

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**MOD-016-1.1 — Documentation of Data Reporting Requirements for Actual and Forecast Demands, Net Energy for Load, and Controllable Demand-Side Management**

**Registered Entity:** *(Must be completed by the Compliance Enforcement Authority)*

**NCR Number:** *(Must be completed by the Compliance Enforcement Authority)*

**Applicable Function(s): PA, RRO**

**Auditors:**

**Disclaimer**

 NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website at <http://www.nerc.com/page.php?cid=2|20>. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The NERC RSAW language contained within this document provides a non‑exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

# Subject Matter Experts

Identify your company’s subject matter expert(s) responsible for this Reliability Standard. Include the person's title, organization and the requirement(s) for which they are responsible. Insert additional lines if necessary.

**Response: *(Registered Entity Response Required)***

|  |  |  |  |
| --- | --- | --- | --- |
| **SME Name** | **Title** | **Organization** | **Requirement** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Reliability Standard Language

 **MOD-016-1.1 — Actual and Forecast Demands, Net Energy for Load, Controllable DSM**

**Purpose:**

Ensure that accurate, actual Demand data is available to support assessments and validation of past events and databases. Forecast Demand data is needed to perform future system assessments to identify the need for system reinforcements for continued reliability. In addition, to assist in proper real-time operating, Load information related to controllable Demand-Side Management (DSM) programs is needed.

**Applicability:**

Planning Authority

 Regional Reliability Organization

**NERC BOT Approval Date: 10/29/2008**

**FERC Approval Date: 5/13/2009**

**Reliability Standard Enforcement Date in the United States: 5/13/2009**

**Requirements**:

1. The Planning Authority and Regional Reliability Organization shall have documentation identifying the scope and details of the actual and forecast (a) Demand data, (b) Net Energy for Load data, and (c) controllable DSM data to be reported for system modeling and reliability analyses.
	1. The aggregated and dispersed data submittal requirements shall ensure that consistent data is supplied for Reliability Standards TPL-005, TPL-006, MOD-010, MOD-011, MOD-012, MOD-013, MOD-014, MOD-015, MOD-016, MOD-017, MOD-018, MOD-019, MOD-020, and MOD-021.

The data submittal requirements shall stipulate that each Load-Serving Entity count its customer Demand once and only once, on an aggregated and dispersed basis, in developing its actual and forecast customer Demand values.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R1 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

|  |  |
| --- | --- |
|  |   **Provide the following:** **Document Title and/or File Name, Page & Section, Date & Version** |
| **Title** | **Date** | **Version** |
|  |  |  |
|  |  |  |
|  |  |  |
| *Audit Team: Additional Evidence Reviewed:* |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to MOD-016-1.1 R1**

 \_\_\_ Verify the PA and RRO have documentation identifying the scope and details of the actual and forecast:

 \_\_\_\_ Demand data,

 \_\_\_\_Net Energy for Load data,

 \_\_\_\_Controllable DSM data to be reported for system modeling and reliability analyses

 Verify the aggregated and dispersed data submittal requirements ensured that consistent data is supplied for Reliability Standards:

\_\_ \_\_ TPL-005

\_\_\_\_ TPL-006

\_ \_\_\_\_ MOD-010

\_\_\_\_ MOD-011

\_\_ \_\_\_ MOD-012

\_\_\_\_ MOD-013

\_\_\_\_ MOD-014

\_\_\_\_ MOD-015

\_\_\_\_ MOD-016

\_\_\_\_ MOD-017

\_\_\_\_ MOD-018

\_\_\_ \_ MOD-019

\_\_\_ \_ MOD-020

\_\_\_ \_ MOD-021

 Verify the data submittal requirements stipulate that each LSE count its customer Demand once and only once, on an aggregated and dispersed basis, in developing its actual and forecast customer Demand values.

**Detailed notes:**

1. The Regional Reliability Organization shall distribute its documentation required in Requirement 1 and any changes to that documentation, to all Planning Authorities that work within its Region.
	1. The Regional Reliability Organization shall make this distribution within 30 calendar days of approval.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R2 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

|  |  |
| --- | --- |
|  |   **Provide the following:** **Document Title and/or File Name, Page & Section, Date & Version** |
| **Title** | **Date** | **Version** |
|  |  |  |
|  |  |  |
|  |  |  |
| *Audit Team: Additional Evidence Reviewed:* |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to MOD-016-1.1 R2**

 \_\_\_ Verify the RRO distributed its documentation required in R1 and any changes to that documentation, to all PAs that work within its Region.

