

**SAMPLE FORM:
REQUEST FOR EXCEPTION TO THE BULK ELECTRIC SYSTEM DEFINITION**

The information that must be submitted for an Exception Request is specified in Section 4.5 of the BES Exception Process (Appendix 5C to the NERC ROP).

This Sample Form is not intended to be the only way such information might be gathered, and each Regional Entity may develop a method or methods (electronic, hard copy, etc.) for submission of such information consistent with the Regional Entity's other submission forms.

This Sample Form is intended only to provide a possible example of a form that could be used for the submission of all the information required for a Request. There is no intention to attach this or any other form to Appendix 5C.

The substance of the information required shall not be changeable, but the only part of this form which must be used verbatim is Section III.B, **Detailed Information to Support an Exception Request**. That Part was designed under the Standards Development Process.

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Section I: General Information – Suitable for Public Posting

Request for: Inclusion Exclusion Submittal Date: _____

Type of Request: Original Amended (ID of Original Request _____)

Name of Submitting Entity: _____

Submitting Entity NERC Compliance Registry ID (if assigned): _____

Entity Address (1): _____

Entity Address (2): _____

City/Town: _____ State, Zip Code: _____

Is this request being filed in conjunction with other requests? Yes No

 If so, identify the other Submitting Entity(ies): _____

Is the Submitting Entity filing a similar Request with another Regional Entity(ies)? Yes No

 If so, which Regional Entity(ies) _____

Element(s) Description (check all that apply):

- | | |
|---|---|
| <input type="checkbox"/> Transmission | <input type="checkbox"/> Generation |
| <input type="checkbox"/> Substation | <input type="checkbox"/> Generator |
| <input type="checkbox"/> Network | <input type="checkbox"/> Generator facility |
| <input type="checkbox"/> Radial | <input type="checkbox"/> Generator interconnection facility |
| <input type="checkbox"/> Other (please explain) | |

Status under the BES Definition for which this Exception Request is being submitted:¹

- | | |
|--|--|
| <input type="checkbox"/> Included under Core Definition (No specific Inclusions or Exclusions apply) | |
| <input type="checkbox"/> Not included under Core Definition (No specific Inclusions or Exclusions apply) | |
| <input type="checkbox"/> Included under I1 | <input type="checkbox"/> Excluded under E1 |
| <input type="checkbox"/> Included under I2 | <input type="checkbox"/> Excluded under E2 |
| <input type="checkbox"/> Included under I3 | <input type="checkbox"/> Excluded under E3 |
| <input type="checkbox"/> Included under I4 | <input type="checkbox"/> Excluded under E4 |
| <input type="checkbox"/> Included under I5 | |

Is Submitting Entity the Owner of Element(s)? Yes No

If No, provide the following:

 Name of Owner: _____

 Owner's NERC Compliance Registry ID (if assigned): _____

 Is the Submitting Entity a (check all that apply):

- Regional Entity
- Reliability Coordinator
- Balancing Authority
- Transmission Operator
- Planning Coordinator
- Transmission Planner

¹ Entities that have Element(s) designated as excluded under the BES definition and designations, do not have to file a Request under the Exception Procedure for an exclusion.

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Section II: Detailed Information – Treated as Confidential; Shared with Specified Entities²

Submitting Entity Contact Information

Contact's Name: _____ Phone: _____
Title: _____
E-mail: _____ Fax: _____

With respect to the Element(s) to which this Request applies, supply the NCR number for each of the following in whose scope of responsibility the Element(s) resides:

Reliability Coordinator: _____
Balancing Authority: _____
Transmission Operator: _____
Planning Coordinator: _____
Transmission Planner: _____

By submitting this Request, the following responsible, authorized representative of the Submitting Entity's senior management certifies that the representative has read the Exception Request on behalf of the Submitting Entity and that the Submitting Entity believes approval of the Exception Request is warranted pursuant to the criteria in Section 3.1 of Appendix 5C of the NERC Rules of Procedure. The representative further certifies that a copy of Sections I. and II. of this Request has been sent to each PC, RC, TOP, TP and BA that has (or will have upon inclusion in the BES) the Elements covered by this Request within its scope of responsibility. If the Submitting Entity is not the Owner, the representative also certifies that the Submitting Entity conferred with the Owner regarding the reason for the requested Exception, but could not reach agreement regarding the submission of the Request.

Name of senior management representative so certifying: _____
Title: _____

If Submitting Entity is not the Owner, Owner Contact Information, to the extent available:

Contact's Name: _____ Phone: _____
Title: _____ Cell: _____
E-mail: _____ Fax: _____

If the Submitting Entity is not the Owner, summarize the basis for your interest in this Request:

Provide a brief statement of the basis, consistent with Section 3.1 of Appendix 5C of the NERC Rules of Procedure, on which the Submitting Entity contends the Exception Request should be approved.

² At the time of submitting this Request, the Submitting Entity shall also submit Section I and Section II to each PC, RC, TOP, TP and BA that has (or will have upon inclusion in the BES) the Elements covered by this Request within its scope of responsibility.

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Section III: Detailed Engineering Information – Submitted Only to Regional Entity

A. Classified Information Requirements.

A Request for Exception should include the following as applicable:

1. If the Exception Request is supported, in whole or in part, by Classified National Security Information, NRC Safeguards Information, and/or Protected FOIA Information, a statement identifying which of these categories each such item of information falls into and explaining why each such item of information is Classified National Security Information, NRC Safeguards Information, and/or Protected FOIA Information.
2. If the Submitting Entity is prohibited by law from disclosing any Classified National Security Information, NRC Safeguards Information and/or Protected FOIA Information to any person who is not an Eligible Reviewer (such as, for example, the restriction on access to Classified National Security Information specified in Section 4.1 of Executive Order No. 12958, as amended), the Exception Request shall identify the Classified National Security Information, NRC Safeguards Information and/or Protected FOIA Information that is subject to such restrictions on disclosure and shall identify the criteria which a person must meet in order to be an Eligible Reviewer of the Classified National Security Information, NRC Safeguards Information and/or Protected FOIA Information.

B. Detailed Information to Support an Exception Request

(The remainder of this sample form is comprised of the material drafted by the BES Definition Team and is subject to revisions in accordance with future changes that team may adopt. Comments on this Section III. B can be made to the BES Definition Standard Drafting Team.)

General Instructions:

A one-line breaker diagram identifying the facility for which the exception is requested must be supplied with every application. The diagram(s) supplied should also show the Protection Systems at the interface points associated with the Elements for which the exception is being requested.

Entities are required to supply the data and studies needed to support their submittal. Studies should:

- Be based on an Interconnection-wide base case that is suitably complete and detailed to reflect the facility's electrical characteristics and system topology
- Clearly document all assumptions used
- Address key performance measures of BES reliability through steady-state power flow, and transient stability analysis as necessary to support the entity's application, consistent with the methodologies described in the Transmission Planning (TPL) standard and commensurate with the scope of the request

Supporting statements for your position from other entities are encouraged.

List any attached supporting documents:

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For Transmission Facilities:

1. Is there generation connected to the facility?

Yes No

If yes, what are the individual gross nameplate values of each unit?

Description/Comments:

2. How does the facility impact permanent Flowgates in the Eastern Interconnection, major transfer paths within the Western Interconnection, or a comparable monitored facility in the ERCOT Interconnection or the Quebec Interconnection?

Please list the Flowgates or paths considered in your analysis along with any studies or assessments that illustrate the degree of impact:

3. Is the facility included in an Interconnection Reliability Operating Limit (IROL) in the Eastern Interconnection, ERCOT Interconnection, or Quebec Interconnection or a major transfer path rating in the Western Interconnection?

Yes No

Please provide the appropriate list for your operating area:

4. How does an outage of the facility impact the over-all reliability of the BES? Please provide study results that demonstrate the most severe system impact of the outage of the facility and the rationale for your response:

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5. Is the facility used for off-site power supply to a nuclear power plant as designated in a mutually agreed upon Nuclear Plant Interface Requirement (NPIR)?

Yes No

Description/Comments:

6. Is the facility part of a Cranking Path associated with a Blackstart Resource?

Yes No

Description/Comments:

7. Does power flow through this facility into the BES?

Yes No

If yes, under 10% of the calendar year 10% - 25% of the calendar year
 25% - 50% of the calendar year More than 50% of the calendar year

If yes, then using metered or SCADA data for the most recent consecutive two calendar year period, what is the minimum and maximum magnitude of the power flow out of the facility and describe the conditions when this could occur?

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For Generation Facilities:

1. What is the MW value of the host Balancing Authority's most severe single Contingency and what is the generator's, or generator facility's, percent of this value?

Please provide the values and a reference to supporting documents:

2. Is the generator or generator facility used to provide Ancillary Services?

Yes No

Describe what Ancillary Services the generator or generator facility is supplying:

3. Is the generator designated as a must run unit?

Yes No

Please provide the appropriate reference for your operating area:

4. How does an outage of the generator impact the over-all reliability of the BES? Please provide study results that demonstrate the most severe system impact of the outage of the generator and the rationale for your response:

5. Does the generator use the BES to deliver its actual or scheduled output, or a portion of its actual or scheduled output, to Load?

Yes No

Description/Comments: