

September 4, 2014

VIA ELECTRONIC FILING

Rachelle Verret Morphy
Saskatchewan Electric Reliability Authority
2025 Victoria Avenue
Regina, Saskatchewan, Canada S4P 0S1

RE: *North American Electric Reliability Corporation*

Dear Ms. Morphy:

The North American Electric Reliability Corporation (“NERC”) submits proposed revisions to various Violation Risk Factors (“VRFs”) and Violation Severity Levels (“VSLs”) associated with certain Transmission Planning (“TPL”) Reliability Standards, Generator Verification (“MOD”) Reliability Standards, and Frequency Response and Frequency Bias Setting (“BAL”) Reliability Standards. Specifically, NERC proposes revisions to the VRFs assigned to:

- TPL-001-4, Requirement R1
- BAL-003-1, Requirement R1

NERC also proposes revisions to the VSLs assigned to:

- MOD-026-1, Requirement R6
- MOD-027-1, Requirement R5
- BAL-003-1, Requirement R1

The proposed VRF and VSL revisions are provided in Attachment A hereto. The background summaries outlined below provide necessary information related to the substance and development of each standard.

TPL-001-4

On October 17, 2013, the Federal Energy Regulatory Commission (“FERC”) issued Order No. 786, approving TPL-001-4 and directing NERC to modify the VRF for Requirement R1 from Medium to High. Requirement R1 requires Transmission Planners (TPs) and Planning Coordinators (PCs) to maintain system models within their respective areas for the purpose of conducting studies needed to perform Planning

3353 Peachtree Road NE
Suite 600, North Tower
Atlanta, GA 30326
404-446-2560 | www.nerc.com

Assessments.¹ As FERC noted, because Requirement R1 establishes the normal system planning model that serves as a baseline for all other conditions and contingencies in the planning assessment, any failure to follow models could result in misoperation of the system. Accordingly FERC directed NERC to modify the VRF for Requirement R1 from Medium to High but did not set a timeframe for filing the modification. The proposed modifications impose the requested revisions. The NERC Board of Trustees approved the proposed VRF revisions on May 7, 2014².

MOD-026-1 and MOD-027-1

On March 20, 2014, FERC issued Order No. 796, approving five generator verification standards and directing NERC to make modifications to VSLs for two requirements.³ Each of those requirements instruct the TP to provide a written response to the Generator Owner that it has received certain model information, and, if the model is unusable, to provide a technical explanation as to why the model is unusable. As FERC noted, the provision of a technical explanation as to why the model is unusable is no less important than other obligations in the same requirements, and as such, a VSL should be assigned to that obligation where none existed before. The proposed modifications add the VSLs necessary to comply with FERC's order. The NERC Board of Trustees approved the proposed VSL revisions on May 7, 2014.⁴

BAL-003-1

FERC issued Order No. 794 approving BAL-003-1 on January 16, 2014.⁵ In that order, FERC directed the ERO to: 1) modify the Requirement R1 VRF to a "high" level, and 2) modify the VSL for Requirement R1 to remove references to performance by other entities. According to FERC, the VRF for Requirement R1 should be "high" because frequency response is a critical component to reliable operation and therefore more than just an administrative burden. Further, the VSL for Requirement R1 should be revised to be sure that severity levels are not assigned based on performance of Requirement R1 by other responsible entities in the Interconnection in which a violator is located. The proposed modifications correct the VRF and VSL as necessary to comply with FERC's order. The NERC Board of Trustees approved the proposed VSL and VRF revisions on May 7, 2014.⁶

The proposed VRF and VSL revisions are just, reasonable, not unduly discriminatory or preferential, and in the public interest.

¹ *Transmission System Planning Performance Requirements Reliability Standard*, Order No. 786, 145 FERC ¶ 61,051 (2013).

² The agenda for the May 7, 2014 Board of Trustees meeting is available at http://www.nerc.com/gov/bot/Agenda%20highlights%20and%20mintues%202013/board_agenda_package_May_2014.pdf

³ *Generator Verification Reliability Standards*, Order No. 796, 146 FERC ¶ 61,213 (2014).

⁴ The agenda for the May 7, 2014 Board of Trustees meeting is available at http://www.nerc.com/gov/bot/Agenda%20highlights%20and%20mintues%202013/board_agenda_package_May_2014.pdf

⁵ *Frequency Response and Frequency Bias Setting Reliability Standard*, Order No. 794, 146 FERC ¶ 61,024 (2014).

⁶ The agenda for the May 7, 2014 Board of Trustees meeting is available at http://www.nerc.com/gov/bot/Agenda%20highlights%20and%20mintues%202013/board_agenda_package_May_2014.pdf

Respectfully submitted,

/s/ William H. Edwards

William H. Edwards

Counsel

North American Electric Reliability Corporation

1325 G St., NW, Suite 600

Washington, DC 20005

(202) 400-3000

(202) 644-8099 – facsimile

william.edwards@nerc.net

Attachment A

Revised Reliability Standards

BAL-003-1 Clean and Redline Standard

A. Introduction

Title: Frequency Response and Frequency Bias Setting

Number: BAL-003-1

Purpose: To require sufficient Frequency Response from the Balancing Authority (BA) to maintain Interconnection Frequency within predefined bounds by arresting frequency deviations and supporting frequency until the frequency is restored to its scheduled value. To provide consistent methods for measuring Frequency Response and determining the Frequency Bias Setting.

Applicability:

1.1. Balancing Authority

1.1.1 The Balancing Authority is the responsible entity unless the Balancing Authority is a member of a Frequency Response Sharing Group, in which case, the Frequency Response Sharing Group becomes the responsible entity.

1.2. Frequency Response Sharing Group

Effective Date:

1.3. In those jurisdictions where regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after Board of Trustees adoption.

1.4. In those jurisdictions where regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after Board of Trustees adoption.

B. Requirements

R1. Each Frequency Response Sharing Group (FRSG) or Balancing Authority that is not a member of a FRSG shall achieve an annual Frequency Response Measure (FRM) (as calculated and reported in accordance with Attachment A) that is equal to or more negative than its Frequency Response Obligation (FRO) to ensure that sufficient Frequency Response is provided by each FRSG or BA that is not a member of a FRSG to maintain Interconnection Frequency Response equal to or more negative than the Interconnection Frequency Response Obligation. [*Risk Factor: High*][*Time Horizon: Real-time Operations*]

- R2.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting shall implement the Frequency Bias Setting determined in accordance with Attachment A, as validated by the ERO, into its Area Control Error (ACE) calculation during the implementation period specified by the ERO and shall use this Frequency Bias Setting until directed to change by the ERO. [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- R3.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and is utilizing a variable Frequency Bias Setting shall maintain a Frequency Bias Setting that is: [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- 1.1** Less than zero at all times, and
- 1.2** Equal to or more negative than its Frequency Response Obligation when Frequency varies from 60 Hz by more than +/- 0.036 Hz.
- R4.** Each Balancing Authority that is performing Overlap Regulation Service shall modify its Frequency Bias Setting in its ACE calculation, in order to represent the Frequency Bias Setting for the combined Balancing Authority Area, to be equivalent to either: [*Risk Factor: Medium*][*Time Horizon: Operations Planning*]
- The sum of the Frequency Bias Settings as shown on FRS Form 1 and FRS Form 2 for the participating Balancing Authorities as validated by the ERO, or
 - The Frequency Bias Setting shown on FRS Form 1 and FRS Form 2 for the entirety of the participating Balancing Authorities' Areas.

C. Measures

- M1.** Each Frequency Response Sharing Group or Balancing Authority that is not a member of a Frequency Response Sharing Group shall have evidence such as dated data plus documented formula in either hardcopy or electronic format that it achieved an annual FRM (in accordance with the methods specified by the ERO in Attachment A with data from FRS Form 1 reported to the ERO as specified in Attachment A) that is equal to or more negative than its FRO to demonstrate compliance with Requirement R1.
- M2.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service shall have evidence such as a dated document in hard copy or electronic format showing the ERO validated Frequency Bias Setting was implemented into its ACE calculation within the implementation period specified or other evidence to demonstrate compliance with Requirement R2.
- M3.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection, is not receiving Overlap Regulation Service and is utilizing variable Frequency Bias shall have evidence such as a dated report in hard copy or electronic format showing the average clock-minute average Frequency Bias Setting was less than zero and during periods when the clock-minute average frequency was outside of

the range 59.964 Hz to 60.036 Hz was equal to or more negative than its Frequency Response Obligation to demonstrate compliance with Requirement R3.

- M4.** The Balancing Authority shall have evidence such as a dated operating log, database or list in hard copy or electronic format showing that when it performed Overlap Regulation Service, it modified its Frequency Bias Setting in its ACE calculation as specified in Requirement R4 to demonstrate compliance with Requirement R4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity is the Compliance Enforcement Authority except where the responsible entity works for the Regional Entity. Where the responsible entity works for the Regional Entity, the Regional Entity will establish an agreement with the ERO or another entity approved by the ERO and FERC (i.e. another Regional Entity), to be responsible for compliance enforcement.

1.2. Compliance Monitoring and Assessment Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.3. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Balancing Authority shall retain data or evidence to show compliance with Requirements R1, R2, R3 and R4, Measures M1, M2, M3 and M4 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

The Frequency Response Sharing Group shall retain data or evidence to show compliance with Requirement R1 and Measure M1 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement

Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Balancing Authority or Frequency Response Sharing Group is found non-compliant, it shall keep information related to the non-compliance until found compliant or for the time period specified above, whichever is longer.

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

1.4. Additional Compliance Information

For Interconnections that are also Balancing Authorities, Tie Line Bias control and flat frequency control are equivalent and either is acceptable.

2.0 Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO
R2	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting failed to implement the validated Frequency Bias Setting value into its ACE calculation within the implementation	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 5 calendar days	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 15 calendar	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting did not implement the validated Frequency Bias Setting value into its ACE calculation in more than 25 calendar

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	period specified but did so within 5 calendar days from the implementation period specified by the ERO.	but less than or equal to 15 calendar days from the implementation period specified by the ERO.	days but less than or equal to 25 calendar days from the implementation period specified by the ERO.	days from the implementation period specified by the ERO.
R3	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 1% but by at most 10%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 10% but by at most 20%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 20% but by at most 30%.	The Balancing Authority that is a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response obligation by more than 30%..
R4	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error less than or equal to 10% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 10% but less than or equal to 20% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 20% but less than or equal to 30% of the validated or calculated value.	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services with combined footprint setting-error more than 30% of the validated or calculated value. OR The Balancing

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				Authority failed to change the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services.
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E. Regional Variance

None

F. Associated Documents

Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard

FRS Form 1

FRS Form 2

Frequency Response Standard Background Document

G. Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
0	March 16, 2007	FERC Approval — Order 693	New
0a	December 19, 2007	Added Appendix 1 — Interpretation of R3 approved by BOT on October 23, 2007	Addition
0a	July 21, 2008	FERC Approval of Interpretation of R3	Addition
0b	February 12, 2008	Added Appendix 2 — Interpretation of R2, R2.2, R5, and R5.1 approved by BOT on February 12, 2008	Addition
0.1b	January 16, 2008	Section F: added "1."; changed hyphen to "en dash." Changed font style for "Appendix 1" to Arial; updated version number to "0.1b"	Errata

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0.1b	October 29, 2008	BOT approved errata changes	Errata
0.1a	May 13, 2009	FERC Approved errata changes – version changed to 0.1a (Interpretation of R2, R2.2, R5, and R5.1 not yet approved)	Errata
0.1b	May 21, 2009	FERC Approved Interpretation of R2, R2.2, R5, and R5.1	Addition
1	February 7, 2013	Adopted by NERC Board of Trustees	Complete Revision under Project 2007-12
1	January 16, 2014	FERC Order issued approving BAL-003-1. (Order becomes effective for R2, R3, and R4 April 1, 2015. R1 becomes effective April 1, 2016.)	
1	May 7, 2014	NERC Board of Trustees adopted revisions to VRF and VSLs in Requirement R1.	

Attachment A

BAL-003-1 Frequency Response & Frequency Bias Setting Standard

Supporting Document

Interconnection Frequency Response Obligation (IFRO)

The ERO, in consultation with regional representatives, has established a target contingency protection criterion for each Interconnection called the Interconnection Frequency Response Obligation (IFRO). The default IFRO listed in Table 1 is based on the resource contingency criteria (RCC), which is the largest category C (N-2) event identified except for the Eastern Interconnection, which uses the largest event in the last 10 years. A maximum delta frequency (MDF) is calculated by adjusting a starting frequency for each Interconnection by the following:

- Prevailing UFLS first step
- CC_{Adj} which is the adjustment for the differences between 1-second and sub-second Point C observations for frequency events. A positive value indicates that the sub-second C data is lower than the 1-second data
- CB_R which is the statistically determined ratio of the Point C to Value B
- BC'_{Adj} which is the statistically determined adjustment for the event nadir being below the Value B (Eastern Interconnection only) during primary frequency response withdrawal.

The IFRO for each Interconnection in Table 1 is then calculated by dividing the RCC MWs by 10 times the MDF. In the Eastern Interconnection there is an additional adjustment (BC'_{Adj}) for the event nadir being below the Value B due to primary frequency response withdrawal. This IFRO includes uncertainty adjustments at a 95 % confidence level. Detailed descriptions of the calculations used in Table 1 below are defined in the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*.

Interconnection	Eastern	Western	ERCOT	HQ	Units
Starting Frequency (F_{Start})	59.974	59.976	59.963	59.972	Hz
Prevailing UFLS First Step	59.5*	59.5	59.3	58.5	Hz
Base Delta Frequency (DF_{Base})	0.474	0.476	0.663	1.472	Hz
CC_{ADJ}	0.007	0.004	0.012	N/A	Hz
Delta Frequency (DF_{CC})	0.467	0.472	0.651	1.472	Hz
CB_R	1.000	1.625	1.377	1.550	
Delta Frequency (DF_{CBR})	0.467	0.291	0.473	0.949	Hz
BC'_{ADJ}	0.018	N/A	N/A	N/A	Hz
Max. Delta Frequency (MDF)	0.449	0.291	0.473	0.949	
Resource Contingency Criteria (RCC)	4,500	2,740	2,750	1,700	MW
Credit for Load Resources (CLR)		300	1,400**		MW
IFRO	-1,002	-840	-286	-179	MW/0.1 Hz

Table 1: Interconnection Frequency Response Obligations

**The Eastern Interconnection UFLS set point listed is a compromise value set midway between the stable frequency minimum established in PRC-006-1 (59.3 Hz) and the local protection UFLS setting of 59.7 Hz used in Florida and Manitoba.*

***In the Base Obligation measure for ERCOT, 1400 MW (Load Resources triggered by Under Frequency Relays at 59.70 Hz) was reduced from its Resource Contingency Criteria level of 2750 MW to get 239 MW/0.1 Hz. This was reduced to accurately account for designed response from Load Resources within 30 cycles.*

An Interconnection may propose alternate IFRO protection criteria to the ERO by submitting a SAR with supporting technical documentation.

Balancing Authority Frequency Response Obligation (FRO) and Frequency Bias Setting

The ERO will manage the administrative procedure for annually assigning an FRO and implementation of the Frequency Bias Setting for each Balancing Authority. The annual timeline for all activities described in this section are shown below.

For a multiple Balancing Authority interconnection, the Interconnection Frequency Response Obligation shown in Table 1 is allocated based on the Balancing Authority annual load and annual generation. The FRO allocation will be based on the following method:

$$FRO_{BA} = IFRO \times \frac{\text{Annual Gen}_{BA} + \text{Annual Load}_{BA}}{\text{Annual Gen}_{Int} + \text{Annual Load}_{Int}}$$

Where:

- Annual Gen_{BA} is the total annual “Output of Generating Plants” within the Balancing Authority Area (BAA), on FERC Form 714, column c of Part II - Schedule 3.
- Annual Load_{BA} is total annual Load within the BAA, on FERC Form 714, column e of Part II - Schedule 3.
- Annual Gen_{Int} is the sum of all Annual Gen_{BA} values reported in that interconnection.
- Annual Load_{Int} is the sum of all Annual Load_{BA} values reported in that interconnection.

The data used for this calculation is from the most recently filed Form 714. As an example, a report to NERC in January 2013 would use the Form 714 data filed in 2012, which utilized data from 2011.

Balancing Authorities that are not FERC jurisdictional should use the Form 714 Instructions to assemble and submit equivalent data to the ERO for use in the FRO Allocation process.

Balancing Authorities that elect to form a FRSG will calculate a FRSG FRO by adding together the individual BA FRO’s.

Balancing Authorities that elect to form a FRSG as a means to jointly meet the FRO will calculate their FRM performance one of two ways:

- Calculate a group NI_A and measure the group response to all events in the reporting year on a single FRS Form 1, or
- Jointly submit the individual BAs’ Form 1s, with a summary spreadsheet that contains the sum of each participant’s individual event performance.

Balancing Authorities that merge or that transfer load or generation are encouraged to notify the ERO of the change in footprint and corresponding changes in allocation such that the net obligation to the Interconnection remains the same and so that CPS limits can be adjusted.

Each Balancing Authority reports its previous year's Frequency Response Measure (FRM), Frequency Bias Setting and Frequency Bias type (fixed or variable) to the ERO each year to allow the ERO to validate the revised Frequency Bias Settings on FRS Form 1. If the ERO posts the official list of events after the date specified in the timeline below, Balancing Authorities will be given 30 days from the date the ERO posts the official list of events to submit their FRS Form 1.

Once the ERO reviews the data submitted in FRS Form 1 and FRS Form 2 for all Balancing Authorities, the ERO will use FRS Form 1 data to post the following information for each Balancing Authority for the upcoming year:

- Frequency Bias Setting
- Frequency Response Obligation (FRO)

Once the data listed above is fully posted, the ERO will announce the three-day implementation period for changing the Frequency Bias Setting if it differs from that shown in the timeline below.

A BA using a fixed Frequency Bias Setting sets its Frequency Bias Setting to the greater of (in absolute value):

- Any number the BA chooses between 100% and 125% of its Frequency Response Measure as calculated on FRS Form 1
- Interconnection Minimum as determined by the ERO

For purposes of calculating the minimum Frequency Bias Setting, a Balancing Authority participating in a Frequency Response Sharing Group will need to calculate its stand-alone Frequency Response Measure using FRS Form 1 and FRS Form 2 to determine its minimum Frequency Bias Setting.

A Balancing Authority providing Overlap Regulation will report the historic peak demand and generation of its combined BAs' areas on FRS Form 1 as described in Requirement R4.

There are occasions when changes are needed to Bias Settings outside of the normal schedule. Examples are footprint changes between Balancing Authorities and major changes in load or generation or the formation of new Balancing Authorities. In such cases the changing Balancing Authorities will work with their Regions, NERC and the Resources Subcommittee to confirm appropriate changes to Bias Settings, FRO, CPS limits and Inadvertent Interchange balances.

If there is no net change to the Interconnection total Bias, the Balancing Authorities involved will agree on a date to implement their respective change in Bias Settings. The Balancing Authorities and ERO will also agree to the allocation of FRO such that the sum remains the same.

If there is a net change to the Interconnection total Bias, this will cause a change in CPS2 limits and FRO for other Balancing Authorities in the Interconnection. In this case, the ERO will notify the impacted Balancing Authorities of their respective changes and provide an implementation window for making the Bias Setting changes.

Frequency Response Measure (FRM)

The Balancing Authority will calculate its FRM from Single Event Frequency Response Data (SEFRD), defined as: "the data from an individual event from a Balancing Authority that is used to calculate its

Frequency Response, expressed in MW/0.1Hz" as calculated on FRS Form 2 for each event shown on FRS Form 1. The events in FRS Form 1 are selected by the ERO using the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*. The SEFRD for a typical Balancing Authority in an Interconnection with more than one Balancing Authority is basically the change in its Net Actual Interchange on its tie lines with its adjacent Balancing Authorities divided by the change in Interconnection frequency. (Some Balancing Authorities may choose to apply corrections to their Net Actual Interchange (NA_i) values to account for factors such as nonconforming loads. FRS Form 1 and 2 shows the types of adjustments that are allowed. Note that with the exception of the Contingent BA column, any adjustments made must be made for all events in an evaluation year. As an example, if an entity has non-conforming loads and makes an adjustment for one event, all events must show the non-conforming load, even if the non-conforming load does not impact the calculation. This ensures that the reports are not utilizing the adjustments only when they are favorable to the BA.) The ERO will use a standardized sampling interval of approximately 16 seconds before the event up to the time of the event for the pre-event NA_i and frequency (A values) and approximately 20 to 52 seconds after the event for the post-event NA_i (B values) in the computation of SEFRD values, dependent on the data scan rate of the Balancing Authority's Energy Management System (EMS).

All events listed on FRS Form 1 need to be included in the annual submission of FRS Forms 1 and 2. The only time a Balancing Authority should exclude an event is if its tie-line data or its Frequency data is corrupt or its EMS was unavailable. FRS Form 2 has instructions on how to correct the BA's data if the given event is internal to the BA or if other authorized adjustments are used.

Assuming data entry is correct FRS Form 1 will automatically calculate the Balancing Authority's FRM for the past 12 months as the median of the SEFRD values. A Balancing Authority electing to report as an FRSG or a provider of Overlap Regulation Service will provide an FRS Form 1 for the aggregate of its participants.

To allow Balancing authorities to plan its operations, events with a "Point C" that cause the Interconnection Frequency to be lower than that shown in Table 1 above (for example, an event in the Eastern Interconnection that causes the Interconnection Frequency to go to 59.4 Hz) or higher than an equal change in frequency going above 60 Hz may be included in the list of events for that interconnection. However, the calculation of the BA response to such an event will be adjusted to show a frequency change only to the Target Minimum Frequency shown in Table 1 above (in the previous example this adjustment would cause Frequency to be shown as 59.5 Hz rather than 59.4 HZ) or a high frequency amount of an equal quantity. Should such an event happen, the ERO will provide additional guidance.

Timeline for Balancing Authority Frequency Response and Frequency Bias Setting Activities

Described below is the timeline for the exchange of information between the ERO and Balancing Authorities (BA) to:

- Facilitate the assignment of BA Frequency Response Obligations (FRO)
- Calculate BA Frequency Response Measures (FRM)
- Determine BA Frequency Bias Settings (FBS)

Standard BAL-003-1 — Frequency Response and Frequency Bias Setting

Target Date	Activity
April 30	The ERO reviews candidate frequency events and selects frequency events for the first quarter (December to February).
May 10	Form1 is posted with selected events from the first quarter for BA usage by the ERO.
May 15	The BAs receive a request to provide load and generation data as described in Attachment A to support FRO assignments and determining minimum FBS for BAs.
July 15	The BAs provide load and generation data as described in Attachment A to the ERO.
July 30	The ERO reviews candidate frequency events and selects frequency events for the second quarter (March to May).
August 10	Form1 is posted with selected events from the first and second quarters for BA usage by the ERO.
October 30	The ERO reviews candidate frequency events and selects frequency events for the third quarter (June to August)
November 10	Form1 is posted with selected events from the first, second, and third quarters for BA usage by the ERO.
November 20	If necessary, the ERO provides any updates to the necessary Frequency Response.
November 20	The ERO provides the fractional responsibility of each BA for the Interconnection's FRO and Minimum FBS to the BAs.
January 30	The ERO reviews candidate frequency events and selects frequency events for the fourth quarter (September to November).
2 nd business day in February	Form1 is posted with all selected events for the year for BA usage by the ERO.
February 10	The ERO assigns FRO values to the BAs for the upcoming year.
March 7	BAs complete their frequency response sampling for all four quarters and their FBS calculation, returning the results to the ERO.
March 24	The ERO validates FBS values, computes the sum of all FBS values for each Interconnection, and determines L10 values for the CPS 2 criterion for each BA as applicable.
Any time during first 3 business days of April (unless specified otherwise by the ERO)	The BA implements any changes to their FBS and L10 value.

A. Introduction

Title: Frequency Response and Frequency Bias Setting

Number: BAL-003-1

Purpose: To require sufficient Frequency Response from the Balancing Authority (BA) to maintain Interconnection Frequency within predefined bounds by arresting frequency deviations and supporting frequency until the frequency is restored to its scheduled value. To provide consistent methods for measuring Frequency Response and determining the Frequency Bias Setting.

Applicability:

1.1. Balancing Authority

1.1.1 The Balancing Authority is the responsible entity unless the Balancing Authority is a member of a Frequency Response Sharing Group, in which case, the Frequency Response Sharing Group becomes the responsible entity.

1.2. Frequency Response Sharing Group

Effective Date:

1.3. In those jurisdictions where regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R2, R3 and R4 of this standard shall become effective the first calendar day of the first calendar quarter 12 months after Board of Trustees adoption.

1.4. In those jurisdictions where regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirements R1 of this standard shall become effective the first calendar day of the first calendar quarter 24 months after Board of Trustees adoption.

B. Requirements

R1. Each Frequency Response Sharing Group (FRSG) or Balancing Authority that is not a member of a FRSG shall achieve an annual Frequency Response Measure (FRM) (as calculated and reported in accordance with Attachment A) that is equal to or more negative than its Frequency Response Obligation (FRO) to ensure that sufficient Frequency Response is provided by each FRSG or BA that is not a member of a FRSG to maintain Interconnection Frequency Response equal to or more negative than the Interconnection Frequency Response Obligation. [*Risk Factor: [MediumHigh](#)][Time Horizon: Real-time Operations]*

- R2.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a fixed Frequency Bias Setting shall implement the Frequency Bias Setting determined in accordance with Attachment A, as validated by the ERO, into its Area Control Error (ACE) calculation during the implementation period specified by the ERO and shall use this Frequency Bias Setting until directed to change by the ERO. *[Risk Factor: Medium][Time Horizon: Operations Planning]*
- R3.** Each Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and is utilizing a variable Frequency Bias Setting shall maintain a Frequency Bias Setting that is: *[Risk Factor: Medium][Time Horizon: Operations Planning]*
- 1.1** Less than zero at all times, and
- 1.2** Equal to or more negative than its Frequency Response Obligation when Frequency varies from 60 Hz by more than +/- 0.036 Hz.
- R4.** Each Balancing Authority that is performing Overlap Regulation Service shall modify its Frequency Bias Setting in its ACE calculation, in order to represent the Frequency Bias Setting for the combined Balancing Authority Area, to be equivalent to either: *[Risk Factor: Medium][Time Horizon: Operations Planning]*
- The sum of the Frequency Bias Settings as shown on FRS Form 1 and FRS Form 2 for the participating Balancing Authorities as validated by the ERO, or
 - The Frequency Bias Setting shown on FRS Form 1 and FRS Form 2 for the entirety of the participating Balancing Authorities' Areas.

C. Measures

- M1.** Each Frequency Response Sharing Group or Balancing Authority that is not a member of a Frequency Response Sharing Group shall have evidence such as dated data plus documented formula in either hardcopy or electronic format that it achieved an annual FRM (in accordance with the methods specified by the ERO in Attachment A with data from FRS Form 1 reported to the ERO as specified in Attachment A) that is equal to or more negative than its FRO to demonstrate compliance with Requirement R1.
- M2.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service shall have evidence such as a dated document in hard copy or electronic format showing the ERO validated Frequency Bias Setting was implemented into its ACE calculation within the implementation period specified or other evidence to demonstrate compliance with Requirement R2.
- M3.** The Balancing Authority that is a member of a multiple Balancing Authority Interconnection, is not receiving Overlap Regulation Service and is utilizing variable Frequency Bias shall have evidence such as a dated report in hard copy or electronic format showing the average clock-minute average Frequency Bias Setting was less than zero and during periods when the clock-minute average frequency was outside of

the range 59.964 Hz to 60.036 Hz was equal to or more negative than its Frequency Response Obligation to demonstrate compliance with Requirement R3.

- M4.** The Balancing Authority shall have evidence such as a dated operating log, database or list in hard copy or electronic format showing that when it performed Overlap Regulation Service, it modified its Frequency Bias Setting in its ACE calculation as specified in Requirement R4 to demonstrate compliance with Requirement R4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity is the Compliance Enforcement Authority except where the responsible entity works for the Regional Entity. Where the responsible entity works for the Regional Entity, the Regional Entity will establish an agreement with the ERO or another entity approved by the ERO and FERC (i.e. another Regional Entity), to be responsible for compliance enforcement.

1.2. Compliance Monitoring and Assessment Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.3. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Balancing Authority shall retain data or evidence to show compliance with Requirements R1, R2, R3 and R4, Measures M1, M2, M3 and M4 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

The Frequency Response Sharing Group shall retain data or evidence to show compliance with Requirement R1 and Measure M1 for the current year plus the previous three calendar years unless directed by its Compliance Enforcement

Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Balancing Authority or Frequency Response Sharing Group is found non-compliant, it shall keep information related to the non-compliance until found compliant or for the time period specified above, whichever is longer.

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

1.4. Additional Compliance Information

For Interconnections that are also Balancing Authorities, Tie Line Bias control and flat frequency control are equivalent and either is acceptable.

2.0 Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1	The summation of the Balancing Authorities' FRM within an Interconnection was equal to or more negative than the Interconnection's IFRO, and the The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The summation of the Balancing Authorities' FRM within an Interconnection was equal to or more negative than the Interconnection's IFRO, and the The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO	The summation of the Balancing Authorities' FRM within an Interconnection did not meet its IFRO, and the The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 1% but by at most 30% or 15 MW/0.1 Hz, whichever one is the greater deviation from its FRO	The summation of the Balancing Authorities' FRM within an Interconnection did not meet its IFRO, and the The Balancing Authority's, or Frequency Response Sharing Group's, FRM was less negative than its FRO by more than 30% or by more than 15 MW/0.1 Hz, whichever is the greater deviation from its FRO
R2	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation	The Balancing Authority in a multiple Balancing Authority Interconnection and not receiving Overlap Regulation

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	Service and uses a fixed Frequency Bias Setting failed to implement the validated Frequency Bias Setting value into its ACE calculation within the implementation period specified but did so within 5 calendar days from the implementation period specified by the ERO.	Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 5 calendar days but less than or equal to 15 calendar days from the implementation period specified by the ERO.	Service and uses a fixed Frequency Bias Setting implemented the validated Frequency Bias Setting value into its ACE calculation in more than 15 calendar days but less than or equal to 25 calendar days from the implementation period specified by the ERO.	Service and uses a fixed Frequency Bias Setting did not implement the validated Frequency Bias Setting value into its ACE calculation in more than 25 calendar days from the implementation period specified by the ERO.
R3	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and is not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 1% but by at most 10%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 10% but by at most 20%.	The Balancing Authority that is a member of a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response Obligation by more than 20% but by at most 30%.	The Balancing Authority that is a multiple Balancing Authority Interconnection and not receiving Overlap Regulation Service and uses a variable Frequency Bias Setting average Frequency Bias Setting during periods when the clock-minute average frequency was outside of the range 59.964 Hz to 60.036 Hz was less negative than its Frequency Response obligation by more than 30%..
R4	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing	The Balancing Authority incorrectly changed the Frequency Bias Setting value used in its ACE calculation when providing

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	Overlap Regulation Services with combined footprint setting-error less than or equal to 10% of the validated or calculated value.	Overlap Regulation Services with combined footprint setting-error more than 10% but less than or equal to 20% of the validated or calculated value.	Overlap Regulation Services with combined footprint setting-error more than 20% but less than or equal to 30% of the validated or calculated value.	Overlap Regulation Services with combined footprint setting-error more than 30% of the validated or calculated value. OR The Balancing Authority failed to change the Frequency Bias Setting value used in its ACE calculation when providing Overlap Regulation Services.
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E. Regional Variance

None

F. Associated Documents

Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard

FRS Form 1

FRS Form 2

Frequency Response Standard Background Document

G. Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
0	March 16, 2007	FERC Approval — Order 693	New
0a	December 19, 2007	Added Appendix 1 — Interpretation of R3 approved by BOT on October 23, 2007	Addition
0a	July 21, 2008	FERC Approval of Interpretation of R3	Addition

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0b	February 12, 2008	Added Appendix 2 — Interpretation of R2, R2.2, R5, and R5.1 approved by BOT on February 12, 2008	Addition
0.1b	January 16, 2008	Section F: added “1.”; changed hyphen to “en dash.” Changed font style for “Appendix 1” to Arial; updated version number to “0.1b”	Errata
0.1b	October 29, 2008	BOT approved errata changes	Errata
0.1a	May 13, 2009	FERC Approved errata changes – version changed to 0.1a (Interpretation of R2, R2.2, R5, and R5.1 not yet approved)	Errata
0.1b	May 21, 2009	FERC Approved Interpretation of R2, R2.2, R5, and R5.1	Addition
1	February 7, 2013	Adopted by NERC Board of Trustees	Complete Revision under Project 2007-12
1	January 16, 2014	FERC Order issued approving BAL-003-1. (Order becomes effective for R2, R3, and R4 April 1, 2015. R1 becomes effective April 1, 2016.)	
<u>1</u>	<u>May 7, 2014</u>	<u>NERC Board of Trustees adopted revisions to VRF and VSLs in Requirement R1.</u>	

Attachment A

BAL-003-1 Frequency Response & Frequency Bias Setting Standard

Supporting Document

Interconnection Frequency Response Obligation (IFRO)

The ERO, in consultation with regional representatives, has established a target contingency protection criterion for each Interconnection called the Interconnection Frequency Response Obligation (IFRO). The default IFRO listed in Table 1 is based on the resource contingency criteria (RCC), which is the largest category C (N-2) event identified except for the Eastern Interconnection, which uses the largest event in the last 10 years. A maximum delta frequency (MDF) is calculated by adjusting a starting frequency for each Interconnection by the following:

- Prevailing UFLS first step
- CC_{Adj} which is the adjustment for the differences between 1-second and sub-second Point C observations for frequency events. A positive value indicates that the sub-second C data is lower than the 1-second data
- CB_R which is the statistically determined ratio of the Point C to Value B
- BC'_{Adj} which is the statistically determined adjustment for the event nadir being below the Value B (Eastern Interconnection only) during primary frequency response withdrawal.

The IFRO for each Interconnection in Table 1 is then calculated by dividing the RCC MWs by 10 times the MDF. In the Eastern Interconnection there is an additional adjustment (BC'_{Adj}) for the event nadir being below the Value B due to primary frequency response withdrawal. This IFRO includes uncertainty adjustments at a 95 % confidence level. Detailed descriptions of the calculations used in Table 1 below are defined in the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*.