 \_\_\_ Verify the RRO made this distribution within 30 calendar days of approval.

**Detailed notes:**

1. The Planning Authority shall distribute its documentation required in R1 for reporting customer data and any changes to that documentation, to its Transmission Planners and Load-Serving Entities that work within its Planning Authority Area.
	1. The Planning Authority shall make this distribution within 30 calendar days of approval.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

# R3 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

|  |  |
| --- | --- |
|  |   **Provide the following:** **Document Title and/or File Name, Page & Section, Date & Version** |
| **Title** | **Date** | **Version** |
|  |  |  |
|  |  |  |
|  |  |  |
| *Audit Team: Additional Evidence Reviewed:* |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to MOD-016-1.1 R3**

 \_\_\_ Verify the PA distributed its documentation required in R1 for reporting customer data and any changes to that documentation, to its TPs and LSEs that work within its PA Area.

 \_\_\_ Verify the PA made this distribution within 30 calendar days of approval.

**Detailed notes:**

# Supplemental Information

**Other ‑** The list of questions above is not all inclusive of evidence required to show compliance with the Reliability Standard. Provide additional information here**, as necessary that** demonstrates compliance with this Reliability Standard.

  **Entity** **Response: *(Registered Entity Response)***

# Compliance Findings Summary (to be filled out by auditor)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Req.** | **C** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **3** |  |  |  |  |  |

**Excerpts from FERC Orders -- For Reference Purposes Only**

**Updated Through August 2010**

**MOD-016-1.1**

**Order 693**

1230. The Commission approves MOD-016-1 as mandatory and enforceable. In addition, the Commission directs the ERO to modify MOD-016-1 as discussed below.

1231. As an initial matter, we disagree that MOD-016-1 cannot be implemented until other unapproved standards are modified. As previously stated, we are requiring the ERO to provide a Work Plan and compliance filing regarding collection of information specified under standards that are deferred, and believe there should be no difficulties complying with this Reliability Standard. We reiterate that continual collection of data is necessary to maintain system reliability, and approval of MOD-016-1 will help to achieve this objective.

1232. Supported by many commenters, the Commission directs the ERO to modify MOD-016-1 and expand the applicability section to include the transmission planner, on the basis that under the NERC Functional Model the transmission planner is responsible for collecting system modeling data, including actual and forecast load, to evaluate transmission expansion plans. We disagree with EEI that this Reliability Standard should not be applied to the transmission planner because load-related data for controllable DSM is not only needed for distribution and transmission operations, but is also necessary for the transmission planner to take controllable DSM into account in planning the transmission system. Requirement R1.1 relates to data submittal, and requires data to be consistent with that supplied for the TPL-005 and TPL-006 standards, which clearly apply to transmission planners. We approve the ERO’s definition in the glossary of DSM as “all activities or programs undertaken by a Load-Serving Entity or its customers to influence the amount or timing of electricity they use.” Only activities or programs that meet the ERO definition, with the modification directed below, may be treated as DSM for purposes of the Reliability Standards. Recognizing the potential role that industrial customers who do not take service through an LSE and load aggregators, for example, may play in meeting the Reliability Standards, we direct the ERO to modify the definition of DSM. Specifically, we direct the ERO to add to its definition of DSM “any other entities” that undertake activities or programs to influence the amount or timing of electricity they use without violating other Reliability Standard Requirement.

1233. In response to TAPS’s criticism of SERC’s desire to expand its regional standards relative to actual and forecast load to include LSEs, we clarify that we can only act on the standards before us. We do not make a decision on SERC’s standards in this rule. We therefore recommend that TAPS raise this issue in the Reliability Standards development process.

1234. The Commission approves Reliability Standard MOD-016-1 as mandatory and enforceable and directs the ERO to develop a modification to MOD-016-0 through the Reliability Standards development process to include the transmission planner in the applicability section.

**Revision History**

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | July 2010 | RSAW Working Group | New Document. |
| 1 | September 2010 | NERC Legal & NERC Compliance | Added regulatory language & reviewed for formatting consistency. |
| 1 | December 2010 | QRSAW WG | Revised Findings Table, modified Supporting Evidence tables. |
| 1 | January 2011 | Craig Struck | Reviewed for format consistency and content. |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |