FERC Online service, please email [FERCOnlineSupport@ferc.gov](mailto:FERCOnlineSupport@ferc.gov), or call (866) 208-3676 (toll free). For TTY, call (202) 502-8659.

Comment Date: [BLANK]

Kimberly D. Bose,  
Secretary