Interconnection	Eastern	Western	ERCOT	HQ	Units
Starting Frequency (F_{Start})	59.974	59.976	59.963	59.972	Hz
Prevailing UFLS First Step	59.5*	59.5	59.3	58.5	Hz
Base Delta Frequency (DF_{Base})	0.474	0.476	0.663	1.472	Hz
CC_{ADJ}	0.007	0.004	0.012	N/A	Hz
Delta Frequency (DF_{CC})	0.467	0.472	0.651	1.472	Hz
CB_R	1.000	1.625	1.377	1.550	
Delta Frequency (DF_{CBR})	0.467	0.291	0.473	0.949	Hz
BC'_{ADJ}	0.018	N/A	N/A	N/A	Hz
Max. Delta Frequency (MDF)	0.449	0.291	0.473	0.949	
Resource Contingency Criteria (RCC)	4,500	2,740	2,750	1,700	MW
Credit for Load Resources (CLR)		300	1,400**		MW
IFRO	-1,002	-840	-286	-179	MW/0.1 Hz

Table 1: Interconnection Frequency Response Obligations

**The Eastern Interconnection UFLS set point listed is a compromise value set midway between the stable frequency minimum established in PRC-006-1 (59.3 Hz) and the local protection UFLS setting of 59.7 Hz used in Florida and Manitoba.*

***In the Base Obligation measure for ERCOT, 1400 MW (Load Resources triggered by Under Frequency Relays at 59.70 Hz) was reduced from its Resource Contingency Criteria level of 2750 MW to get 239 MW/0.1 Hz. This was reduced to accurately account for designed response from Load Resources within 30 cycles.*

An Interconnection may propose alternate IFRO protection criteria to the ERO by submitting a SAR with supporting technical documentation.

Balancing Authority Frequency Response Obligation (FRO) and Frequency Bias Setting

The ERO will manage the administrative procedure for annually assigning an FRO and implementation of the Frequency Bias Setting for each Balancing Authority. The annual timeline for all activities described in this section are shown below.

For a multiple Balancing Authority interconnection, the Interconnection Frequency Response Obligation shown in Table 1 is allocated based on the Balancing Authority annual load and annual generation. The FRO allocation will be based on the following method:

$$FRO_{BA} = IFRO \times \frac{\text{Annual Gen}_{BA} + \text{Annual Load}_{BA}}{\text{Annual Gen}_{Int} + \text{Annual Load}_{Int}}$$

Where:

- Annual Gen_{BA} is the total annual "Output of Generating Plants" within the Balancing Authority Area (BAA), on FERC Form 714, column c of Part II - Schedule 3.
- Annual Load_{BA} is total annual Load within the BAA, on FERC Form 714, column e of Part II - Schedule 3.
- Annual Gen_{Int} is the sum of all Annual Gen_{BA} values reported in that interconnection.
- Annual Load_{Int} is the sum of all Annual Load_{BA} values reported in that interconnection.

The data used for this calculation is from the most recently filed Form 714. As an example, a report to NERC in January 2013 would use the Form 714 data filed in 2012, which utilized data from 2011.

Balancing Authorities that are not FERC jurisdictional should use the Form 714 Instructions to assemble and submit equivalent data to the ERO for use in the FRO Allocation process.

Balancing Authorities that elect to form a FRSG will calculate a FRSG FRO by adding together the individual BA FRO's.

Balancing Authorities that elect to form a FRSG as a means to jointly meet the FRO will calculate their FRM performance one of two ways:

- Calculate a group NI_A and measure the group response to all events in the reporting year on a single FRS Form 1, or
- Jointly submit the individual BAs' Form 1s, with a summary spreadsheet that contains the sum of each participant's individual event performance.

Balancing Authorities that merge or that transfer load or generation are encouraged to notify the ERO of the change in footprint and corresponding changes in allocation such that the net obligation to the Interconnection remains the same and so that CPS limits can be adjusted.

Each Balancing Authority reports its previous year's Frequency Response Measure (FRM), Frequency Bias Setting and Frequency Bias type (fixed or variable) to the ERO each year to allow the ERO to validate the revised Frequency Bias Settings on FRS Form 1. If the ERO posts the official list of events after the date specified in the timeline below, Balancing Authorities will be given 30 days from the date the ERO posts the official list of events to submit their FRS Form 1.

Once the ERO reviews the data submitted in FRS Form 1 and FRS Form 2 for all Balancing Authorities, the ERO will use FRS Form 1 data to post the following information for each Balancing Authority for the upcoming year:

- Frequency Bias Setting
- Frequency Response Obligation (FRO)

Once the data listed above is fully posted, the ERO will announce the three-day implementation period for changing the Frequency Bias Setting if it differs from that shown in the timeline below.

A BA using a fixed Frequency Bias Setting sets its Frequency Bias Setting to the greater of (in absolute value):

- Any number the BA chooses between 100% and 125% of its Frequency Response Measure as calculated on FRS Form 1
- Interconnection Minimum as determined by the ERO

For purposes of calculating the minimum Frequency Bias Setting, a Balancing Authority participating in a Frequency Response Sharing Group will need to calculate its stand-alone Frequency Response Measure using FRS Form 1 and FRS Form 2 to determine its minimum Frequency Bias Setting.

A Balancing Authority providing Overlap Regulation will report the historic peak demand and generation of its combined BAs' areas on FRS Form 1 as described in Requirement R4.

There are occasions when changes are needed to Bias Settings outside of the normal schedule. Examples are footprint changes between Balancing Authorities and major changes in load or generation or the formation of new Balancing Authorities. In such cases the changing Balancing Authorities will work with their Regions, NERC and the Resources Subcommittee to confirm appropriate changes to Bias Settings, FRO, CPS limits and Inadvertent Interchange balances.

If there is no net change to the Interconnection total Bias, the Balancing Authorities involved will agree on a date to implement their respective change in Bias Settings. The Balancing Authorities and ERO will also agree to the allocation of FRO such that the sum remains the same.

If there is a net change to the Interconnection total Bias, this will cause a change in CPS2 limits and FRO for other Balancing Authorities in the Interconnection. In this case, the ERO will notify the impacted Balancing Authorities of their respective changes and provide an implementation window for making the Bias Setting changes.

Frequency Response Measure (FRM)

The Balancing Authority will calculate its FRM from Single Event Frequency Response Data (SEFRD), defined as: "the data from an individual event from a Balancing Authority that is used to calculate its

Frequency Response, expressed in MW/0.1Hz" as calculated on FRS Form 2 for each event shown on FRS Form 1. The events in FRS Form 1 are selected by the ERO using the *Procedure for ERO Support of Frequency Response and Frequency Bias Setting Standard*. The SEFRD for a typical Balancing Authority in an Interconnection with more than one Balancing Authority is basically the change in its Net Actual Interchange on its tie lines with its adjacent Balancing Authorities divided by the change in Interconnection frequency. (Some Balancing Authorities may choose to apply corrections to their Net Actual Interchange (NA_i) values to account for factors such as nonconforming loads. FRS Form 1 and 2 shows the types of adjustments that are allowed. Note that with the exception of the Contingent BA column, any adjustments made must be made for all events in an evaluation year. As an example, if an entity has non-conforming loads and makes an adjustment for one event, all events must show the non-conforming load, even if the non-conforming load does not impact the calculation. This ensures that the reports are not utilizing the adjustments only when they are favorable to the BA.) The ERO will use a standardized sampling interval of approximately 16 seconds before the event up to the time of the event for the pre-event NA_i and frequency (A values) and approximately 20 to 52 seconds after the event for the post-event NA_i (B values) in the computation of SEFRD values, dependent on the data scan rate of the Balancing Authority's Energy Management System (EMS).

All events listed on FRS Form 1 need to be included in the annual submission of FRS Forms 1 and 2. The only time a Balancing Authority should exclude an event is if its tie-line data or its Frequency data is corrupt or its EMS was unavailable. FRS Form 2 has instructions on how to correct the BA's data if the given event is internal to the BA or if other authorized adjustments are used.

Assuming data entry is correct FRS Form 1 will automatically calculate the Balancing Authority's FRM for the past 12 months as the median of the SEFRD values. A Balancing Authority electing to report as an FRSG or a provider of Overlap Regulation Service will provide an FRS Form 1 for the aggregate of its participants.

To allow Balancing authorities to plan its operations, events with a "Point C" that cause the Interconnection Frequency to be lower than that shown in Table 1 above (for example, an event in the Eastern Interconnection that causes the Interconnection Frequency to go to 59.4 Hz) or higher than an equal change in frequency going above 60 Hz may be included in the list of events for that interconnection. However, the calculation of the BA response to such an event will be adjusted to show a frequency change only to the Target Minimum Frequency shown in Table 1 above (in the previous example this adjustment would cause Frequency to be shown as 59.5 Hz rather than 59.4 HZ) or a high frequency amount of an equal quantity. Should such an event happen, the ERO will provide additional guidance.

Timeline for Balancing Authority Frequency Response and Frequency Bias Setting Activities

Described below is the timeline for the exchange of information between the ERO and Balancing Authorities (BA) to:

- Facilitate the assignment of BA Frequency Response Obligations (FRO)
- Calculate BA Frequency Response Measures (FRM)
- Determine BA Frequency Bias Settings (FBS)

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Target Date	Activity
April 30	The ERO reviews candidate frequency events and selects frequency events for the first quarter (December to February).
May 10	Form1 is posted with selected events from the first quarter for BA usage by the ERO.
May 15	The BAs receive a request to provide load and generation data as described in Attachment A to support FRO assignments and determining minimum FBS for BAs.
July 15	The BAs provide load and generation data as described in Attachment A to the ERO.
July 30	The ERO reviews candidate frequency events and selects frequency events for the second quarter (March to May).
August 10	Form1 is posted with selected events from the first and second quarters for BA usage by the ERO.
October 30	The ERO reviews candidate frequency events and selects frequency events for the third quarter (June to August)
November 10	Form1 is posted with selected events from the first, second, and third quarters for BA usage by the ERO.
November 20	If necessary, the ERO provides any updates to the necessary Frequency Response.
November 20	The ERO provides the fractional responsibility of each BA for the Interconnection's FRO and Minimum FBS to the BAs.
January 30	The ERO reviews candidate frequency events and selects frequency events for the fourth quarter (September to November).
2 nd business day in February	Form1 is posted with all selected events for the year for BA usage by the ERO.
February 10	The ERO assigns FRO values to the BAs for the upcoming year.
March 7	BAs complete their frequency response sampling for all four quarters and their FBS calculation, returning the results to the ERO.
March 24	The ERO validates FBS values, computes the sum of all FBS values for each Interconnection, and determines L10 values for the CPS 2 criterion for each BA as applicable.
Any time during first 3 business days of April (unless specified otherwise by the ERO)	The BA implements any changes to their FBS and L10 value.

MOD-026-1 Clean and Redline Standard

A. Introduction

1. **Title:** Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions
2. **Number:** MOD-026-1
3. **Purpose:** To verify that the generator excitation control system or plant volt/var control function¹ model (including the power system stabilizer model and the impedance compensator model) and the model parameters used in dynamic simulations accurately represent the generator excitation control system or plant volt/var control function behavior when assessing Bulk Electric System (BES) reliability.

4. **Applicability:**

4.1. Functional Entities:

- 4.1.1 Generator Owner
- 4.1.2 Transmission Planner

4.2. Facilities:

For the purpose of the requirements contained herein, Facilities that are directly connected to the Bulk Electric System (BES) will be collectively referred as an “applicable unit” that meet the following:

- 4.2.1 Generation in the Eastern or Quebec Interconnections with the following characteristics:
 - 4.2.1.1 Individual generating unit greater than 100 MVA (gross nameplate rating).
 - 4.2.1.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 100 MVA (gross aggregate nameplate rating).
- 4.2.2 Generation in the Western Interconnection with the following characteristics:
 - 4.2.2.1 Individual generating unit greater than 75 MVA (gross nameplate rating).
 - 4.2.2.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).

¹ Excitation control system or plant volt/var control function:

- a. For individual synchronous machines, the generator excitation control system includes the generator, exciter, voltage regulator, impedance compensation and power system stabilizer.
- b. For an aggregate generating plant, the volt/var control system includes the voltage regulator & reactive power control system controlling and coordinating plant voltage and associated reactive capable resources.

Standard MOD-026-1 — Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions

- 4.2.3** Generation in the ERCOT Interconnection with the following characteristics:
- 4.2.3.1** Individual generating unit greater than 50 MVA (gross nameplate rating).
 - 4.2.3.2** Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).
- 4.2.4** For all Interconnections:
- A technically justified² unit that meets NERC registry criteria but is not otherwise included in the above Applicability sections 4.2.1, 4.2.2, or 4.2.3 and is requested by the Transmission Planner.

5. Effective Date:

- 5.1.** For Requirements R1, and R3 through R6, the first day of the first calendar quarter beyond the date that this standard is approved by applicable regulatory authorities or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities. In those jurisdictions where regulatory approval is not required, the standard shall become effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.2.** For Requirement R2, 30 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is four years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is four years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.3.** For Requirement R2, 50 percent of the entity's applicable unit gross MVA for each Interconnection on first day of the first calendar quarter that is six years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is six years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.4.** For Requirement R2, 100 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is 10 years

² Technical justification is achieved by the Transmission Planner demonstrating that the simulated unit or plant response does not match the measured unit or plant response.

Standard MOD-026-1 — Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions

following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is 10 years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1.** Each Transmission Planner shall provide the following requested information to the Generator Owner within 90 calendar days of receiving a written request : *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- Instructions on how to obtain the list of excitation control system or plant volt/var control function models that are acceptable to the Transmission Planner for use in dynamic simulation,
 - Instructions on how to obtain the dynamic excitation control system or plant volt/var control function model library block diagrams and/or data sheets for models that are acceptable to the Transmission Planner, or
 - Model data for any of the Generator Owner’s existing applicable unit specific excitation control system or plant volt/var control function contained in the Transmission Planner’s dynamic database from the current (in-use) models, including generator MVA base.
- R2.** Each Generator Owner shall provide for each applicable unit, a verified generator excitation control system or plant volt/var control function model, including documentation and data (as specified in Part 2.1) to its Transmission Planner in accordance with the periodicity specified in MOD-026 Attachment 1. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- 2.1.** Each applicable unit’s model shall be verified by the Generator Owner using one or more models acceptable to the Transmission Planner. Verification for individual units less than 20 MVA (gross nameplate rating) in a generating plant (per Section 4.2.1.2, 4.2.2.2, or 4.2.3.2) may be performed using either individual unit or aggregate unit model(s), or both. Each verification shall include the following:
- 2.1.1.** Documentation demonstrating the applicable unit’s model response matches the recorded response for a voltage excursion from either a staged test or a measured system disturbance,
 - 2.1.2.** Manufacturer, model number (if available), and type of the excitation control system including, but not limited to static, AC brushless, DC rotating, and/or the plant volt/var control function (if installed),
 - 2.1.3.** Model structure and data including, but not limited to reactance, time constants, saturation factors, total rotational inertia, or equivalent data for the generator,

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- 2.1.4. Model structure and data for the excitation control system, including the closed loop voltage regulator if a closed loop voltage regulator is installed or the model structure and data for the plant volt/var control function system,
 - 2.1.5. Compensation settings (such as droop, line drop, differential compensation), if used, and
 - 2.1.6. Model structure and data for power system stabilizer, if so equipped.
- R3.** Each Generator Owner shall provide a written response to its Transmission Planner within 90 calendar days of receiving one of the following items for an applicable unit:
- Written notification from its Transmission Planner (in accordance with Requirement R6) that the excitation control system or plant volt/var control function model is not usable,
 - Written comments from its Transmission Planner identifying technical concerns with the verification documentation related to the excitation control system or plant volt/var control function model, or
 - Written comments and supporting evidence from its Transmission Planner indicating that the simulated excitation control system or plant volt/var control function model response did not match the recorded response to a transmission system event.

The written response shall contain either the technical basis for maintaining the current model, the model changes, or a plan to perform model verification³ (in accordance with Requirement R2). [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R4.** Each Generator Owner shall provide revised model data or plans to perform model verification⁴ (in accordance with Requirement R2) for an applicable unit to its Transmission Planner within 180 calendar days of making changes to the excitation control system or plant volt/var control function that alter the equipment response characteristic.⁵ [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

³ If verification is performed, the 10-year period as outlined in MOD-026 Attachment 1 is reset.

⁴ Ibid

⁵ Exciter, voltage regulator, plant volt/var or power system stabilizer control replacement including software alterations that alter excitation control system equipment response, plant digital control system addition or replacement, plant digital control system software alterations that alter excitation control system equipment response, plant volt/var function equipment addition or replacement (such as static var systems, capacitor banks, individual unit excitation systems, etc), a change in the voltage control mode (such as going from power factor control to automatic voltage control, etc), exciter, voltage regulator, impedance compensator, or power system stabilizer settings change. Automatic changes in settings that occur due to changes in operating mode do not apply to Requirement R4.

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- R5.** Each Generator Owner shall provide a written response to its Transmission Planner, within 90 calendar days following receipt of a technically justified⁶ unit request from the Transmission Planner to perform a model review of a unit or plant that includes one of the following: [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]
- Details of plans to verify the model (in accordance with Requirement R2), or
 - Corrected model data including the source of revised model data such as discovery of manufacturer test values to replace generic model data or updating of data parameters based on an on-site review of the equipment.
- R6.** Each Transmission Planner shall provide a written response to the Generator Owner within 90 calendar days of receiving the verified excitation control system or plant volt/var control function model information in accordance with Requirement R2 that the model is usable (meets the criteria specified in Parts 6.1 through 6.3) or is not usable.
- 6.1.** The excitation control system or plant volt/var control function model initializes to compute modeling data without error,
- 6.2.** A no-disturbance simulation results in negligible transients, and
- 6.3.** For an otherwise stable simulation, a disturbance simulation results in the excitation control and plant volt/var control function model exhibiting positive damping.

If the model is not usable, the Transmission Planner shall provide a technical description of why the model is not usable. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*]

C. Measures

- M1.** The Transmission Planner must have and provide the dated request for instructions or data, the transmitted instructions or data, and dated evidence of a written transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence that it provided the request within 90 calendar days in accordance with Requirement R1.
- M2.** The Generator Owner must have and provide dated evidence it verified each generator excitation control system or plant volt/var control function model according to Part 2.1 for each applicable unit and a dated transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence it provided the model, documentation, and data to its Transmission Planner, in accordance with Requirement R2.
- M3.** Evidence for Requirement R3 must include the Generator Owner's dated written response containing the information identified in Requirement R3 and dated evidence

⁶ Technical justification is achieved by the Transmission Planner demonstrating that the simulated unit or plant response does not match the measured unit or plant response.

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of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) of the response.

- M4.** Evidence for Requirement R4 must include, for each of the Generator Owner's applicable units for which system changes specified in Requirement R4 were made, a dated revised model data or plans to perform a model verification and dated evidence (e.g., electronic mail message, postal receipt, or confirmation of facsimile) it provided the revised model and data or plans within 180 calendar days of making changes.
- M5.** Evidence for Requirement R5 must include the Generator Owner's dated written response containing the information identified in Requirement R5 and dated evidence (e.g., electronic mail message, postal receipt, or confirmation of facsimile) it provided a written response within 90 calendar days following receipt of a technically justified request.
- M6.** Evidence of Requirement R6 must include, for each model received, the dated response indicating the model was usable or not usable according to the criteria specified in Parts 6.1 through 6.3 and for a model that is not usable, a technical description; and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) that the Generator Owner was notified within 90 calendar days of receipt of model information.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity shall serve as the Compliance Enforcement Authority unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases the ERO or a Regional entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Generator Owner and Transmission Planner 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 Transmission Planner shall retain the information/data request and provided response evidence of Requirements R1 and R6, Measures M1 and M6 for three calendar years from the date the document was provided.

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- The Generator Owner shall retain the latest excitation control system or plant volt/var control function model verification evidence of Requirement R2, Measure M2.
- The Generator Owner shall retain the information/data request and provided response evidence of Requirements R3 through R5, and Measures M3 through M5 for three calendar years from the date the document was provided.

If a Generator Owner or Transmission Planner is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete or approved or for the time specified above, whichever is longer.

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

1.3. Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.4. Additional Compliance Information

None

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2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Transmission Planner provided the instructions and data to the Generator Owner more than 90 calendar days but less than or equal to 120 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 120 calendar days but less than or equal to 150 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 150 calendar days but less than or equal to 180 calendar days of receiving a written request.	The Transmission Planner failed to provide the instructions and data to the Generator Owner within 180 calendar days of receiving a written request.
R2	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner after the timeframe specified in MOD-026 Attachment 1 but less than or equal to 90 calendar days late;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted one of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner more than 90 calendar days but less than or equal to 180 calendar days late as specified by the periodicity timeframe in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted two of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner more than 180 calendar days but less than or equal to 270 calendar days late as specified by the periodicity timeframe in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted three of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data more than 270 calendar days late to its Transmission Planner in accordance with the periodicity specified in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner failed to use model(s) acceptable to the Transmission Planner as specified in Requirement R2, Part 2.1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified model(s) but omitted four or more of the six parts identified in Requirement R2, Subparts 2.1.1 through 2.1.6.</p>

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days of receiving written notice.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days of receiving written notice.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days of receiving written notice.	The Generator Owner failed to provide a written response within 180 calendar days of receiving written notice. OR The Generator Owner's written response failed to contain either the technical basis for maintaining the current model, or a list of future model changes, or a plan to perform another model verification.
R4	The Generator Owner provided revised model data or plans to perform model verification more than 180 calendar days but less than or equal to 210 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 210 calendar days but less than or equal to 240 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 240 calendar days but less than or equal to 270 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner failed to provide revised model data or failed to provide plans to perform model verification within 270 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.
R5	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner failed to provide a written response to the Transmission Planner within 180 calendar days following receipt of a technically justified request to perform a model review of an applicable unit. OR The Generator Owner's written response failed to include one of the sub bullets of Requirement R5.

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R6	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information.;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner within 90 calendar days indicating that the model is not usable; but did not include a technical description.</p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 120 calendar days but less than or equal to 150 calendar days of receiving the verified model information.</p> <p>OR</p> <p>The Transmission Planner’s written response omitted confirmation for one of the specified model criteria listed in Requirement R6, Parts 6.1 through 6.3.;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information.</p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 150 calendar days but less than or equal to 180 calendar days of receiving the verified model information.</p> <p>OR</p> <p>The Transmission Planner’s written response omitted confirmation for two of the specified model criteria listed in Requirement R6, Parts 6.1 through 6.3.;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 120 calendar days but less than or equal to 150 calendar days of receiving verified model information.</p>	<p>The Transmission Planner failed to provide a written response to the Generator Owner within 180 calendar days of receiving the verified model information.</p> <p>OR</p> <p>The Transmission Planner’s written response omitted confirmation for all specified model criteria listed in Requirement R6, Parts 6.1 through 6.3.;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 150 calendar days after receiving verified model information.</p>

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E. Regional Variances

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
1	February 7, 2013	Adopted by NERC Board of Trustees	New
1	March 20, 2014	FERC Order issued approving MOD-026-1. (Order becomes effective for R1, R3, R4, R5, and R6 on 7/1/14. R2 becomes effective on 7/1/18.)	
1	May 7, 2014	NERC Board of Trustees adopted revisions to VSLs in Requirement R6.	

G. References

The following documents contain technical information beyond the scope of this Standard on excitation control system functionality, modeling, and testing.

1. IEEE 421.1 Definitions for Excitation Systems for Synchronous Machines
2. IEEE 421.2 Guide for Identification, Testing, and Evaluation of the Dynamic Performance of Excitation Control Systems
3. IEEE 421.5 IEEE Recommended Practice for Excitation System Models for Power System Stability Studies
4. K. Clark, R.A. Walling, N.W. Miller, "Solar Photovoltaic (PV) Plant Models in PSLF," IEEE/PES General Meeting, Detroit, MI, July 2011
5. M. Asmine, J. Brochu, J. Fortmann, R. Gagnon, Y. Kazachkov, C.-E. Langlois, C. Larose, E. Muljadi, J. MacDowell, P. Pourbeik, S. A. Seman, and K. Wiens, "Model Validation for Wind Turbine Generator Models", IEEE Transactions on Power System, Volume 26, Issue 3, August 2011
6. A. Ellis, E. Muljadi, J. Sanchez-Gasca, Y. Kazachkov, "Generic Models for Simulation of Wind Power Plants in Bulk System Planning Studies," IEEE PES General Meeting 2011, Detroit, MI, July 24-28
7. N.W. Miller, J. J. Sanchez-Gasca, K. Clark, J.M. MacDowell, "Dynamic Modeling of GE Wind Plants for Stability Simulations," IEEE PES General Meeting 2011, Detroit, MI, July 24-28
8. A. Ellis, Y. Kazachkov, E. Muljadi, P. Pourbeik, J.J. Sanchez-Gasca, Working Group Joint Report – WECC Working Group on Dynamic Performance of Wind Power Generation & IEEE Working Group on Dynamic Performance of Wind Power Generation, "Description and Technical Specifications for Generic WTG Models – A Status Report," Proc. IEEE PES 2011 Power Systems Conference and Exposition (PSCE), March 2011, Phoenix, AZ
9. K. Clark, N.W. Miller, R.A. Walling, "Modeling of GE Solar Photovoltaic (PV) Plants for Grid Studies," version 1.1, April 2010
10. K. Clark, N.W. Miller, J. J. Sanchez-Gasca, "Modeling of GE Wind Turbine-Generators for Grid Studies," version 4.5, April 16, 2010, Available from GE Energy

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11. R.J. Piwko, N.W. Miller, J.M. MacDowell, “Field Testing & Model Validation of Wind Plants,” in Proc. IEEE PES General Meeting, Pittsburg, PA, July 2008
12. N. Miller, K. Clark, J. MacDowell and W. Barton, “Experience with Field and Factory Testing for Model Validation of GE Wind Plants,” in Proc. Eur. Wind Energy Conf. Exhib., Brussels, Belgium, March/April 2008
13. IEEE Task Force on Generator Model Validation Testing of the Power System Stability Subcommittee, “Guidelines for Generator Stability Model Validation Testing,” IEEE PES General Meeting 2007, paper 07GM1307
14. W.W. Price and J. J. Sanchez-Gasca, “Simplified Wind Turbine Generator Aerodynamic Models for Transient Stability Studies,” in PROC IEEE PES 2006 Power Systems Conf. Expo. (PSCE), Atlanta, GA, October 1, 2006, p. 986-992
15. J.J. Sanchez-Gasca, R.J. Piwko, N. W. Miller, W. W. Price, “On the Integration of Wind Power Plants in Large Power Systems,” Proc. X Symposium of Specialists in Electric and Expansion Planning (SEPOPE), Florianopolis, Brazil, May 2006
16. N. W. Miller, J. J. Sanchez-Gasca, W. W. Price, R. W. Delmerico, “Dynamic Modeling of GE 1.5 and 3.6 MW Wind Turbine-Generators for Stability Simulations,” Proc. IEEE Power Engineering Society General Meeting, Toronto, Ontario, July 2003
17. P. Pourbeik, C. Pink and R. Bisbee, “Power Plant Model Validation for Achieving Reliability Standard Requirements Based on Recorded On-Line Disturbance Data”, Proceedings of the IEEE PSCE, March, 2011

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MOD-026 Attachment 1		
Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
1	Establishing the initial verification date for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the Effective Date. Row 4 applies when calculating generation fleet compliance during the 10-year implementation period. See Section A5 for Effective Dates.
2	Subsequent verification for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the 10-year anniversary of the last transmittal (per Note 1).
3	Initial verification for a new applicable unit or for an existing applicable unit with new excitation control system or plant volt/var control function equipment installed. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the commissioning date.

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MOD-026 Attachment 1 Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
4	Existing applicable unit that is equivalent to another unit(s) at the same physical location. AND Each applicable unit has the same MVA nameplate rating. AND The nameplate rating is ≤ 350 MVA. AND Each applicable unit has the same components and settings. AND The model for one of these equivalent applicable units has been verified. (Requirement R2)	Document circumstance with a written statement and include with the verified model, documentation and data provided to the Transmission Planner for the verified equivalent unit. Verify a different equivalent unit during each 10-year verification period. Applies to Row 1 when calculating generation fleet compliance during the 10-year implementation period.
5	The Generator Owner has submitted a verification plan. (Requirement R3, R4 or R5)	Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the submittal of the verification plan.

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MOD-026 Attachment 1		
Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
6	<p>New or existing applicable unit does not include an active closed loop voltage or reactive power control function.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>Perform verification per the periodicity specified in Row 3 for a “New Generating Unit” (or new equipment) only if active closed loop function is established.</p> <p>See Footnote 1 (see Section A.3) for clarification of what constitutes an active closed loop function for both conventional synchronous machines (reference Footnote 1a) and aggregate generating plants (reference Footnote 1b).</p>
7	<p>Existing applicable unit has a current average net capacity factor over the most recent three calendar years, beginning on January 1 and ending on December 31 of 5% or less.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>At the end of this 10-year timeframe, the current average three year net capacity factor (for years 8, 9, and 10) can be examined to determine if the capacity factor exemption can be declared for the next 10-year period. If not eligible for the capacity factor exemption, then model verification must be completed within 365 calendar days of the date the capacity factor exemption expired.</p> <p>For the definition of net capacity factor, refer to Appendix F of the GADS Data Reporting Instructions on the NERC website.</p>

MOD-026 Attachment 1 Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
<p>NOTES:</p> <p>NOTE 1: Establishing the recurring 10-year unit verification period start date: The start date is the actual date of submittal of a verified model to the Transmission Planner for the most recently performed unit verification.</p> <p>NOTE 2: Consideration for early compliance: Existing generator excitation control system or plant volt/var control function model verification is sufficient for demonstrating compliance for a 10-year period from the actual transmittal date if either of the following applies:</p> <ul style="list-style-type: none"> • The Generator Owner has a verified model that is compliant with the applicable regional policies, guidelines or criteria existing at the time of model verification. • The Generator Owner has an existing verified model that is compliant with the requirements of this standard. 		

A. Introduction

1. **Title:** Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions
2. **Number:** MOD-026-1
3. **Purpose:** To verify that the generator excitation control system or plant volt/var control function¹ model (including the power system stabilizer model and the impedance compensator model) and the model parameters used in dynamic simulations accurately represent the generator excitation control system or plant volt/var control function behavior when assessing Bulk Electric System (BES) reliability.

4. **Applicability:**

4.1. Functional Entities:

- 4.1.1 Generator Owner
- 4.1.2 Transmission Planner

4.2. Facilities:

For the purpose of the requirements contained herein, Facilities that are directly connected to the Bulk Electric System (BES) will be collectively referred as an “applicable unit” that meet the following:

- 4.2.1 Generation in the Eastern or Quebec Interconnections with the following characteristics:
 - 4.2.1.1 Individual generating unit greater than 100 MVA (gross nameplate rating).
 - 4.2.1.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 100 MVA (gross aggregate nameplate rating).
- 4.2.2 Generation in the Western Interconnection with the following characteristics:
 - 4.2.2.1 Individual generating unit greater than 75 MVA (gross nameplate rating).
 - 4.2.2.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total

¹ Excitation control system or plant volt/var control function:

- a. For individual synchronous machines, the generator excitation control system includes the generator, exciter, voltage regulator, impedance compensation and power system stabilizer.
- b. For an aggregate generating plant, the volt/var control system includes the voltage regulator & reactive power control system controlling and coordinating plant voltage and associated reactive capable resources.

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generation greater than 75 MVA (gross aggregate nameplate rating).

4.2.3 Generation in the ERCOT Interconnection with the following characteristics:

4.2.3.1 Individual generating unit greater than 50 MVA (gross nameplate rating).

4.2.3.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).

4.2.4 For all Interconnections:

- A technically justified² unit that meets NERC registry criteria but is not otherwise included in the above Applicability sections 4.2.1, 4.2.2, or 4.2.3 and is requested by the Transmission Planner.

5. Effective Date:

5.1. For Requirements R1, and R3 through R6, the first day of the first calendar quarter beyond the date that this standard is approved by applicable regulatory authorities or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities. In those jurisdictions where regulatory approval is not required, the standard shall become effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

5.2. For Requirement R2, 30 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is four years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is four years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

5.3. For Requirement R2, 50 percent of the entity's applicable unit gross MVA for each Interconnection on first day of the first calendar quarter that is six years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is six years following NERC Board of Trustees adoption or

² Technical justification is achieved by the Transmission Planner demonstrating that the simulated unit or plant response does not match the measured unit or plant response.

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as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

- 5.4. For Requirement R2, 100 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is 10 years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is 10 years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1.** Each Transmission Planner shall provide the following requested information to the Generator Owner within 90 calendar days of receiving a written request : *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- Instructions on how to obtain the list of excitation control system or plant volt/var control function models that are acceptable to the Transmission Planner for use in dynamic simulation,
 - Instructions on how to obtain the dynamic excitation control system or plant volt/var control function model library block diagrams and/or data sheets for models that are acceptable to the Transmission Planner, or
 - Model data for any of the Generator Owner's existing applicable unit specific excitation control system or plant volt/var control function contained in the Transmission Planner's dynamic database from the current (in-use) models, including generator MVA base.
- R2.** Each Generator Owner shall provide for each applicable unit, a verified generator excitation control system or plant volt/var control function model, including documentation and data (as specified in Part 2.1) to its Transmission Planner in accordance with the periodicity specified in MOD-026 Attachment 1. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- 2.1.** Each applicable unit's model shall be verified by the Generator Owner using one or more models acceptable to the Transmission Planner. Verification for individual units less than 20 MVA (gross nameplate rating) in a generating plant (per Section 4.2.1.2, 4.2.2.2, or 4.2.3.2) may be performed using either individual unit or aggregate unit model(s), or both. Each verification shall include the following:
- 2.1.1.** Documentation demonstrating the applicable unit's model response matches the recorded response for a voltage excursion from either a staged test or a measured system disturbance,

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- 2.1.2. Manufacturer, model number (if available), and type of the excitation control system including, but not limited to static, AC brushless, DC rotating, and/or the plant volt/var control function (if installed),
 - 2.1.3. Model structure and data including, but not limited to reactance, time constants, saturation factors, total rotational inertia, or equivalent data for the generator,
 - 2.1.4. Model structure and data for the excitation control system, including the closed loop voltage regulator if a closed loop voltage regulator is installed or the model structure and data for the plant volt/var control function system,
 - 2.1.5. Compensation settings (such as droop, line drop, differential compensation), if used, and
 - 2.1.6. Model structure and data for power system stabilizer, if so equipped.
- R3.** Each Generator Owner shall provide a written response to its Transmission Planner within 90 calendar days of receiving one of the following items for an applicable unit:
- Written notification from its Transmission Planner (in accordance with Requirement R6) that the excitation control system or plant volt/var control function model is not usable,
 - Written comments from its Transmission Planner identifying technical concerns with the verification documentation related to the excitation control system or plant volt/var control function model, or
 - Written comments and supporting evidence from its Transmission Planner indicating that the simulated excitation control system or plant volt/var control function model response did not match the recorded response to a transmission system event.

The written response shall contain either the technical basis for maintaining the current model, the model changes, or a plan to perform model verification³ (in accordance with Requirement R2). [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R4.** Each Generator Owner shall provide revised model data or plans to perform model verification⁴ (in accordance with Requirement R2) for an applicable unit to its Transmission Planner within 180 calendar days of making changes to the excitation

³ If verification is performed, the 10-year period as outlined in MOD-026 Attachment 1 is reset.

⁴ Ibid

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control system or plant volt/var control function that alter the equipment response characteristic.⁵ [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R5.** Each Generator Owner shall provide a written response to its Transmission Planner, within 90 calendar days following receipt of a technically justified⁶ unit request from the Transmission Planner to perform a model review of a unit or plant that includes one of the following: [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]
- Details of plans to verify the model (in accordance with Requirement R2), or
 - Corrected model data including the source of revised model data such as discovery of manufacturer test values to replace generic model data or updating of data parameters based on an on-site review of the equipment.
- R6.** Each Transmission Planner shall provide a written response to the Generator Owner within 90 calendar days of receiving the verified excitation control system or plant volt/var control function model information in accordance with Requirement R2 that the model is usable (meets the criteria specified in Parts 6.1 through 6.3) or is not usable.
- 6.1.** The excitation control system or plant volt/var control function model initializes to compute modeling data without error,
- 6.2.** A no-disturbance simulation results in negligible transients, and
- 6.3.** For an otherwise stable simulation, a disturbance simulation results in the excitation control and plant volt/var control function model exhibiting positive damping.

If the model is not usable, the Transmission Planner shall provide a technical description of why the model is not usable. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*]

C. Measures

- M1.** The Transmission Planner must have and provide the dated request for instructions or data, the transmitted instructions or data, and dated evidence of a written transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence that it provided the request within 90 calendar days in accordance with Requirement R1.

⁵ Exciter, voltage regulator, plant volt/var or power system stabilizer control replacement including software alterations that alter excitation control system equipment response, plant digital control system addition or replacement, plant digital control system software alterations that alter excitation control system equipment response, plant volt/var function equipment addition or replacement (such as static var systems, capacitor banks, individual unit excitation systems, etc), a change in the voltage control mode (such as going from power factor control to automatic voltage control, etc), exciter, voltage regulator, impedance compensator, or power system stabilizer settings change. Automatic changes in settings that occur due to changes in operating mode do not apply to Requirement R4.

⁶ Technical justification is achieved by the Transmission Planner demonstrating that the simulated unit or plant response does not match the measured unit or plant response.

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- M2.** The Generator Owner must have and provide dated evidence it verified each generator excitation control system or plant volt/var control function model according to Part 2.1 for each applicable unit and a dated transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence it provided the model, documentation, and data to its Transmission Planner, in accordance with Requirement R2.
- M3.** Evidence for Requirement R3 must include the Generator Owner's dated written response containing the information identified in Requirement R3 and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) of the response.
- M4.** Evidence for Requirement R4 must include, for each of the Generator Owner's applicable units for which system changes specified in Requirement R4 were made, a dated revised model data or plans to perform a model verification and dated evidence (e.g., electronic mail message, postal receipt, or confirmation of facsimile) it provided the revised model and data or plans within 180 calendar days of making changes.
- M5.** Evidence for Requirement R5 must include the Generator Owner's dated written response containing the information identified in Requirement R5 and dated evidence (e.g., electronic mail message, postal receipt, or confirmation of facsimile) it provided a written response within 90 calendar days following receipt of a technically justified request.
- M6.** Evidence of Requirement R6 must include, for each model received, the dated response indicating the model was usable or not usable according to the criteria specified in Parts 6.1 through 6.3 and for a model that is not usable, a technical description; and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) that the Generator Owner was notified within 90 calendar days of receipt of model information.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity shall serve as the Compliance Enforcement Authority unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases the ERO or a Regional entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

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The Generator Owner and Transmission Planner 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 Transmission Planner shall retain the information/data request and provided response evidence of Requirements R1 and R6, Measures M1 and M6 for three calendar years from the date the document was provided.
- The Generator Owner shall retain the latest excitation control system or plant volt/var control function model verification evidence of Requirement R2, Measure M2.
- The Generator Owner shall retain the information/data request and provided response evidence of Requirements R3 through R5, and Measures M3 through M5 for three calendar years from the date the document was provided.

If a Generator Owner or Transmission Planner is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete or approved or for the time specified above, whichever is longer.

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

1.3. Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaints

1.4. Additional Compliance Information

None

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2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Transmission Planner provided the instructions and data to the Generator Owner more than 90 calendar days but less than or equal to 120 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 120 calendar days but less than or equal to 150 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 150 calendar days but less than or equal to 180 calendar days of receiving a written request.	The Transmission Planner failed to provide the instructions and data to the Generator Owner within 180 calendar days of receiving a written request.
R2	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner after the timeframe specified in MOD-026 Attachment 1 but less than or equal to 90 calendar days late;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted one of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner more than 90 calendar days but less than or equal to 180 calendar days late as specified by the periodicity timeframe in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted two of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data to its Transmission Planner more than 180 calendar days but less than or equal to 270 calendar days late as specified by the periodicity timeframe in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted three of the six Parts identified in Requirement R2, Parts 2.1.1 through 2.1.6.</p>	<p>The Generator Owner provided its verified model(s), including documentation and data more than 270 calendar days late to its Transmission Planner in accordance with the periodicity specified in MOD-026 Attachment 1.</p> <p>OR</p> <p>The Generator Owner failed to use model(s) acceptable to the Transmission Planner as specified in Requirement R2, Part 2.1.</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified model(s) but omitted four or more of the six parts identified in Requirement R2, Subparts 2.1.1 through 2.1.6.</p>

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days of receiving written notice.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days of receiving written notice.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days of receiving written notice.	The Generator Owner failed to provide a written response within 180 calendar days of receiving written notice. OR The Generator Owner's written response failed to contain either the technical basis for maintaining the current model, or a list of future model changes, or a plan to perform another model verification.
R4	The Generator Owner provided revised model data or plans to perform model verification more than 180 calendar days but less than or equal to 210 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 210 calendar days but less than or equal to 240 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 240 calendar days but less than or equal to 270 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.	The Generator Owner failed to provide revised model data or failed to provide plans to perform model verification within 270 calendar days of making changes to the excitation control system or plant volt/var control function that altered the equipment response characteristic.
R5	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days to the Transmission Planner following receipt of a technically justified request to perform a model review of an applicable unit.	The Generator Owner failed to provide a written response to the Transmission Planner within 180 calendar days following receipt of a technically justified request to perform a model review of an applicable unit. OR The Generator Owner's written response failed to include one of the sub bullets of Requirement R5.

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R6	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information-;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner within 90 calendar days indicating that the model is not usable; but did not include a technical description.</u></p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 120 calendar days but less than or equal to 150 calendar days of receiving the verified model information.</p> <p><u>OR</u></p> <p>The Transmission Planner’s written response omitted confirmation for one of the specified model criteria listed in Requirement R6, Parts 6.1 through 6.3-;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information.</u></p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable; including a technical description if the model is not usable, more than 150 calendar days but less than or equal to 180 calendar days of receiving the verified model information.</p> <p><u>OR</u></p> <p>The Transmission Planner’s written response omitted confirmation for two of the specified model criteria listed in Requirement R6, Parts 6.1 through 6.3-;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 120 calendar days but less than or equal to 150 calendar days of receiving verified model information.</u></p>	<p>The Transmission Planner failed to provide a written response to the Generator Owner within 180 calendar days of receiving the verified model information.</p> <p><u>OR</u></p> <p>The Transmission Planner’s written response omitted confirmation for all specified model criteria listed in Requirement R6, Parts 6.1 through 6.3-;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 150 calendar days after receiving verified model information.</u></p>

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E. Regional Variances

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
1	February 7, 2013	Adopted by NERC Board of Trustees	New
1	March 20, 2014	FERC Order issued approving MOD-026-1. (Order becomes effective for R1, R3, R4, R5, and R6 on 7/1/14. R2 becomes effective on 7/1/18.)	
<u>1</u>	<u>May 7, 2014</u>	<u>NERC Board of Trustees adopted revisions to VSLs in Requirement R6.</u>	

G. References

The following documents contain technical information beyond the scope of this Standard on excitation control system functionality, modeling, and testing.

1. IEEE 421.1 Definitions for Excitation Systems for Synchronous Machines
2. IEEE 421.2 Guide for Identification, Testing, and Evaluation of the Dynamic Performance of Excitation Control Systems
3. IEEE 421.5 IEEE Recommended Practice for Excitation System Models for Power System Stability Studies
4. K. Clark, R.A. Walling, N.W. Miller, "Solar Photovoltaic (PV) Plant Models in PSLF," IEEE/PES General Meeting, Detroit, MI, July 2011
5. M. Asmine, J. Brochu, J. Fortmann, R. Gagnon, Y. Kazachkov, C.-E. Langlois, C. Larose, E. Muljadi, J. MacDowell, P. Pourbeik, S. A. Seman, and K. Wiens, "Model Validation for Wind Turbine Generator Models", IEEE Transactions on Power System, Volume 26, Issue 3, August 2011
6. A. Ellis, E. Muljadi, J. Sanchez-Gasca, Y. Kazachkov, "Generic Models for Simulation of Wind Power Plants in Bulk System Planning Studies," IEEE PES General Meeting 2011, Detroit, MI, July 24-28
7. N.W. Miller, J. J. Sanchez-Gasca, K. Clark, J.M. MacDowell, "Dynamic Modeling of GE Wind Plants for Stability Simulations," IEEE PES General Meeting 2011, Detroit, MI, July 24-28
8. A. Ellis, Y. Kazachkov, E. Muljadi, P. Pourbeik, J.J. Sanchez-Gasca, Working Group Joint Report – WECC Working Group on Dynamic Performance of Wind Power Generation & IEEE Working Group on Dynamic Performance of Wind Power Generation, "Description and Technical Specifications for Generic WTG Models – A Status Report," Proc. IEEE PES 2011 Power Systems Conference and Exposition (PSCE), March 2011, Phoenix, AZ
9. K. Clark, N.W. Miller, R.A. Walling, "Modeling of GE Solar Photovoltaic (PV) Plants for Grid Studies," version 1.1, April 2010
10. K. Clark, N.W. Miller, J. J. Sanchez-Gasca, "Modeling of GE Wind Turbine-Generators for Grid Studies," version 4.5, April 16, 2010, Available from GE Energy

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11. R.J. Piwko, N.W. Miller, J.M. MacDowell, “Field Testing & Model Validation of Wind Plants,” in Proc. IEEE PES General Meeting, Pittsburg, PA, July 2008
12. N. Miller, K. Clark, J. MacDowell and W. Barton, “Experience with Field and Factory Testing for Model Validation of GE Wind Plants,” in Proc. Eur. Wind Energy Conf. Exhib., Brussels, Belgium, March/April 2008
13. IEEE Task Force on Generator Model Validation Testing of the Power System Stability Subcommittee, “Guidelines for Generator Stability Model Validation Testing,” IEEE PES General Meeting 2007, paper 07GM1307
14. W.W. Price and J. J. Sanchez-Gasca, “Simplified Wind Turbine Generator Aerodynamic Models for Transient Stability Studies,” in PROC IEEE PES 2006 Power Systems Conf. Expo. (PSCE), Atlanta, GA, October 1, 2006, p. 986-992
15. J.J. Sanchez-Gasca, R.J. Piwko, N. W. Miller, W. W. Price, “On the Integration of Wind Power Plants in Large Power Systems,” Proc. X Symposium of Specialists in Electric and Expansion Planning (SEPOPE), Florianopolis, Brazil, May 2006
16. N. W. Miller, J. J. Sanchez-Gasca, W. W. Price, R. W. Delmerico, “Dynamic Modeling of GE 1.5 and 3.6 MW Wind Turbine-Generators for Stability Simulations,” Proc. IEEE Power Engineering Society General Meeting, Toronto, Ontario, July 2003
17. P. Pourbeik, C. Pink and R. Bisbee, “Power Plant Model Validation for Achieving Reliability Standard Requirements Based on Recorded On-Line Disturbance Data”, Proceedings of the IEEE PSCE, March, 2011

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MOD-026 Attachment 1		
Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
1	Establishing the initial verification date for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the Effective Date. Row 4 applies when calculating generation fleet compliance during the 10-year implementation period. See Section A5 for Effective Dates.
2	Subsequent verification for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the 10-year anniversary of the last transmittal (per Note 1).
3	Initial verification for a new applicable unit or for an existing applicable unit with new excitation control system or plant volt/var control function equipment installed. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the commissioning date.

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MOD-026 Attachment 1		
Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
4	<p>Existing applicable unit that is equivalent to another unit(s) at the same physical location.</p> <p>AND</p> <p>Each applicable unit has the same MVA nameplate rating.</p> <p>AND</p> <p>The nameplate rating is ≤ 350 MVA.</p> <p>AND</p> <p>Each applicable unit has the same components and settings.</p> <p>AND</p> <p>The model for one of these equivalent applicable units has been verified.</p> <p>(Requirement R2)</p>	<p>Document circumstance with a written statement and include with the verified model, documentation and data provided to the Transmission Planner for the verified equivalent unit.</p> <p>Verify a different equivalent unit during each 10-year verification period.</p> <p>Applies to Row 1 when calculating generation fleet compliance during the 10-year implementation period.</p>
5	<p>The Generator Owner has submitted a verification plan.</p> <p>(Requirement R3, R4 or R5)</p>	<p>Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the submittal of the verification plan.</p>

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MOD-026 Attachment 1		
Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
6	<p>New or existing applicable unit does not include an active closed loop voltage or reactive power control function.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>Perform verification per the periodicity specified in Row 3 for a “New Generating Unit” (or new equipment) only if active closed loop function is established.</p> <p>See Footnote 1 (see Section A.3) for clarification of what constitutes an active closed loop function for both conventional synchronous machines (reference Footnote 1a) and aggregate generating plants (reference Footnote 1b).</p>
7	<p>Existing applicable unit has a current average net capacity factor over the most recent three calendar years, beginning on January 1 and ending on December 31 of 5% or less.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>At the end of this 10-year timeframe, the current average three year net capacity factor (for years 8, 9, and 10) can be examined to determine if the capacity factor exemption can be declared for the next 10-year period. If not eligible for the capacity factor exemption, then model verification must be completed within 365 calendar days of the date the capacity factor exemption expired.</p> <p>For the definition of net capacity factor, refer to Appendix F of the GADS Data Reporting Instructions on the NERC website.</p>

MOD-026 Attachment 1 Excitation Control System or Plant Volt/Var Function Model Verification Periodicity		
Row Number	Verification Condition	Required Action
<p>NOTES:</p> <p>NOTE 1: Establishing the recurring 10-year unit verification period start date: The start date is the actual date of submittal of a verified model to the Transmission Planner for the most recently performed unit verification.</p> <p>NOTE 2: Consideration for early compliance: Existing generator excitation control system or plant volt/var control function model verification is sufficient for demonstrating compliance for a 10-year period from the actual transmittal date if either of the following applies:</p> <ul style="list-style-type: none"> • The Generator Owner has a verified model that is compliant with the applicable regional policies, guidelines or criteria existing at the time of model verification. • The Generator Owner has an existing verified model that is compliant with the requirements of this standard. 		

MOD-027-1 Clean and Redline Standard

A. Introduction

- 1. Title:** Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions
- 2. Number:** MOD-027-1
- 3. Purpose:** To verify that the turbine/governor and load control or active power/frequency control¹ model and the model parameters, used in dynamic simulations that assess Bulk Electric System (BES) reliability, accurately represent generator unit real power response to system frequency variations.
- 4. Applicability:**
 - 4.1. Functional entities**
 - 4.1.1** Generator Owner
 - 4.1.2** Transmission Planner
 - 4.2. Facilities**

For the purpose of the requirements contained herein, Facilities that are directly connected to the Bulk Electric System (BES) will be collectively referred to as an “applicable unit” that meet the following:

- 4.2.1** Generation in the Eastern or Quebec Interconnections with the following characteristics:
 - 4.2.1.1** Individual generating unit greater than 100 MVA (gross nameplate rating).
 - 4.2.1.2** Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 100 MVA (gross aggregate nameplate rating).
- 4.2.2** Generation in the Western Interconnection with the following characteristics:
 - 4.2.2.1** Individual generating unit greater than 75 MVA (gross nameplate rating).
 - 4.2.2.2** Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).
- 4.2.3** Generation in the ERCOT Interconnection with the following characteristics:

¹ Turbine/governor and load control or active power/frequency control:

- a. Turbine/governor and load control applies to conventional synchronous generation.
- b. Active power/frequency control applies to inverter connected generators (often found at variable energy plants).

