

Project 2014-03

Revisions to the TOP/IRO Reliability Standards

Second Posting Webinar September 9, 2014











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Participants are reminded that this meeting is public. Notice of the meeting was posted on the NERC website and widely distributed. The notice included the number for dial-in participation. Participants should keep in mind that the audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.



- Present the changes in the second posting and explain the SDT's reasons for the changes
- Or, explain why the SDT didn't make certain changes
- Continue outreach and education
 - If you have a group that you would like to make certain receives a presentation, let one of the SDT members know





SDT Roster



- Dave Souder, PJM, Chair
- Andy Pankratz, FPL, Vice Chair
- David Bueche, CenterPoint
- Jim Case, Entergy
- Allen Klassen, Westar
- Bruce Larsen, WE Energies
- Jason Marshall, ACES
- Bert Peters, Arizona Public Service
- Robert Rhodes, SPP
- Kyle Russell, IESO
- Eric Senkowicz, FRCC
- Kevin Sherd, MISO



Project History and Schedule

- April 16, 2013: Projects 2006-06 and 2007-03 submitted
- November 21, 2013: Both projects proposed for remand
- December 20, 2013: NERC asked FERC to postpone remand
- January 14, 2014: FERC agreed to postpone until January 31, 2015
- February 12, 2014: Project 2014-03 started
- May 19, 2014 July 2, 2014: First posting
- August 6, 2014 September 19, 2014: Second Posting
- October 2014: Final ballot
- November, 2014: Present to NERC Board of Trustees (Board) for approval
- File with FERC ASAP after Board approval



- Projects 2006-06 and 2007-03
 - Standard Authorization Requests (SARs)
 - Directives and Issues
- FERC Notice of Proposed Rulemaking (NOPR)
- Independent Experts Report
- SW Outage Report
- Operating Committee Executive Committee Memo
- IRO Five-Year Review
- Technical Conferences
 - St. Louis, MO
 - Washington, DC
 - Sacramento, CA
- First Posting Comments





Second Posting Details - Definitions







Definitions

- Added 'applicable' as qualifier to list of inputs to alleviate concerns over an entity not having an input that was listed and being found non-compliant
 - "The assessment shall reflect applicable inputs including ..."
- Replaced 'contracted' with 'third-party' to allow for greater flexibility in providing services and to alleviate concerns of smaller entities
 - "... may be provided through internal systems or through contracted thirdparty services."



Real-time Assessment (RTA): An evaluation of system conditions using Real-time data to assess existing (pre-Contingency) and potential (post-Contingency) operating conditions. The assessment shall reflect applicable inputs including, but not limited to: load, generation output levels, known Protection System and Special Protection System status or degradation, Transmission outages, generator outages, Interchange, Facility Ratings, and identified phase angle and equipment limitations. (Real-time Assessment may be provided through internal systems or through third-party services.)

Operational Planning Analysis (OPA): An evaluation of projected system conditions to assess anticipated (pre-Contingency) and potential (post-Contingency) conditions for next-day operations. The evaluation shall reflect applicable inputs including, but not limited to, load forecasts; generation output levels; Interchange; known Protection System and Special Protection System status or degradation; Transmission outages; generator outages; Facility Ratings; and identified phase angle and equipment limitations. (Operational Planning Analysis may be provided through internal systems or through third-party services.)





Second Posting Details – IRO-001-4







IRO-001-4

- Applicability Deleted Transmission Service Provider
 - The Functional Model does not provide for a Reliability Coordinator directing a Transmission Service Provider to act.
- Requirement R1 Operating Instruction vs. Reliability Directive
 - Operating Instruction definition is inclusive of directive. Operating Instruction allows Reliability Coordinators to address or prevent situations that could lead to an Emergency. The Reliability Directive definition was never approved by FERC (see NOPR) and will eventually be withdrawn. The use of Operating Instruction is consistent with proposed COM-002-4. Therefore, the SDT did not make any changes concerning Operating Instruction.



IRO-001-4 (continued)

- Requirement R3 Deleted "citing one of the reasons shown in Requirement R2" based on industry feedback
 - R3. Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, and Distribution Provider shall inform its Reliability Coordinator of its inability to perform the Operating Instruction issued by its Reliability Coordinator In Requirement R12 citing on of the specific reasons shown in Requirement R2.





Second Posting Details – IRO-002-4





IRO-002-4

- Requirement R1 deleted
 - Voice communication was deemed redundant with proposed COM-001-2
- Requirement R5 (now R4) deleted 'and highly reliable' from infrastructure as unmeasurable
 - This is a duplication of an existing requirement and compliance efforts should remain the same as today
 - R5 (R4). Each Reliability Coordinator shall have monitoring systems that provide information utilized by the Reliability Coordinator's operating personnel, giving particular emphasis to alarm management and awareness systems, automated data transfers, and synchronized information systems, over a redundant and highly reliable infrastructure.

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IRO-002-4 (continued)

- Requirement R2 (now R1) revised wording from 'data links' to 'data exchange facilities' and re-structured language to allow for exchange to only be with the Transmission Operator and/or Balancing Authority with those entities reaching down to other entities or directly from the Reliability Coordinator to all applicable entities as per real-world practice
 - Requirement is not duplicative of proposed IRO-010-2 as that standard is about data and this requirement is about facilities
 - 'Data exchange capability' is more generic and flexible
 - Method should reflect actual practice
 - **R2** (R1). Each Reliability Coordinator shall have data exchange capabilities with Balancing Authorities and Transmission Operators, and with other entities it deems necessary, for it to perform its Operational Planning Analyses, Real-time Monitoring, and Real-time Assessments.

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IRO-002-4 (continued)

- Requirement R4 (now R3) re-structured for clarity
 - List formed at beginning of requirement rather than at the end
 - Sub-100 kV data clarified 'identified as necessary' added to relieve concerns over reaching for unnecessary data
 - Clarified Reliability Coordinator role for System Operating Limits (SOLs)
 - Special Protection System term retained if the project on re-defining terms receives approval, all applicable standards will be revised at that time
 - R4 (R3). Each Reliability Coordinator shall monitor Facilities, the status of Special Protection Systems, and sub-100 kV facilities identified as necessary by the Reliability Coordinator, within its Reliability Coordinator Area and neighboring Reliability Coordinator Areas to identify any System Operating Limit exceedances and to determine any Interconnection Reliability Operating Limit exceedances within its Reliability Coordinator Area.





Second Posting Details – IRO-008-2





IRO-008-2

- Requirement R2 (review plans) deleted as redundant with Requirement R3
 - Requirement R3 (now R2) requires a coordinated plan which can't be achieved without having reviewed the plans
- Requirement R4 (now R3) deleted 'NERC registered' as a qualifier for entities
 - **R3.** Each Reliability Coordinator shall notify impacted NERC registered entities identified in the Operating Plan(s) cited in Requirement R23 as to their role in those plan(s).
- Requirement R7 (issue Operating Instructions) deleted as Operating Instructions are already covered in proposed IRO-001-4





IRO-008-2 (continued)

- Requirement R5 (now R4) changed 'performed a Real-time Assessment' to 'ensure that a Real-time Assessment is performed'
 - Allows flexibility for situations where other entities may perform Real-time Assessment under a "Loss of Control Center Functionality" scenario as defined within that entity's Operating Plan.
 - R4. Each Reliability Coordinator shall perform ensure that a Real-time Assessment is performed at least once every 30 minutes.





Second Posting Details – IRO-010-2







IRO-010-2

- Applicability deleted Planning Coordinator and Transmission Planner
 - Data will be exchanged between a Reliability Coordinator and the Planning Coordinator/Transmission Planner but it doesn't fit the data specification concept
- Effective Dates changed the 10/12 month implementation to a 9/12 month implementation
 - Better alignment with formal approval dates relieving possible overlap which would have erased the staggered implementation





Second Posting Details — IRO-014-3





IRO-014-3

- Requirement R1
 - Added 'and implement' to 'have Operating Processes' to ensure actions are taken when needed
 - Changed 'other' Reliability Coordinators to 'adjacent' Reliability
 Coordinators to avoid possibility of having to communicate with all other
 Reliability Coordinators
 - R1. Each Reliability Coordinator shall have and implement Operating Procedures, Operating Processes, or Operating Plans, for activities that require notification or coordination of actions that may impact other adjacent Reliability Coordinator Areas, to support Interconnection reliability.

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IRO-014-3 (continued)

- Deleted Part 1.5 as duplicative of proposed IRO-001-4, Requirement R1
 - 1.5 Authority to act to prevent and mitigate system conditions which could adversely impact other Reliability Coordinator Areas.
- Reworded Part 1.6 to make it more generic as opposed to strictly being weekly conference calls
 - 1.6 Provisions for weekly conference calls-periodic communications to support reliable operations
- Requirement R3 deleted as duplicative of Requirement R1
 - R3. Each Reliability Coordinator shall make notifications and exchange reliability-related information with other impacted Reliability Coordinators in accordance with the Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.



