

## **Standard Development Roadmap**

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

### **Development Steps Completed:**

1. SAC approves SAR for posting (March 10, 2002).
2. Drafting team posts draft SAR for comment (April 2–May 3, 2002) (August 20–September 29, 2002).
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### **Description of Current Draft:**

This is the final draft of the proposed standard, posted for pre-ballot review.

### **Future Development Plan:**

#### **Anticipated Actions**

#### **Anticipated Date**

- |   |                       |
|---|-----------------------|
| 1. Post for 30-day pre-ballot period.         | June 16–July 15, 2008 |
| 2. Conduct initial ballot of standards.       | July 16–July 25, 2008 |
| 3. Conduct recirculation ballot of standards. | August 6–15, 2008     |
| 4. Submit to BOT for adoption.                | To be determined      |
| 5. File for regulatory approvals.             | To be determined      |

### **Definitions of Terms Used in Standard**

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

**Operational Planning Analysis:** An analysis of the expected system conditions for the next day's operation. (That analysis may be performed either a day ahead or as much as 12 months ahead.) Expected system conditions include things such as load forecast(s), generation output levels, and known system constraints (transmission facility outages, generator outages, equipment limitations, etc.).

**Real-time Assessment:** An examination of existing and expected system conditions, conducted by collecting and reviewing immediately available data.

**A. Introduction**

1. **Title:** Reliability Coordinator Operational Analyses and Real-time Assessments
2. **Number:** IRO-008-1
3. **Purpose:** To prevent instability, uncontrolled separation, or cascading outages that adversely impact the reliability of the interconnection by ensuring that the Bulk Electric System is assessed during the operations horizon.
4. **Applicability**
  - 4.1. Reliability Coordinator.
5. **Proposed Effective Date:**

In those jurisdictions where no regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after BOT adoption.

In those jurisdictions where regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after applicable regulatory approval.

**B. Requirements**

- R1.** Each Reliability Coordinator shall perform an Operational Planning Analysis to assess whether the planned operations for the next day within its Wide Area, will exceed any of its Interconnection Reliability Operating Limits (IROLs) during anticipated normal and Contingency event conditions. (*Violation Risk Factor: Medium*) (*Time Horizon: Operations Planning*)
- R2.** Each Reliability Coordinator shall perform a Real-Time Assessment at least once every 30 minutes to determine if its Wide Area is exceeding any IROLs or is expected to exceed any IROLs. (*Violation Risk Factor: High*) (*Time Horizon: Real-time Operations*)
- R3.** When a Reliability Coordinator determines that the results of an Operational Planning Analysis or Real-Time Assessment indicates the need for specific operational actions to prevent or mitigate an instance of exceeding an IROL, the Reliability Coordinator shall share its results with those entities that are expected to take those actions. (*Violation Risk Factor: Medium*) (*Time Horizon: Real-time Operations or Same Day Operations*)

**C. Measures**

- M1.** The Reliability Coordinator shall have, and make available upon request, the results of its Operational Planning Analyses.
- M2.** The Reliability Coordinator shall have, and make available upon request, evidence to show it conducted a Real-Time Assessment at least once every 30 minutes. This evidence could include, but is not limited to, dated computer log showing times the assessment was conducted, dated checklists, or other evidence.

- M3.** The Reliability Coordinator shall have and make available upon request, evidence to confirm that it shared the results of its Operational Planning Analyses or Real-Time Assessments with those entities expected to take actions based on that information. This evidence could include, but is not limited to, dated operator logs, dated voice recordings, dated transcripts of voice records, dated facsimiles, or other evidence.

**D. Compliance**

**1. Compliance Monitoring Process**

**1.1. Compliance Enforcement Authority**

For Reliability Coordinators that work for the Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

For Reliability Coordinators that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.

**1.2. Compliance Monitoring Period and Reset Time Frame**

Not applicable.

**1.3. Compliance Monitoring and Enforcement Processes**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

**1.4. Data Retention**

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

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

The Reliability Coordinator shall retain evidence for Requirement R1, Measure M1 and Requirement R2, Measure M2 for a rolling 30 days. The Reliability Coordinator shall keep evidence for Requirement R3, Measure M3 for a rolling three months.

**1.5. Additional Compliance Information**

None.

2. Violation Severity Levels

Requirement	Lower	Moderate	High	Severe
<b>R1</b>	Performed an Operational Planning Analysis that covers all aspects of the requirement for all except one of 30 days. (R1)	Performed an Operational Planning Analysis that covers all aspects of the requirement for all except two of 30 days. (R1)	Performed an Operational Planning Analysis that covers all aspects of the requirement for all except three of 30 days. (R1)	Missed performing an Operational Planning Analysis that covers all aspects of the requirement for four or more of 30 days. (R1)
<b>R2</b>	For any sample 24 hour period within the 30 day retention period, a Real-time Assessment was not conducted for one 30-minute period. within that 24-hour period (R2)	For any sample 24 hour period within the 30 day retention period, Real-time Assessments were not conducted for two 30-minute periods within that 24-hour period (R2)	For any sample 24 hour period within the 30 day retention period, Real-time Assessments were not conducted for three 30-minute periods within that 24-hour period (R2)	For any sample 24 hour period within the 30 day retention period, Real-time Assessments were not conducted for more than three 30-minute periods within that 24-hour period (R2)
<b>R3</b>		Shared the results with some but not all of the entities that were required to take action (R3)		Did not share the results of its analyses or assessments with any of the entities that were required to take action (R3).

**E. Regional Variances**

None

**F. Associated Documents**

None

**Version History**

<b>Version</b>	<b>Date</b>	<b>Action</b>	<b>Change Tracking</b>

## Standard Development Roadmap

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#### Anticipated Actions

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3. Conduct recirculation ballot of standards.
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#### Anticipated Date

June 16–July 15, 2008  
July 16–July 25, 2008  
August 6-15, 2008  
To be determined  
To be determined

### **Definitions of Terms Used in Standard**

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None.



## A. Introduction

1. **Title:** Reliability Coordinator Actions to Operate Within IROLs
2. **Number:** IRO-009-1
3. **Purpose:** To prevent instability, uncontrolled separation, or cascading outages that adversely impact the reliability of the interconnection by ensuring prompt action to prevent or mitigate instances of exceeding Interconnection Reliability Operating Limits (IROLs).
4. **Applicability:**
  - 4.1. Reliability Coordinator.
5. **Proposed Effective Date:**

In those jurisdictions where no regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after BOT adoption.

In those jurisdictions where regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after applicable regulatory approval.

## B. Requirements

- R1. For each IROL (in its Reliability Coordinator Area) that the Reliability Coordinator identifies one or more days prior to the current day, the Reliability Coordinator shall have one or more Operating Processes, Procedures, or Plans that identify actions it shall take or actions it shall direct others to take (up to and including load shedding) that can be implemented in time to prevent exceeding those IROLs. (*Violation Risk Factor: Medium*) (*Time Horizon: Operations Planning or Same Day Operations*)
- R2. For each IROL (in its Reliability Coordinator Area) that the Reliability Coordinator identifies one or more days prior to the current day, the Reliability Coordinator shall have one or more Operating Processes, Procedures, or Plans that identify actions it shall take or actions it shall direct others to take (up to and including load shedding) to mitigate the magnitude and duration of exceeding that IROL such that the IROL is relieved within the IROL's  $T_v$ . (*Violation Risk Factor: Medium*) (*Time Horizon: Operations Planning or Same Day Operations*)
- R3. When an assessment of actual or expected system conditions predicts that an IROL in its Reliability Coordinator Area will be exceeded, the Reliability Coordinator shall implement one or more Operating Processes, Procedures or Plans (not limited to the Operating Processes, Procedures, or Plans developed for Requirements R1) to prevent exceeding that IROL. (*Violation Risk Factor: High*) (*Time Horizon: Real-time Operations*)
- R4. When actual system conditions show that there is an instance of exceeding an IROL in its Reliability Coordinator Area, the Reliability Coordinator shall, without delay, act or direct others to act to mitigate the magnitude and duration of the instance of exceeding that IROL within the IROL's  $T_v$ . (*Violation Risk Factor: High*) (*Time Horizon: Real-time Operations*)

- R5.** If unanimity cannot be reached on the value for an IROL or its  $T_v$ , each Reliability Coordinator that monitors that Facility (or group of Facilities) shall, without delay, use the most conservative of the values (the value with the least impact on reliability) under consideration. (*Violation Risk Factor: High*) (*Time Horizon: Real-time Operations*)

### **C. Measures**

- M1.** Each Reliability Coordinator shall have, and make available upon request, evidence to confirm that it has Operating Processes, Procedures, or Plans to address both preventing and mitigating instances of exceeding IROLs in accordance with Requirement R1 and Requirement R2. This evidence shall include a list of any IROLs (and each associated  $T_v$ ) identified in advance, along with one or more dated Operating Processes, Procedures, or Plans that that will be used.
- M2.** Each Reliability Coordinator shall have, and make available upon request, evidence to confirm that it acted or directed others to act in accordance with Requirement R3 and Requirement R4. This evidence could include, but is not limited to, Operating Processes, Procedures, or Plans from Requirement R1, dated operating logs, dated voice recordings, dated transcripts of voice recordings, or other evidence.
- M3.** For a situation where Reliability Coordinators disagree on the value of an IROL or its  $T_v$  the Reliability Coordinator shall have, and make available upon request, evidence to confirm that it used the most conservative of the values under consideration, without delay. Such evidence could include, but is not limited to, dated computer printouts, dated operator logs, dated voice recordings, dated transcripts of voice recordings, or other equivalent evidence. (R5)

### **D. Compliance**

#### **1. Compliance Monitoring Process**

##### **1.1. Compliance Enforcement Authority**

For Reliability Coordinators that work for the Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

For Reliability Coordinators that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.

##### **1.2. Compliance Monitoring Period and Reset Time Frame**

Not applicable.

##### **1.3. Compliance Monitoring and Enforcement Processes**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

Exception Reporting

#### 1.4. Data Retention

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

The Reliability Coordinator shall retain evidence of Requirement R1, Requirement R2, and Measure M1, for a rolling 12 months.

The Reliability Coordinator shall retain evidence of Requirement R3, Requirement R4, Requirement R5, Measure M2, and Measure M3 for a rolling 12 months.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records, and all IROL Violation Reports submitted since the last audit.

#### 1.5. Additional Compliance Information

**Exception Reporting:** For each instance of exceeding an IROL for time greater than IROL  $T_v$ , the Reliability Coordinator shall submit an IROL Violation Report to its Compliance Enforcement Authority within 30 days of the initiation of the event.

2. Violation Severity Levels

Requirement	Lower	Moderate	High	Severe
<b>R1</b>				An IROL in its Reliability Coordinator Area was identified one or more days in advance and the Reliability Coordinator does not have an Operating Process, Procedure, or Plan that identifies actions to prevent exceeding that IROL. (R1)
<b>R2</b>				An IROL in its Reliability Coordinator Area was identified one or more days in advance and the Reliability Coordinator does not have an Operating Process, Procedure, or Plan that identifies actions to mitigate exceeding that IROL within the IROL's T <sub>v</sub> . (R2)
<b>R3</b>				An assessment of actual or expected system conditions predicted that an IROL in the Reliability Coordinator's Area would be exceeded, but no Operating Processes, Procedures, or Plans were implemented. (R3)
<b>R4</b>			Actual system conditions	Actual system conditions

Standard IRO-009-1 — Reliability Coordinator Actions to Operate Within IROLs

Requirement	Lower	Moderate	High	Severe
			<p>showed that there was an instance of exceeding an IROL in its Reliability Coordinator Area, and there was a delay of five minutes or more before acting or directing others to act to mitigate the magnitude and duration of the instance of exceeding that IROL, however the IROL was mitigated within the IROL <math>T_v</math>. (R4)</p>	<p>showed that there was an instance of exceeding an IROL in its Reliability Coordinator Area, and that IROL was not resolved within the IROL's <math>T_v</math>. (R4)</p>
<p><b>R5</b></p>	<p>Not applicable.</p>	<p>Not applicable.</p>	<p>Not applicable.</p>	<p>There was a disagreement on the value of the IROL or its <math>T_v</math> and the most conservative limit under consideration was not used. (R5)</p>

**E. Regional Variances**

None

**F. Associated Documents**

IROL Violation Report

**Version History**

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None.



## A. Introduction

1. **Title:**           **Reliability Coordinator Data Specification and Collection**
2. **Number:**       IRO-010-1
3. **Purpose:**        To prevent instability, uncontrolled separation, or cascading outages that adversely impact the reliability of the interconnection by ensuring the Reliability Coordinator has the data it needs to monitor and assess the operation of its Reliability Coordinator Area.
4. **Applicability**
  - 4.1. Reliability Coordinator.
  - 4.2. Balancing Authority.
  - 4.3. Generator Owner.
  - 4.4. Generator Operator.
  - 4.5. Interchange Authority.
  - 4.6. Load-Serving Entity.
  - 4.7. Transmission Operator.
  - 4.8. Transmission Owner.
5. **Proposed Effective Date:**

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## B. Requirements

- R1. The Reliability Coordinator shall have a documented specification for data and information to build and maintain models to support Real-time monitoring, Operational Planning Analyses, and Real-time Assessments of its Reliability Coordinator Area to prevent instability, uncontrolled separation, and cascading outages. The specification shall include the following: (*Violation Risk Factor: Low*) (*Time Horizon: Operations Planning*)
  - R1.1. List of required data and information needed by the Reliability Coordinator to support Real-Time Monitoring, Operational Planning Analyses, and Real-Time Assessments.
  - R1.2. Mutually agreeable format.
  - R1.3. Timeframe and periodicity for providing data and information (based on its hardware and software requirements, and the time needed to do its Operational Planning Analyses).

- R1.4.** Process for data provision when automated Real-Time system operating data is unavailable.
- R2.** The Reliability Coordinator shall distribute its data specification to entities that have Facilities monitored by the Reliability Coordinator and to entities that provide Facility status to the Reliability Coordinator. (*Violation Risk Factor: Low*) (*Time Horizon: Operations Planning*)
- R3.** Each Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-serving Entity, Reliability Coordinator, Transmission Operator, and Transmission Owner shall provide data and information, as specified, to the Reliability Coordinator(s) with which it has a reliability relationship. (*Violation Risk Factor: Medium*) (*Time Horizon: Operations Planning; Same-day Operations; Real-time Operations*)

### **C. Measures**

- M1.** The Reliability Coordinator shall have, and make available upon request, a documented data specification that contains all elements identified in Requirement R1.
- M2.** The Reliability Coordinator shall have, and make available upon request, evidence that it distributed its data specification to entities that have Facilities monitored by the Reliability Coordinator and to entities that provide Facility status to the Reliability Coordinator. This evidence could include, but is not limited to, dated paper or electronic notice used to distribute its data specification showing recipient, and data or information requested or other equivalent evidence. (R2)
- M3.** The Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Reliability Coordinator, Transmission Operator and Transmission Owner shall each have, and make available upon request, evidence to confirm that it provided data and information, as specified in Requirement R3. This evidence could include, but is not limited to, dated operator logs, dated voice recordings, dated computer printouts, dated SCADA data, or other equivalent evidence.

### **D. Compliance**

#### **1. Compliance Monitoring Process**

##### **1.1. Compliance Enforcement Authority**

For Reliability Coordinators and other functional entities that work for the Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

For entities that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.

##### **1.2. Compliance Monitoring Period and Reset Time Frame**

Not applicable.

##### **1.3. Compliance Monitoring and Enforcement Processes**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

#### **1.4. Data Retention**

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

The Reliability Coordinator shall retain its current, in force data specification for Requirement R1, Measure M1.

The Reliability Coordinator shall keep evidence of its most recent distribution of its data specification and evidence to show the data supplied in response to that specification for Requirement R2, Measure M2 and Requirement R3 Measure M3.

For data that is requested in accordance with Requirement R2, the Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Reliability Coordinator, Transmission Operator and Transmission Owner shall keep evidence used to show compliance with Requirement R3 Measure M3 for the Reliability Coordinator's most recent data specification for a rolling 90 calendar days.

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

#### **1.5. Additional Compliance Information**

**1.5.1** None.

2. Violation Severity Levels

Requirement	Lower	Moderate	High	Severe
<b>R1</b>	Data specification is complete with the following exception: Missing the mutually agreeable format. (R1.2)	Data specification is complete with the following exception – no process for data provision when automated Real-Time system operating data is unavailable. (R1.4)	Data specification incomplete (missing either the list of required data (R1.1), or the timeframe for providing data. (R1.3)	No data specification (R1)
<b>R2</b>	Distributed its data specification to greater than or equal to 95% but less than 100% of the entities that have Facilities monitored by the Reliability Coordinator and the entities that provide the Reliability Coordinator with Facility status.	Distributed its data specification to greater than or equal to 85% but less than 95% of the entities that have Facilities monitored by the Reliability Coordinator and the entities that provide the Reliability Coordinator with Facility status. (R2)	Distributed its data specification to greater than or equal to 75% - but less than 85% of the entities that have Facilities monitored by the Reliability Coordinator and the entities that provide the Reliability Coordinator with Facility status. (R2)	Data specification distributed to less than 75% of the entities that have Facilities monitored by the Reliability Coordinator and the entities that provide the Reliability Coordinator with Facility status. (R2)
<b>R3</b>	Provided greater than or equal to 95% but less than 100% of the data and information as specified. (R3)	Provided greater than or equal to 85% but less than 95% of the data and information as specified. (R3)	Provided greater than or equal to 75% but less than 85% of the data and information as specified. (R3)	Provided less than 75% of the data and information as specified. (R3)

**E. Regional Variances**

None

**F. Associated Documents**

None

**Version History**

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