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4.2.3.1 Individual generating unit greater than 50 MVA (gross nameplate rating).

4.2.3.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).

5. Effective Date:

- 5.1.** For Requirements R1, and R3 through R5, the first day of the first calendar quarter beyond the date that this standard is approved by applicable regulatory authorities or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities. In those jurisdictions where regulatory approval is not required, the standard shall become effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.2.** For Requirement R2, 30 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is four years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is four years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.3.** For Requirement R2, 50 percent of the entity's applicable unit gross MVA for each Interconnection on first day of the first calendar quarter that is six years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is six years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.
- 5.4.** For Requirement R2, 100 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is 10 years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is 10 years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1.** Each Transmission Planner shall provide the following requested information to the Generator Owner within 90 calendar days of receiving a written request: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- Instructions on how to obtain the list of turbine/governor and load control or active power/frequency control system models that are acceptable to the Transmission Planner for use in dynamic simulation,
 - Instructions on how to obtain the dynamic turbine/governor and load control or active power/frequency control function model library block diagrams and/or data sheets for models that are acceptable to the Transmission Planner, or
 - Model data for any of the Generator Owner's existing applicable unit specific turbine/governor and load control or active power/frequency control system contained in the Transmission Planner's dynamic database from the current (in-use) models.
- R2.** Each Generator Owner shall provide, for each applicable unit, a verified turbine/governor and load control or active power/frequency control model, including documentation and data (as specified in Part 2.1) to its Transmission Planner in accordance with the periodicity specified in MOD-027 Attachment 1. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- 2.1.** Each applicable unit's model shall be verified by the Generator Owner using one or more models acceptable to the Transmission Planner. Verification for individual units rated less than 20 MVA (gross nameplate rating) in a generating plant (per Section 4.2.1.2, 4.2.2.2, or 4.2.3.2) may be performed using either individual unit or aggregate unit model(s) or both. Each verification shall include the following:
- 2.1.1.** Documentation comparing the applicable unit's MW model response to the recorded MW response for either:
- A frequency excursion from a system disturbance that meets MOD-027 Attachment 1 Note 1 with the applicable unit on-line,
 - A speed governor reference change with the applicable unit on-line, or
 - A partial load rejection test,²
- 2.1.2.** Type of governor and load control or active power control/frequency control³ equipment,

² Differences between the control mode tested and the final simulation model must be identified, particularly when analyzing load rejection data. Most controls change gains or have a set point runback which takes effect when the breaker opens. Load or set point controls will also not be in effect once the breaker opens. Some method of accounting for these differences must be presented if the final model is not validated from on-line data under the normal operating conditions under which the model is expected to apply.

³ Turbine/governor and load control or active power/frequency control:

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- 2.1.3. A description of the turbine (e.g. for hydro turbine - Kaplan, Francis, or Pelton; for steam turbine - boiler type, normal fuel type, and turbine type; for gas turbine - the type and manufacturer; for variable energy plant - type and manufacturer),
 - 2.1.4. Model structure and data for turbine/governor and load control or active power/frequency control, and
 - 2.1.5. Representation of the real power response effects of outer loop controls (such as operator set point controls, and load control but excluding AGC control) that would override the governor response (including blocked or nonfunctioning governors or modes of operation that limit Frequency Response), if applicable.
- R3.** Each Generator Owner shall provide a written response to its Transmission Planner within 90 calendar days of receiving one of the following items for an applicable unit.
- Written notification, from its Transmission Planner (in accordance with Requirement R5) that the turbine/governor and load control or active power/frequency control model is not “usable,”
 - Written comments from its Transmission Planner identifying technical concerns with the verification documentation related to the turbine/governor and load control or active power/frequency control model, or
 - Written comments and supporting evidence from its Transmission Planner indicating that the simulated turbine/governor and load control or active power/frequency control response did not approximate the recorded response for three or more transmission system events.

The written response shall contain either the technical basis for maintaining the current model, the model changes, or a plan to perform model verification⁴ (in accordance with Requirement R2). [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R4.** Each Generator Owner shall provide revised model data or plans to perform model verification⁵ (in accordance with Requirement R2) for an applicable unit to its Transmission Planner within 180 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic⁶. [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

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- a. Turbine/governor and load control applies to conventional synchronous generation.
 - b. Active power/frequency control applies to inverter connected generators (often found at variable energy plants).

⁴ If verification is performed, the 10 year period as outlined in MOD-027 Attachment 1 is reset.

⁵ Ibid.

⁶ Control replacement or alteration including software alterations or plant digital control system addition or replacement, plant digital control system software alterations that alter droop, and/or dead band, and/or frequency response and/or a change in the frequency control mode (such as going from droop control to constant MW control, etc).

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- R5.** Each Transmission Planner shall provide a written response to the Generator Owner within 90 calendar days of receiving the turbine/governor and load control or active power/frequency control system verified model information in accordance with Requirement R2 that the model is usable (meets the criteria specified in Parts 5.1 through 5.3) or is not usable.
- 5.1.** The turbine/governor and load control or active power/frequency control function model initializes to compute modeling data without error,
- 5.2.** A no-disturbance simulation results in negligible transients, and
- 5.3.** For an otherwise stable simulation, a disturbance simulation results in the turbine/governor and load control or active power/frequency control model exhibiting positive damping.

If the model is not usable, the Transmission Planner shall provide a technical description of why the model is not usable. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*]

C. Measures

- M1.** The Transmission Planner must have and provide the dated request for instructions or data, the transmitted instruction or data, and dated evidence of a written transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence that it provided the request within 90 calendar days in accordance with Requirement R1.
- M2.** The Generator Owner must have and provide dated evidence it verified each generator turbine/governor and load control or active power/frequency control model according to Part 2.1 for each applicable unit and a dated transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence it provided the model, documentation, and data to its Transmission Planner, in accordance with Requirement R2.
- M3.** Evidence for Requirement R3 must include the Generator Owner's dated written response containing the information identified in Requirement R3 and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) of the response.
- M4.** Evidence for Requirement R4 must include, for each of the Generator Owner's applicable units for which system changes specified in Requirement R4 were made, dated revised model data or dated plans to perform a model verification and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) within 180 calendar days of making changes.
- M5.** Evidence of Requirement R5 must include, for each model received, the dated response indicating the model was usable or not usable according to the criteria specified in Parts 5.1 through 5.3 and for a model that is not useable, a technical description is the model is not usable, and dated evidence of transmittal (e.g., electronic mail messages, postal receipts, or confirmation of facsimile) that the Generator Owner was notified within 90 calendar days of receipt of model information in accordance with Requirement R5.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity shall serve as the Compliance Enforcement Authority unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases the ERO or a Regional entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Generator Owner and Transmission Planner 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 Transmission Planner shall retain the information/data request and provided response evidence of Requirements R1 and R5, Measures M1 and M5 for 3 calendar years from the date the document was provided.
- The Generator Owner shall retain the latest turbine/governor and load control or active power/frequency control system model verification evidence of Requirement R2, Measure M2.
- The Generator Owner shall retain the information/data request and provided response evidence of Requirements R3, and R4 Measures M3 and M4 for 3 calendar years from the date the document was provided.

If a Generator Owner or Transmission Planner is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.

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

1.3. Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.4. Additional Compliance Information

None

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2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Transmission Planner provided the instructions and data to the Generator Owner more than 90 calendar days but less than or equal to 120 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 120 calendar days but less than or equal to 150 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 150 calendar days but less than or equal to 180 calendar days of receiving a written request.	The Transmission Planner failed to provide the instructions and data to the Generator Owner within 180 calendar days of receiving a written request.
R2	<p>The Generator Owner provided its verified model(s) to its Transmission Planner after the periodicity timeframe specified in MOD-027 Attachment 1 but less than or equal to 90 calendar days late;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner a verified model that omitted one of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) to its Transmission Planner more than 90 calendar days but less than or equal to 180 calendar days late as specified by the periodicity timeframe in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner a verified model that omitted two of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) to its Transmission Planner more than 180 calendar days but less than or equal to 270 calendar days late as specified by the periodicity timeframe in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted three of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) more than 270 calendar days late to its Transmission Planner in accordance with the periodicity specified in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner failed to use model(s) acceptable to the Transmission Planner as specified in Requirement R2, Part 2.1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified model(s) that omitted four or more of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days of receiving written notice.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days of receiving written notice.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days of receiving written notice.	The Generator Owner failed to provide a written response within 180 calendar days of receiving written notice; OR The Generator Owner's written response failed to contain either the technical basis for maintaining the current model, or a list of future model changes, or a plan to perform another model verification.
R4	The Generator Owner provided revised model data or plans to perform model verification more than 180 calendar days but less than or equal to 210 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 210 calendar days but less than or equal to 240 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 240 calendar days but less than or equal to 270 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner failed to provide revised model data or failed to provide plans to perform model verification within 270 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that altered the equipment response characteristic.

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R5	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner within 90 calendar days indicating that the model is not usable; but did not include a technical description</p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 120 calendar days but less than or equal to 150 calendar days of receiving the verified model information;</p> <p>OR</p> <p>The Transmission Planner’s written response omitted confirmation for one of the specified model criteria listed in Requirement R5, Parts 5.1 through 5.3;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information.</p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 150 calendar days but less than or equal to 180 calendar days of receiving the verified model information;</p> <p>OR</p> <p>The Transmission Planner’s written response omitted confirmation for two of the specified model criteria listed in Requirement R5, Parts 5.1 through 5.3;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 120 calendar days but less than or equal to 150 calendar days of receiving verified model information.</p>	<p>The Transmission Planner failed to provide a written response to the Generator Owner within 180 calendar days of receiving the verified model information;</p> <p>OR</p> <p>The Transmission Planner provided a written response without including confirmation of all specified model criteria listed in Requirement R5, Parts 5.1 through 5.3;</p> <p>OR</p> <p>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 150 calendar days after receiving verified model information.</p>

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E. Regional Variances

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
1	February 7, 2013	Adopted by NERC Board of Trustees	New
1	March 20, 2014	FERC Order issued approving MOD-027-1. (Order becomes effective for R1, R3, R4, and R5 on 7/1/14. R2 becomes effective 7/1/18.)	
1	May 7, 2014	NERC Board of Trustees adopted revisions to VSLs in Requirement R5.	

G. References

The following documents contain technical information beyond the scope of this Standard on turbine/governor and load control or active power/frequency control system functionality, modeling, and testing.

- 1) IEEE Task Force on Generator Model Validation Testing of the Power System Stability Subcommittee, "Guidelines for Generator Stability Model Validation Testing," IEEE PES General Meeting 2007, paper 07GM1307
- 2) L. Pereira "New Thermal Governor Model Development: Its Impact on Operation and Planning Studies on the Western Interconnection" IEEE POWER AND ENERGY MAGAZINE, MAY/JUNE 2005
- 3) D.M. Cabbell, S. Rueckert, B.A. Tuck, and M.C. Willis, "The New Thermal Governor Model Used in Operating and Planning Studies in WECC," in Proc. IEEE PES General Meeting, Denver, CO, 2004
- 4) S. Patterson, "Importance of Hydro Generation Response Resulting from the New Thermal Modeling-and Required Hydro Modeling Improvements," in Proc. IEEE PES General Meeting, Denver, CO, 2004
- 5) L. Pereira, D. Kosterev, D. Davies, and S. Patterson, "New Thermal Governor Model Selection and Validation in the WECC," IEEE Trans. Power Syst., vol. 19, no. 1, pp. 517-523, February 2004
- 6) L. Pereira, J. Undrill, D. Kosterev, D. Davies, and S. Patterson, "A New Thermal Governor Modeling Approach in the WECC," IEEE Trans. Power Syst., vol. 18, no. 2, pp. 819-829, May 2003

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- 7) P. Pourbeik, C. Pink and R. Bisbee, “Power Plant Model Validation for Achieving Reliability Standard Requirements Based on Recorded On-Line Disturbance Data”, Proceedings of the IEEE PSCE, March, 2011

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MOD-027 Attachment 1 Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
1	Establishing the initial verification date for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the Effective Date. Row 5 applies when calculating generation fleet compliance during the 10year implementation period. See Section A5 for Effective Dates.
2	Subsequent verification for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the 10-year anniversary of the last transmittal (per Note 2).
3	Applicable unit is not subjected to a frequency excursion per Note 1 by the date otherwise required to meet the dates per Rows 1, 2, 4, or 6. (This row is only applicable if a frequency excursion from a system disturbance that meets Note 1 is selected for the verification method and the ability to record the applicable unit’s real power response to a frequency excursion is installed and expected to be available). (Requirement R2)	Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner. Transmit the verified model, documentation and data to the Transmission Planner on or before 365 calendar days after a frequency excursion per Note 1 occurs and the recording equipment captures the applicable unit’s real power response as expected.
4	Initial verification for a new applicable unit or for an existing applicable unit with new turbine/governor and load control or active power/frequency control equipment installed. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the commissioning date.

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MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
5	<p>Existing applicable unit that is equivalent to another applicable unit(s) at the same physical location;</p> <p>AND</p> <p>Each applicable unit has the same MVA nameplate rating;</p> <p>AND</p> <p>The nameplate rating is ≤ 350 MVA;</p> <p>AND</p> <p>Each applicable unit has the same components and settings;</p> <p>AND</p> <p>The model for one of these equivalent applicable units has been verified.</p> <p>(Requirement R2)</p>	<p>Document circumstance with a written statement and include with the verified model, documentation and data provided to the Transmission Planner for the verified equivalent unit.</p> <p>Verify a different equivalent unit during each 10-year verification period.</p> <p>Applies to Row 1 when calculating generation fleet compliance during the 10-year implementation period.</p>
6	<p>The Generator Owner has submitted a verification plan.</p> <p>(Requirement R3 or R4)</p>	<p>Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the submittal of the verification plan.</p>

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MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
7	<p>Applicable unit is not responsive to both over and under frequency excursion events (The applicable unit does not operate in a frequency control mode, except during normal start up and shut down, that would result in a turbine/governor and load control or active power/frequency control mode response.);</p> <p>OR</p> <p>Applicable unit either does not have an installed frequency control system or has a disabled frequency control system.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>Perform verification per the periodicity specified in Row 4 for a “New Generating Unit” (or new equipment) only if responsive control mode operation for connected operations is established.</p>
8	<p>Existing applicable unit has a current average net capacity factor over the most recent three calendar years, beginning on January 1 and ending on December 31 of 5% or less.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>At the end of this 10 calendar year timeframe, the current average three year net capacity factor (for years 8, 9, and 10) can be examined to determine if the capacity factor exemption can be declared for the next 10 calendar year period. If not eligible for the capacity factor exemption, then model verification must be completed within 365 calendar days of the date the capacity factor exemption expired.</p> <p>For the definition of net capacity factor, refer to Appendix F of the GADS Data Reporting Instructions on the NERC website.</p>

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MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
<p>NOTES:</p> <p>NOTE 1: Unit model verification frequency excursion criteria:</p> <ul style="list-style-type: none"> • ≥ 0.05 hertz deviation (nadir point) from scheduled frequency for the Eastern Interconnection with the applicable unit operating in a frequency responsive mode • ≥ 0.10 hertz deviation (nadir point) from scheduled frequency for the ERCOT and Western Interconnections with the applicable unit operating in a frequency responsive mode • ≥ 0.15 hertz deviation (nadir point) from scheduled frequency for the Quebec Interconnection with the applicable unit operating in a frequency responsive mode <p>NOTE 2: Establishing the recurring ten year unit verification period start date:</p> <ul style="list-style-type: none"> • The start date is the actual date of submittal of a verified model to the Transmission Planner for the most recently performed unit verification. <p>NOTE 3: Consideration for early compliance:</p> <p>Existing turbine/governor and load control or active power/frequency control model verification is sufficient for demonstrating compliance for a 10 year period from the actual transmittal date if either of the following applies:</p> <ul style="list-style-type: none"> • The Generator Owner has a verified model that is compliant with the applicable regional policies, guidelines or criteria existing at the time of model verification • The Generator Owner has an existing verified model that is compliant with the requirements of this standard 		

A. Introduction

- 1. Title:** Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions
- 2. Number:** MOD-027-1
- 3. Purpose:** To verify that the turbine/governor and load control or active power/frequency control¹ model and the model parameters, used in dynamic simulations that assess Bulk Electric System (BES) reliability, accurately represent generator unit real power response to system frequency variations.
- 4. Applicability:**
 - 4.1. Functional entities**
 - 4.1.1** Generator Owner
 - 4.1.2** Transmission Planner
 - 4.2. Facilities**

For the purpose of the requirements contained herein, Facilities that are directly connected to the Bulk Electric System (BES) will be collectively referred to as an “applicable unit” that meet the following:

- 4.2.1** Generation in the Eastern or Quebec Interconnections with the following characteristics:
 - 4.2.1.1** Individual generating unit greater than 100 MVA (gross nameplate rating).
 - 4.2.1.2** Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 100 MVA (gross aggregate nameplate rating).
- 4.2.2** Generation in the Western Interconnection with the following characteristics:
 - 4.2.2.1** Individual generating unit greater than 75 MVA (gross nameplate rating).
 - 4.2.2.2** Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).