IRO-014-3 (continued)

- Requirement R4 deleted as duplicative of Requirement R1
 - R4. Each Reliability Coordinator shall participate in agreed upon conference calls, at least weekly (per Requirement R1, Part 1.6) with other Reliability Coordinators within the same Interconnection.
- Requirement R5 (now R3) added 'expected or actual' for consistency; clarified that it is only within the Reliability Coordinator Area
 - R3. Each Reliability Coordinator, upon identification of an expected or actual Emergency in its Reliability Coordinator Area, shall notify other impacted Reliability Coordinators.

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IRO-014-3 (continued)

- Requirement R7 (now R5) clarified that it is only within the Reliability Coordinator Area and with 'impacted' Reliability Coordinators
 - R5. Each Reliability Coordinator that identified an Emergency in its
 Reliability Coordinator Area shall develop an action plan to resolve the
 Emergency during those instances where impacted Reliability Coordinators
 disagree on the existence of an Emergency.
- Requirement R9 (now R7) replaced 'entity' with 'Reliability
 Coordinator' and clarified that assistance can only be provided 'if able'
 - R7. Each Reliability Coordinator shall assist Reliability Coordinators, if requested and able, provided that the requesting entity Reliability Coordinator has implemented its emergency procedures, unless such actions cannot be physically be implemented or would violate safety, equipment, regulatory, or statutory requirements.





Second Posting Details – IRO-017-1



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Second Posting Details

IRO-017-1

- Purpose added timeframes of coordination for clarity
 - To ensure that outages are properly coordinated in the Operations
 Planning time horizon and Near-term Transmission Planning Horizon
- Described intent of Operations Planning time horizon
 - The official definition of the Operations Planning Time Horizon is: "operating and resource plans from day-ahead up to and including seasonal." The SDT equates 'seasonal' as being up to one year out and that these requirements covers the period from day-ahead to one year out
- Part 1.5 deleted as duplicative of Part 1.3
 - 1.5 Document and maintain the specifications for outage analysis during the operations planning horizon.





IRO-017-1 (continued)

- Requirement R4 re-structured to show that the process starts with the Planning Assessments created by the Planning Coordinator and Transmission Planner and then those Planning Assessments are reviewed and reconciled as needed with the Reliability Coordinator
 - R4. Each Planning Coordinator and Transmission Planner shall jointly develop solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-Term Planning Horizon.





Second Posting Details – TOP-001-3





TOP-001-3

- Requirement R1 deleted 'within its Transmission Operator Area' as this may have inadvertently omitted some entities; clarified that reliability is the issue and not functions
 - R1. Each Transmission Operator shall act, or direct others within its Transmission Operator Area to act by issuing Operating Instructions, to address ensure it's the reliability functions within of its Transmission Operator Area.
- Requirement R2 deleted 'within its Balancing Authority Area' as this may have inadvertently omitted some entities; clarified that reliability is the issue and not functions

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TOP-001-3 (continued)

- Requirement R4 deleted 'citing one of the specified reasons shown in Requirement R3' since the wording is administrative
 - R4. Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall inform its Transmission Operator of its inability to perform an Operating Instruction issued by its Transmission Operator in Requirement R3 citing one of the specific reasons shown in Requirement R3.
- Requirement R7 deleted Balancing Authority as non-applicable; added 'if able' to provide assistance; changed 'actions' to 'assistance' for consistency
 - R7. Each Transmission Operator and Balancing Authority shall assist other Transmission Operators, if requested and able, provided that the requesting entity has implemented its emergency procedures, unless such actions assistance cannot be physically implemented or would violate safety, equipment, regulatory, or statutory requirements.



TOP-001-3 (continued)

- Requirement R9 deleted 'negatively' as a qualifier to impacted and deleted 'telecommunication' as duplicative of proposed COM-001-2, Requirement R3
 - R9. Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator and negatively impacted interconnected NERC registered entities of outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels between the affected entities.



- Requirement R10 re-structured for clarity
 - List formed at beginning of requirement rather than at the end
 - Sub-100 kV data clarified 'identified as necessary' added to relieve concerns over reaching for unnecessary data
 - Clarified that Transmission Operator is responsible for System Operating Limits (SOLs)
 - Special Protection System term retained if the project on re-defining terms receives approval, all applicable standards will be revised at that time
 - R10. Each Transmission Operator shall monitor Facilities, the status of Special Protection Systems, and sub-100 kV facilities identified as necessary by the Transmission Operator, within its Transmission Operator Area and neighboring Transmission Operator Areas to determine any System Operating Limit (SOL) exceedances within its Transmission Operator Area.



- Requirement R13 changed 'performed a Real-time Assessment' to 'ensure that a Real-time Assessment is performed'
 - R13. Each Transmission Operator shall ensure perform that a Real-time Assessment is performed at least once every 30 minutes.
- Requirements R16 (and R17) added 'maintenance' to 'planned outages' and added 'telecommunication' to list of items
 - R16. Each Transmission Operator shall provide its System Operators with the authority to approve planned outages and maintenance of its own monitoring, telecommunication, and Real-time Assessment capabilities.



- Requirement R18 deleted 'Generator Operator' from list as it does not get involved with limit determinations but simply receives Operating Instructions; changed 'derived limits' to 'SOLs' for clarity as to which limits are involved
 - R18. Each Transmission Operator, and Balancing Authority, and Generator
 Operator shall always operate to the most limiting parameter in instances
 where there is a difference in derived limits SOLs.





- Requirements R19 and R20 data exchange capabilities requirements for Transmission Operators and Balancing Authorities similar to IRO requirement for Reliability Coordinator
 - R19. Each Transmission Operator shall have data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Transmission Operator Area.
 - R20. Each Balancing Authority shall have data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Balancing Authority Area.





Second Posting Details – TOP-002-3







TOP-002-3

- Requirements R3 and R5 deleted 'NERC registered' as qualifier to entities
 - **R3.** Each Transmission Operator shall notify impacted NERC registered entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in those plan(s).
 - **R5**. Each Balancing Authority shall notify impacted NERC registered entities identified in the Operating Plan(s) cited in Requirement R4 as to their role in those plan(s).





Second Posting Details - TOP-003-3







TOP-003-3

- Applicability deleted 'Interchange Authority' as that entity does not send data to the Transmission Operator or Balancing Authority
- Effective Date changed the 10/12 month implementation to a 9/12 month implementation
 - Better alignment with formal approval dates relieving possible overlap which would have erased the staggered implementation





Second Posting Details – Compliance Elements





Data Retention

- IRO-008-2 and TOP-002-4: changed data retention for analyses from six months to 90 calendar days to alleviate burden
- IRO-008-2 and TOP-002-4: changed data retention for voice recordings from three months to 90 calendar days for consistency
- IRO-008-2 and TOP-001-3: changed data retention from current calendar year and one previous calendar year to a rolling 30 day period for Real-time Assessments to alleviate burden
- IRO-014-3: added missing item for Requirements R7 (now R5) and R9 (now R7)
- TOP-001-3: changed operator logs to 90 calendar days





VRFs

- IRO-010-2, Requirements R1 and R2: changed from Medium to Low for consistency with approved IRO-010-1a, Requirement R1 and proposed TOP-003-3, Requirement R1
- IRO-017-1, Requirements R1, R2, and R3: changed from Low to Medium to be consistent with approved IRO-005-3.1a, Requirement R6





VSLs

- IRO-002-4, Requirement R2 (now R1) changed from binary (severe) to incremental approach
- IRO-008-2, Requirement R5 (now R4) changed from binary (severe) to incremental approach
- IRO-017-1, Requirement R1 changed from binary (severe) to incremental approach
- TOP-001-3, Requirement R8: added an incremental approach to account for differential impacts on smaller entities
- TOP-003-3, Requirement R5: added incremental approach for consistency with approved IRO-010-1a, Requirement R1



VSLs (continued)

- The SDT did not change the VSLs associated with Operating Instructions.
 - These VSLs are proposed to be binary (severe).
 - The requirement language is written on a single Operating Instruction basis.
 - Therefore, the entity either does the action or it doesn't.





Second Posting Details – SOL Exceedance White Paper





SOL Exceedance White Paper

 The Whitepaper is designed to provide the industry with a concise document that highlights existing NERC Standard Requirements and NERC Defined Terms, including examples, in an effort to promote clarity, consistency, and a common understanding of the concepts associated with establishing SOLs, exceeding SOLs, and implementing Operating Plans to prevent and mitigate SOL exceedance.

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Second Posting Details

SOL Exceedance Whitepaper (continued)

Technical basis:

- SOL Defined Term includes pre- and post-Contingency Facility Ratings, Transient Stability Ratings, Voltage Stability Ratings, and System Voltage Limits.
 - Summarize approved FAC standards requirements for the clear determination of Facility Ratings and acceptable system performance criteria for the pre- and post-Contingency state.
 - Approved FAC-008-3: Facility Ratings
 - Requirement to develop, at a minimum, both Normal and Emergency Ratings.
 - Approved FAC-011-2: System Operating Limits Methodology for the Operations Horizon
 - Defines acceptable pre- and post-Contingency BES performance and defines applicable
 Contingencies and study model
 - Approved FAC-014-2: Establish and Communicate System Operating Limits
 - SOLs are established consistent with SOL Methodology
 - Facilitates Reliability Coordinator Transmission Operator coordination

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Second Posting Details

SOL Exceedance Whitepaper (continued)

Technical basis (continued)

- Proposed TOP-002-4, Requirement R1 requires that each Transmission
 Operator have an Operational Planning Analysis to assess whether its
 planned operations for the next-day within its Transmission Operator Area
 will exceed any of its SOLs.
- Proposed TOP-002-4, Requirement R2 requires that each Transmission
 Operator have an Operating Plan to address potential SOL exceedances
 identified as a result of its Operational Planning Analysis.
- Proposed TOP-001-3, Requirement R13 requires that a Transmission Operator ensures that a Real-time Assessment is performed at least once every 30 minutes.
- Proposed TOP-001-3, Requirement R14 requires the Transmission Operator to initiate its Operating Plan(s) to mitigate SOL exceedances.



SOL Exceedance Whitepaper (continued)

Comment responses:

- Clarity provided for SOL Examples.
- Clarity provided to illustrate most limiting SOL.
- Clarity provided for pre- vs. post-Contingency load shed as per Operating Plan.
- Modified to ensure whitepaper references NERC defined terms.





Frequently Asked Questions





FAQ

- IRO-002-4, Requirement R3: "Each Reliability Coordinator shall provide its System Operators with the authority to approve planned outages and maintenance of its telecommunication, monitoring, and analysis capabilities."
- The intent of this requirement is to ensure System Operators have the authority to approve or deny any planned or maintenance outages that could adversely impact System Operations. This requirement does not preclude support staff from having the authority to approve or deny planned or maintenance outages in advance in order to reduce any administrative burden to System Operators.



FAQ (continued)

- IRO-017-1, Requirement R4: "Each Planning Coordinator and Transmission Planner shall jointly develop solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-Term Transmission Planning Horizon."
- The main role of the Reliability Coordinator is to adjudicate disputes when the Planning Coordinator/Transmission Planner has issues or conflicts with planned outages of Transmission Operators or Balancing Authorities.



FAQ (continued)

- TOP-001-3, Requirement R1: "Each Transmission Operator shall act, or direct others to act by issuing Operating Instructions, to ensure the reliability of its Transmission Operator Area."
- A Transmission Operator cannot issue Operating Instructions to a neighboring Transmission Operator. Operating Instructions to a neighboring Transmission Operator will be coordinated by, and issued by, the appropriate Reliability Coordinator consistent with the Functional Model.
- Similar logic for Balancing Authority in Requirement R2.





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Second Posting Details

Overview of an RSAW

- RSAWs assist in compliance monitoring of a reliability standard by outlining evidence, an audit approach, and facilitating communications between an entity and its auditor.
- RSAWs provide an opportunity to expand on evidence requests, describe audit testing procedures, and provide notes to auditors.
- RSAWs must remain true to the language of the standard.
- RSAWs are not authoritative and cannot impose additional requirements.
- RSAWs are generic audit programs that do not consider risk or entity controls. However, these factors are considered in audit scoping and the rigor in which audit tests are applied.

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Overview of an RSAW (cont.)

- Process changed in 2014 to provide RSAWs during the formal comment period for the standard and prior to balloting.
- NERC Compliance participates on SDTs in a limited capacity.
- A representative from NERC Compliance works with NERC SMEs and the SDT to post an RSAW within 15 days of release of standard.
- The process includes opportunities for Regional Entity's to review and comment before posting.
- Comments are received from Industry during formal comment period, and RSAWs can be edited for re-postings.



TOP/IRO RSAWs and New Audit Approach

- RSAWs for nine TOP/IRO standards posted during initial formal comment period in June.
- Comments mainly concerned volume of evidence for requirements where certain actions must be taken.
- Updates made to reflect language changes in standards for second posting.
- RSAWs re-posted on September 2.



IRO-001-3, Requirement R1

- R1: Each Reliability Coordinator shall act, or direct others to act, by issuing Operating Instructions, to ensure the reliability of its Reliability Coordinator Area.
- Evidence requested: Dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation associated with events requested by auditor.



IRO-001-3, Requirement R1 (cont.)

- Assessment approach: For all, or a sample of, BES events selected by auditor, review evidence and verify entity acted, or directed others to act, by issuing Operating Instructions to ensure the reliability of its Reliability Coordinator Area.
- Notes: Auditors area advised to monitor compliance with Requirement R1 during events, due to the importance of issuing Operating Instructions in such instances. Auditors can obtain a population of events for sampling from NERC's Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity's system occurring during the compliance monitoring period, generally category 2 events or higher.





Additional Questions and Answers