¹ Turbine/governor and load control or active power/frequency control:

- a. Turbine/governor and load control applies to conventional synchronous generation.
- b. Active power/frequency control applies to inverter connected generators (often found at variable energy plants).

4.2.3 Generation in the ERCOT Interconnection with the following characteristics:

4.2.3.1 Individual generating unit greater than 50 MVA (gross nameplate rating).

4.2.3.2 Individual generating plant consisting of multiple generating units that are directly connected at a common BES bus with total generation greater than 75 MVA (gross aggregate nameplate rating).

5. Effective Date:

5.1. For Requirements R1, and R3 through R5, the first day of the first calendar quarter beyond the date that this standard is approved by applicable regulatory authorities or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities. In those jurisdictions where regulatory approval is not required, the standard shall become effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

5.2. For Requirement R2, 30 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is four years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is four years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

5.3. For Requirement R2, 50 percent of the entity's applicable unit gross MVA for each Interconnection on first day of the first calendar quarter that is six years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is six years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

5.4. For Requirement R2, 100 percent of the entity's applicable unit gross MVA for each Interconnection on the first day of the first calendar quarter that is 10 years following applicable regulatory approval or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, or in those jurisdictions where no regulatory approval is required, on the first day of the first calendar quarter that is 10 years following NERC Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1.** Each Transmission Planner shall provide the following requested information to the Generator Owner within 90 calendar days of receiving a written request: *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- Instructions on how to obtain the list of turbine/governor and load control or active power/frequency control system models that are acceptable to the Transmission Planner for use in dynamic simulation,
 - Instructions on how to obtain the dynamic turbine/governor and load control or active power/frequency control function model library block diagrams and/or data sheets for models that are acceptable to the Transmission Planner, or
 - Model data for any of the Generator Owner's existing applicable unit specific turbine/governor and load control or active power/frequency control system contained in the Transmission Planner's dynamic database from the current (in-use) models.
- R2.** Each Generator Owner shall provide, for each applicable unit, a verified turbine/governor and load control or active power/frequency control model, including documentation and data (as specified in Part 2.1) to its Transmission Planner in accordance with the periodicity specified in MOD-027 Attachment 1. *[Violation Risk Factor: Medium] [Time Horizon: Long-term Planning]*
- 2.1.** Each applicable unit's model shall be verified by the Generator Owner using one or more models acceptable to the Transmission Planner. Verification for individual units rated less than 20 MVA (gross nameplate rating) in a generating plant (per Section 4.2.1.2, 4.2.2.2, or 4.2.3.2) may be performed using either individual unit or aggregate unit model(s) or both. Each verification shall include the following:
- 2.1.1.** Documentation comparing the applicable unit's MW model response to the recorded MW response for either:
- A frequency excursion from a system disturbance that meets MOD-027 Attachment 1 Note 1 with the applicable unit on-line,
 - A speed governor reference change with the applicable unit on-line, or
 - A partial load rejection test,²
- 2.1.2.** Type of governor and load control or active power control/frequency control³ equipment,

² Differences between the control mode tested and the final simulation model must be identified, particularly when analyzing load rejection data. Most controls change gains or have a set point runback which takes effect when the breaker opens. Load or set point controls will also not be in effect once the breaker opens. Some method of accounting for these differences must be presented if the final model is not validated from on-line data under the normal operating conditions under which the model is expected to apply.

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- 2.1.3. A description of the turbine (e.g. for hydro turbine - Kaplan, Francis, or Pelton; for steam turbine - boiler type, normal fuel type, and turbine type; for gas turbine - the type and manufacturer; for variable energy plant - type and manufacturer),
 - 2.1.4. Model structure and data for turbine/governor and load control or active power/frequency control, and
 - 2.1.5. Representation of the real power response effects of outer loop controls (such as operator set point controls, and load control but excluding AGC control) that would override the governor response (including blocked or nonfunctioning governors or modes of operation that limit Frequency Response), if applicable.
- R3.** Each Generator Owner shall provide a written response to its Transmission Planner within 90 calendar days of receiving one of the following items for an applicable unit.
- Written notification, from its Transmission Planner (in accordance with Requirement R5) that the turbine/governor and load control or active power/frequency control model is not “usable,”
 - Written comments from its Transmission Planner identifying technical concerns with the verification documentation related to the turbine/governor and load control or active power/frequency control model, or
 - Written comments and supporting evidence from its Transmission Planner indicating that the simulated turbine/governor and load control or active power/frequency control response did not approximate the recorded response for three or more transmission system events.

The written response shall contain either the technical basis for maintaining the current model, the model changes, or a plan to perform model verification⁴ (in accordance with Requirement R2). [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R4.** Each Generator Owner shall provide revised model data or plans to perform model verification⁵ (in accordance with Requirement R2) for an applicable unit to its Transmission Planner within 180 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter

³ Turbine/governor and load control or active power/frequency control:

- a. Turbine/governor and load control applies to conventional synchronous generation.
- b. Active power/frequency control applies to inverter connected generators (often found at variable energy plants).

⁴ If verification is performed, the 10 year period as outlined in MOD-027 Attachment 1 is reset.

⁵ Ibid.

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the equipment response characteristic⁶. [*Violation Risk Factor: Lower*] [*Time Horizon: Operations Planning*]

- R5.** Each Transmission Planner shall provide a written response to the Generator Owner within 90 calendar days of receiving the turbine/governor and load control or active power/frequency control system verified model information in accordance with Requirement R2 that the model is usable (meets the criteria specified in Parts 5.1 through 5.3) or is not usable.
- 5.1.** The turbine/governor and load control or active power/frequency control function model initializes to compute modeling data without error,
- 5.2.** A no-disturbance simulation results in negligible transients, and
- 5.3.** For an otherwise stable simulation, a disturbance simulation results in the turbine/governor and load control or active power/frequency control model exhibiting positive damping.

If the model is not usable, the Transmission Planner shall provide a technical description of why the model is not usable. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*]

C. Measures

- M1.** The Transmission Planner must have and provide the dated request for instructions or data, the transmitted instruction or data, and dated evidence of a written transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence that it provided the request within 90 calendar days in accordance with Requirement R1.
- M2.** The Generator Owner must have and provide dated evidence it verified each generator turbine/governor and load control or active power/frequency control model according to Part 2.1 for each applicable unit and a dated transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) as evidence it provided the model, documentation, and data to its Transmission Planner, in accordance with Requirement R2.
- M3.** Evidence for Requirement R3 must include the Generator Owner's dated written response containing the information identified in Requirement R3 and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) of the response.
- M4.** Evidence for Requirement R4 must include, for each of the Generator Owner's applicable units for which system changes specified in Requirement R4 were made, dated revised model data or dated plans to perform a model verification and dated evidence of transmittal (e.g., electronic mail message, postal receipt, or confirmation of facsimile) within 180 calendar days of making changes.

⁶ Control replacement or alteration including software alterations or plant digital control system addition or replacement, plant digital control system software alterations that alter droop, and/or dead band, and/or frequency response and/or a change in the frequency control mode (such as going from droop control to constant MW control, etc).

- M5.** Evidence of Requirement R5 must include, for each model received, the dated response indicating the model was usable or not usable according to the criteria specified in Parts 5.1 through 5.3 and for a model that is not useable, a technical description is the model is not usable, and dated evidence of transmittal (e.g., electronic mail messages, postal receipts, or confirmation of facsimile) that the Generator Owner was notified within 90 calendar days of receipt of model information in accordance with Requirement R5.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity shall serve as the Compliance Enforcement Authority unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases the ERO or a Regional entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Generator Owner and Transmission Planner 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 Transmission Planner shall retain the information/data request and provided response evidence of Requirements R1 and R5, Measures M1 and M5 for 3 calendar years from the date the document was provided.
- The Generator Owner shall retain the latest turbine/governor and load control or active power/frequency control system model verification evidence of Requirement R2, Measure M2.
- The Generator Owner shall retain the information/data request and provided response evidence of Requirements R3, and R4 Measures M3 and M4 for 3 calendar years from the date the document was provided.

If a Generator Owner or Transmission Planner is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.

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

1.3. Compliance Monitoring and Assessment Processes

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.4. Additional Compliance Information

None

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

2. Violation Severity Levels

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Transmission Planner provided the instructions and data to the Generator Owner more than 90 calendar days but less than or equal to 120 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 120 calendar days but less than or equal to 150 calendar days of receiving a written request.	The Transmission Planner provided the instructions and data to the Generator Owner more than 150 calendar days but less than or equal to 180 calendar days of receiving a written request.	The Transmission Planner failed to provide the instructions and data to the Generator Owner within 180 calendar days of receiving a written request.
R2	<p>The Generator Owner provided its verified model(s) to its Transmission Planner after the periodicity timeframe specified in MOD-027 Attachment 1 but less than or equal to 90 calendar days late;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner a verified model that omitted one of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) to its Transmission Planner more than 90 calendar days but less than or equal to 180 calendar days late as specified by the periodicity timeframe in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner a verified model that omitted two of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) to its Transmission Planner more than 180 calendar days but less than or equal to 270 calendar days late as specified by the periodicity timeframe in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified models that omitted three of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>	<p>The Generator Owner provided its verified model(s) more than 270 calendar days late to its Transmission Planner in accordance with the periodicity specified in MOD-027 Attachment 1;</p> <p>OR</p> <p>The Generator Owner failed to use model(s) acceptable to the Transmission Planner as specified in Requirement R2, Part 2.1;</p> <p>OR</p> <p>The Generator Owner provided the Transmission Planner verified model(s) that omitted four or more of the five Parts identified in Requirement R2, Subparts 2.1.1, through 2.1.5.</p>

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R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3	The Generator Owner provided a written response more than 90 calendar days but less than or equal to 120 calendar days of receiving written notice.	The Generator Owner provided a written response more than 120 calendar days but less than or equal to 150 calendar days of receiving written notice.	The Generator Owner provided a written response more than 150 calendar days but less than or equal to 180 calendar days of receiving written notice.	The Generator Owner failed to provide a written response within 180 calendar days of receiving written notice; OR The Generator Owner's written response failed to contain either the technical basis for maintaining the current model, or a list of future model changes, or a plan to perform another model verification.
R4	The Generator Owner provided revised model data or plans to perform model verification more than 180 calendar days but less than or equal to 210 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 210 calendar days but less than or equal to 240 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner provided revised model data or plans to perform model verification more than 240 calendar days but less than or equal to 270 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that alter the equipment response characteristic.	The Generator Owner failed to provide revised model data or failed to provide plans to perform model verification within 270 calendar days of making changes to the turbine/governor and load control or active power/frequency control system that altered the equipment response characteristic.

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

R #	Lower VSL	Moderate VSL	High VSL	Severe VSL
R5	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner within 90 calendar days indicating that the model is not usable; but did not include a technical description</u></p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 120 calendar days but less than or equal to 150 calendar days of receiving the verified model information;</p> <p><u>OR</u></p> <p>The Transmission Planner’s written response omitted confirmation for one of the specified model criteria listed in Requirement R5, Parts 5.1 through 5.3.;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 90 calendar days but less than or equal to 120 calendar days of receiving verified model information.</u></p>	<p>The Transmission Planner provided a written response to the Generator Owner indicating whether the model is usable or not usable, including a technical description if the model is not usable, more than 150 calendar days but less than or equal to 180 calendar days of receiving the verified model information;</p> <p><u>OR</u></p> <p>The Transmission Planner’s written response omitted confirmation for two of the specified model criteria listed in Requirement R5, Parts 5.1 through 5.3.;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 120 calendar days but less than or equal to 150 calendar days of receiving verified model information.</u></p>	<p>The Transmission Planner failed to provide a written response to the Generator Owner within 180 calendar days of receiving the verified model information;</p> <p><u>OR</u></p> <p>The Transmission Planner provided a written response without including confirmation of all specified model criteria listed in Requirement R5, Parts 5.1 through 5.3.;</p> <p><u>OR</u></p> <p><u>The Transmission Planner provided a written response to the Generator Owner indicating that the model is not usable, but did not include a technical description and provided the response more than 150 calendar days after receiving verified model information.</u></p>

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

E. Regional Variances

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
1	February 7, 2013	Adopted by NERC Board of Trustees	New
1	March 20, 2014	FERC Order issued approving MOD-027-1. (Order becomes effective for R1, R3, R4, and R5 on 7/1/14. R2 becomes effective 7/1/18.)	
<u>1</u>	<u>May 7, 2014</u>	<u>NERC Board of Trustees adopted revisions to VSLs in Requirement R5.</u>	

G. References

The following documents contain technical information beyond the scope of this Standard on turbine/governor and load control or active power/frequency control system functionality, modeling, and testing.

- 1) IEEE Task Force on Generator Model Validation Testing of the Power System Stability Subcommittee, "Guidelines for Generator Stability Model Validation Testing," IEEE PES General Meeting 2007, paper 07GM1307
- 2) L. Pereira "New Thermal Governor Model Development: Its Impact on Operation and Planning Studies on the Western Interconnection" IEEE POWER AND ENERGY MAGAZINE, MAY/JUNE 2005
- 3) D.M. Cabbell, S. Rueckert, B.A. Tuck, and M.C. Willis, "The New Thermal Governor Model Used in Operating and Planning Studies in WECC," in Proc. IEEE PES General Meeting, Denver, CO, 2004
- 4) S. Patterson, "Importance of Hydro Generation Response Resulting from the New Thermal Modeling-and Required Hydro Modeling Improvements," in Proc. IEEE PES General Meeting, Denver, CO, 2004
- 5) L. Pereira, D. Kosterev, D. Davies, and S. Patterson, "New Thermal Governor Model Selection and Validation in the WECC," IEEE Trans. Power Syst., vol. 19, no. 1, pp. 517-523, February 2004
- 6) L. Pereira, J. Undrill, D. Kosterev, D. Davies, and S. Patterson, "A New Thermal Governor Modeling Approach in the WECC," IEEE Trans. Power Syst., vol. 18, no. 2, pp. 819-829, May 2003

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

- 7) P. Pourbeik, C. Pink and R. Bisbee, “Power Plant Model Validation for Achieving Reliability Standard Requirements Based on Recorded On-Line Disturbance Data”, Proceedings of the IEEE PSCE, March, 2011

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MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
1	Establishing the initial verification date for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the Effective Date. Row 5 applies when calculating generation fleet compliance during the 10year implementation period. See Section A5 for Effective Dates.
2	Subsequent verification for an applicable unit. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner on or before the 10-year anniversary of the last transmittal (per Note 2).
3	Applicable unit is not subjected to a frequency excursion per Note 1 by the date otherwise required to meet the dates per Rows 1, 2, 4, or 6. (This row is only applicable if a frequency excursion from a system disturbance that meets Note 1 is selected for the verification method and the ability to record the applicable unit’s real power response to a frequency excursion is installed and expected to be available). (Requirement R2)	Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner. Transmit the verified model, documentation and data to the Transmission Planner on or before 365 calendar days after a frequency excursion per Note 1 occurs and the recording equipment captures the applicable unit’s real power response as expected.
4	Initial verification for a new applicable unit or for an existing applicable unit with new turbine/governor and load control or active power/frequency control equipment installed. (Requirement R2)	Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the commissioning date.

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
5	<p>Existing applicable unit that is equivalent to another applicable unit(s) at the same physical location;</p> <p>AND</p> <p>Each applicable unit has the same MVA nameplate rating;</p> <p>AND</p> <p>The nameplate rating is ≤ 350 MVA;</p> <p>AND</p> <p>Each applicable unit has the same components and settings;</p> <p>AND</p> <p>The model for one of these equivalent applicable units has been verified.</p> <p>(Requirement R2)</p>	<p>Document circumstance with a written statement and include with the verified model, documentation and data provided to the Transmission Planner for the verified equivalent unit.</p> <p>Verify a different equivalent unit during each 10-year verification period.</p> <p>Applies to Row 1 when calculating generation fleet compliance during the 10-year implementation period.</p>
6	<p>The Generator Owner has submitted a verification plan.</p> <p>(Requirement R3 or R4)</p>	<p>Transmit the verified model, documentation and data to the Transmission Planner within 365 calendar days after the submittal of the verification plan.</p>

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
7	<p>Applicable unit is not responsive to both over and under frequency excursion events (The applicable unit does not operate in a frequency control mode, except during normal start up and shut down, that would result in a turbine/governor and load control or active power/frequency control mode response.);</p> <p>OR</p> <p>Applicable unit either does not have an installed frequency control system or has a disabled frequency control system.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>Perform verification per the periodicity specified in Row 4 for a “New Generating Unit” (or new equipment) only if responsive control mode operation for connected operations is established.</p>
8	<p>Existing applicable unit has a current average net capacity factor over the most recent three calendar years, beginning on January 1 and ending on December 31 of 5% or less.</p> <p>(Requirement R2)</p>	<p>Requirement 2 is met with a written statement to that effect transmitted to the Transmission Planner.</p> <p>At the end of this 10 calendar year timeframe, the current average three year net capacity factor (for years 8, 9, and 10) can be examined to determine if the capacity factor exemption can be declared for the next 10 calendar year period. If not eligible for the capacity factor exemption, then model verification must be completed within 365 calendar days of the date the capacity factor exemption expired.</p> <p>For the definition of net capacity factor, refer to Appendix F of the GADS Data Reporting Instructions on the NERC website.</p>

Standard MOD-027-1 — Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions

MOD-027 Attachment 1		
Turbine/Governor and Load Control or Active Power/Frequency Control Model Periodicity		
Row Number	Verification Condition	Required Action
<p>NOTES:</p> <p>NOTE 1: Unit model verification frequency excursion criteria:</p> <ul style="list-style-type: none"> • ≥ 0.05 hertz deviation (nadir point) from scheduled frequency for the Eastern Interconnection with the applicable unit operating in a frequency responsive mode • ≥ 0.10 hertz deviation (nadir point) from scheduled frequency for the ERCOT and Western Interconnections with the applicable unit operating in a frequency responsive mode • ≥ 0.15 hertz deviation (nadir point) from scheduled frequency for the Quebec Interconnection with the applicable unit operating in a frequency responsive mode <p>NOTE 2: Establishing the recurring ten year unit verification period start date:</p> <ul style="list-style-type: none"> • The start date is the actual date of submittal of a verified model to the Transmission Planner for the most recently performed unit verification. <p>NOTE 3: Consideration for early compliance:</p> <p>Existing turbine/governor and load control or active power/frequency control model verification is sufficient for demonstrating compliance for a 10 year period from the actual transmittal date if either of the following applies:</p> <ul style="list-style-type: none"> • The Generator Owner has a verified model that is compliant with the applicable regional policies, guidelines or criteria existing at the time of model verification • The Generator Owner has an existing verified model that is compliant with the requirements of this standard 		

TPL-001-4 Clean and Redline Standard

A. Introduction

1. **Title:** Transmission System Planning Performance Requirements
2. **Number:** TPL-001-4
3. **Purpose:** Establish Transmission system planning performance requirements within the planning horizon to develop a Bulk Electric System (BES) that will operate reliably over a broad spectrum of System conditions and following a wide range of probable Contingencies.
4. **Applicability:**
 - 4.1. **Functional Entity**
 - 4.1.1. Planning Coordinator.
 - 4.1.2. Transmission Planner.
5. **Effective Date:** Requirements R1 and R7 as well as the definitions shall become effective on the first day of the first calendar quarter, 12 months after applicable regulatory approval. In those jurisdictions where regulatory approval is not required, Requirements R1 and R7 become effective on the first day of the first calendar quarter, 12 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

Except as indicated below, Requirements R2 through R6 and Requirement R8 shall become effective on the first day of the first calendar quarter, 24 months after applicable regulatory approval. In those jurisdictions where regulatory approval is not required, all requirements, except as noted below, go into effect on the first day of the first calendar quarter, 24 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

For 84 calendar months beginning the first day of the first calendar quarter following applicable regulatory approval, or in those jurisdictions where regulatory approval is not required on the first day of the first calendar quarter 84 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, Corrective Action Plans applying to the following categories of Contingencies and events identified in TPL-001-4, Table 1 are allowed to include Non-Consequential Load Loss and curtailment of Firm Transmission Service (in accordance with Requirement R2, Part 2.7.3.) that would not otherwise be permitted by the requirements of TPL-001-4:

- § P1-2 (for controlled interruption of electric supply to local network customers connected to or supplied by the Faulted element)
- § P1-3 (for controlled interruption of electric supply to local network customers connected to or supplied by the Faulted element)
- § P2-1
- § P2-2 (above 300 kV)
- § P2-3 (above 300 kV)
- § P3-1 through P3-5
- § P4-1 through P4-5 (above 300 kV)
- § P5 (above 300 kV)

B. Requirements

- R1.** Each Transmission Planner and Planning Coordinator shall maintain System models within its respective area for performing the studies needed to complete its Planning Assessment. The models shall use data consistent with that provided in accordance with the MOD-010 and MOD-012 standards, supplemented by other sources as needed, including items represented in the Corrective Action Plan, and shall represent projected System conditions. This establishes Category P0 as the normal System condition in Table 1. *[Violation Risk Factor: High] [Time Horizon: Long-term Planning]*
- 1.1.** System models shall represent:
- 1.1.1.** Existing Facilities
 - 1.1.2.** Known outage(s) of generation or Transmission Facility(ies) with a duration of at least six months.
 - 1.1.3.** New planned Facilities and changes to existing Facilities
 - 1.1.4.** Real and reactive Load forecasts
 - 1.1.5.** Known commitments for Firm Transmission Service and Interchange
 - 1.1.6.** Resources (supply or demand side) required for Load
- R2.** Each Transmission Planner and Planning Coordinator shall prepare an annual Planning Assessment of its portion of the BES. This Planning Assessment shall use current or qualified past studies (as indicated in Requirement R2, Part 2.6), document assumptions, and document summarized results of the steady state analyses, short circuit analyses, and Stability analyses. *[Violation Risk Factor: High] [Time Horizon: Long-term Planning]*
- 2.1.** For the Planning Assessment, the Near-Term Transmission Planning Horizon portion of the steady state analysis shall be assessed annually and be supported by current annual studies or qualified past studies as indicated in Requirement R2, Part 2.6. Qualifying studies need to include the following conditions:
- 2.1.1.** System peak Load for either Year One or year two, and for year five.
 - 2.1.2.** System Off-Peak Load for one of the five years.
 - 2.1.3.** P1 events in Table 1, with known outages modeled as in Requirement R1, Part 1.1.2, under those System peak or Off-Peak conditions when known outages are scheduled.
 - 2.1.4.** For each of the studies described in Requirement R2, Parts 2.1.1 and 2.1.2, sensitivity case(s) shall be utilized to demonstrate the impact of changes to the basic assumptions used in the model. To accomplish this, the sensitivity analysis in the Planning Assessment must vary one or more of the following conditions by a sufficient amount to stress the System within a range of credible conditions that demonstrate a measurable change in System response :
 - Real and reactive forecasted Load.
 - Expected transfers.
 - Expected in service dates of new or modified Transmission Facilities.
 - Reactive resource capability.
 - Generation additions, retirements, or other dispatch scenarios.

- Controllable Loads and Demand Side Management.
 - Duration or timing of known Transmission outages.
- 2.1.5.** When an entity's spare equipment strategy could result in the unavailability of major Transmission equipment that has a lead time of one year or more (such as a transformer), the impact of this possible unavailability on System performance shall be studied. The studies shall be performed for the P0, P1, and P2 categories identified in Table 1 with the conditions that the System is expected to experience during the possible unavailability of the long lead time equipment.
- 2.2.** For the Planning Assessment, the Long-Term Transmission Planning Horizon portion of the steady state analysis shall be assessed annually and be supported by the following annual current study, supplemented with qualified past studies as indicated in Requirement R2, Part 2.6:
- 2.2.1.** A current study assessing expected System peak Load conditions for one of the years in the Long-Term Transmission Planning Horizon and the rationale for why that year was selected.
- 2.3.** The short circuit analysis portion of the Planning Assessment shall be conducted annually addressing the Near-Term Transmission Planning Horizon and can be supported by current or past studies as qualified in Requirement R2, Part 2.6. The analysis shall be used to determine whether circuit breakers have interrupting capability for Faults that they will be expected to interrupt using the System short circuit model with any planned generation and Transmission Facilities in service which could impact the study area.
- 2.4.** For the Planning Assessment, the Near-Term Transmission Planning Horizon portion of the Stability analysis shall be assessed annually and be supported by current or past studies as qualified in Requirement R2, Part 2.6. The following studies are required:
- 2.4.1.** System peak Load for one of the five years. System peak Load levels shall include a Load model which represents the expected dynamic behavior of Loads that could impact the study area, considering the behavior of induction motor Loads. An aggregate System Load model which represents the overall dynamic behavior of the Load is acceptable.
- 2.4.2.** System Off-Peak Load for one of the five years.
- 2.4.3.** For each of the studies described in Requirement R2, Parts 2.4.1 and 2.4.2, sensitivity case(s) shall be utilized to demonstrate the impact of changes to the basic assumptions used in the model. To accomplish this, the sensitivity analysis in the Planning Assessment must vary one or more of the following conditions by a sufficient amount to stress the System within a range of credible conditions that demonstrate a measurable change in performance:
- Load level, Load forecast, or dynamic Load model assumptions.
 - Expected transfers.
 - Expected in service dates of new or modified Transmission Facilities.
 - Reactive resource capability.
 - Generation additions, retirements, or other dispatch scenarios.

- 2.5.** For the Planning Assessment, the Long-Term Transmission Planning Horizon portion of the Stability analysis shall be assessed to address the impact of proposed material generation additions or changes in that timeframe and be supported by current or past studies as qualified in Requirement R2, Part 2.6 and shall include documentation to support the technical rationale for determining material changes.
- 2.6.** Past studies may be used to support the Planning Assessment if they meet the following requirements:
- 2.6.1.** For steady state, short circuit, or Stability analysis: the study shall be five calendar years old or less, unless a technical rationale can be provided to demonstrate that the results of an older study are still valid.
- 2.6.2.** For steady state, short circuit, or Stability analysis: no material changes have occurred to the System represented in the study. Documentation to support the technical rationale for determining material changes shall be included.
- 2.7.** For planning events shown in Table 1, when the analysis indicates an inability of the System to meet the performance requirements in Table 1, the Planning Assessment shall include Corrective Action Plan(s) addressing how the performance requirements will be met. Revisions to the Corrective Action Plan(s) are allowed in subsequent Planning Assessments but the planned System shall continue to meet the performance requirements in Table 1. Corrective Action Plan(s) do not need to be developed solely to meet the performance requirements for a single sensitivity case analyzed in accordance with Requirements R2, Parts 2.1.4 and 2.4.3. The Corrective Action Plan(s) shall:
- 2.7.1.** List System deficiencies and the associated actions needed to achieve required System performance. Examples of such actions include:
- Installation, modification, retirement, or removal of Transmission and generation Facilities and any associated equipment.
 - Installation, modification, or removal of Protection Systems or Special Protection Systems
 - Installation or modification of automatic generation tripping as a response to a single or multiple Contingency to mitigate Stability performance violations.
 - Installation or modification of manual and automatic generation runback/tripping as a response to a single or multiple Contingency to mitigate steady state performance violations.
 - Use of Operating Procedures specifying how long they will be needed as part of the Corrective Action Plan.
 - Use of rate applications, DSM, new technologies, or other initiatives.
- 2.7.2.** Include actions to resolve performance deficiencies identified in multiple sensitivity studies or provide a rationale for why actions were not necessary.
- 2.7.3.** If situations arise that are beyond the control of the Transmission Planner or Planning Coordinator that prevent the implementation of a Corrective Action Plan in the required timeframe, then the Transmission Planner or Planning Coordinator is permitted to utilize Non-Consequential Load Loss and curtailment of Firm Transmission Service to correct the situation that would normally not be permitted in Table 1, provided that the Transmission Planner

Table 1 – Steady State & Stability Performance Planning Events

Steady State & Stability:

- a. The System shall remain stable. Cascading and uncontrolled islanding shall not occur.
- b. Consequential Load Loss as well as generation loss is acceptable as a consequence of any event excluding P0.
- c. Simulate the removal of all elements that Protection Systems and other controls are expected to automatically disconnect for each event.
- d. Simulate Normal Clearing unless otherwise specified.
- e. Planned System adjustments such as Transmission configuration changes and re-dispatch of generation are allowed if such adjustments are executable within the time duration applicable to the Facility Ratings.

Steady State Only:

- f. Applicable Facility Ratings shall not be exceeded.
- g. System steady state voltages and post-Contingency voltage deviations shall be within acceptable limits as established by the Planning Coordinator and the Transmission Planner.
- h. Planning event P0 is applicable to steady state only.
- i. The response of voltage sensitive Load that is disconnected from the System by end-user equipment associated with an event shall not be used to meet steady state performance requirements.

Stability Only:

- j. Transient voltage response shall be within acceptable limits established by the Planning Coordinator and the Transmission Planner.

Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P0 No Contingency	Normal System	None	N/A	EHV, HV	No	No
P1 Single Contingency	Normal System	Loss of one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶	3Ø	EHV, HV	No ⁹	No ¹²
		5. Single Pole of a DC line	SLG			
P2 Single Contingency	Normal System	1. Opening of a line section w/o a fault ⁷	N/A	EHV, HV	No ⁹	No ¹²
		2. Bus Section Fault	SLG	EHV	No ⁹	No
				HV	Yes	Yes
		3. Internal Breaker Fault ⁸ (non-Bus-tie Breaker)	SLG	EHV	No ⁹	No
HV	Yes			Yes		
4. Internal Breaker Fault (Bus-tie Breaker) ⁸	SLG	EHV, HV	Yes	Yes		

Standard TPL-001-4 — Transmission System Planning Performance Requirements

Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P3 Multiple Contingency	Loss of generator unit followed by System adjustments ⁹	Loss of one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶	3Ø	EHV, HV	No ⁹	No ¹²
		5. Single pole of a DC line	SLG			
P4 Multiple Contingency <i>(Fault plus stuck breaker¹⁰)</i>	Normal System	Loss of multiple elements caused by a stuck breaker ¹⁰ (non-Bus-tie Breaker) attempting to clear a Fault on one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶ 5. Bus Section	SLG	EHV	No ⁹	No
		6. Loss of multiple elements caused by a stuck breaker ¹⁰ (Bus-tie Breaker) attempting to clear a Fault on the associated bus		HV	Yes	Yes
				SLG	EHV, HV	Yes
P5 Multiple Contingency <i>(Fault plus relay failure to operate)</i>	Normal System	Delayed Fault Clearing due to the failure of a non-redundant relay ¹³ protecting the Faulted element to operate as designed, for one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶ 5. Bus Section	SLG	EHV	No ⁹	No
				HV	Yes	Yes
P6 Multiple Contingency <i>(Two overlapping singles)</i>	Loss of one of the following followed by System adjustments. ⁹ 1. Transmission Circuit 2. Transformer ⁵ 3. Shunt Device ⁶ 4. Single pole of a DC line	Loss of one of the following: 1. Transmission Circuit 2. Transformer ⁵ 3. Shunt Device ⁶	3Ø	EHV, HV	Yes	Yes
		4. Single pole of a DC line	SLG			

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Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P7 Multiple Contingency <i>(Common Structure)</i>	Normal System	The loss of: 1. Any two adjacent (vertically or horizontally) circuits on common structure ¹¹ 2. Loss of a bipolar DC line	SLG	EHV, HV	Yes	Yes

Table 1 – Steady State & Stability Performance Extreme Events

Steady State & Stability

For all extreme events evaluated:

- a. Simulate the removal of all elements that Protection Systems and automatic controls are expected to disconnect for each Contingency.
- b. Simulate Normal Clearing unless otherwise specified.

Steady State

1. Loss of a single generator, Transmission Circuit, single pole of a DC Line, shunt device, or transformer forced out of service followed by another single generator, Transmission Circuit, single pole of a different DC Line, shunt device, or transformer forced out of service prior to System adjustments.
2. Local area events affecting the Transmission System such as:
 - a. Loss of a tower line with three or more circuits.¹¹
 - b. Loss of all Transmission lines on a common Right-of-Way¹¹.
 - c. Loss of a switching station or substation (loss of one voltage level plus transformers).
 - d. Loss of all generating units at a generating station.
 - e. Loss of a large Load or major Load center.
3. Wide area events affecting the Transmission System based on System topology such as:
 - a. Loss of two generating stations resulting from conditions such as:
 - i. Loss of a large gas pipeline into a region or multiple regions that have significant gas-fired generation.
 - ii. Loss of the use of a large body of water as the cooling source for generation.
 - iii. Wildfires.
 - iv. Severe weather, e.g., hurricanes, tornadoes, etc.
 - v. A successful cyber attack.
 - vi. Shutdown of a nuclear power plant(s) and related facilities for a day or more for common causes such as problems with similarly designed plants.
 - b. Other events based upon operating experience that may result in wide area disturbances.

Stability

1. With an initial condition of a single generator, Transmission circuit, single pole of a DC line, shunt device, or transformer forced out of service, apply a 3Ø fault on another single generator, Transmission circuit, single pole of a different DC line, shunt device, or transformer prior to System adjustments.
2. Local or wide area events affecting the Transmission System such as:
 - a. 3Ø fault on generator with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - b. 3Ø fault on Transmission circuit with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - c. 3Ø fault on transformer with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - d. 3Ø fault on bus section with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - e. 3Ø internal breaker fault.
 - f. Other events based upon operating experience, such as consideration of initiating events that experience suggests may result in wide area disturbances

**Table 1 – Steady State & Stability Performance Footnotes
(Planning Events and Extreme Events)**

1. If the event analyzed involves BES elements at multiple System voltage levels, the lowest System voltage level of the element(s) removed for the analyzed event determines the stated performance criteria regarding allowances for interruptions of Firm Transmission Service and Non-Consequential Load Loss.
2. Unless specified otherwise, simulate Normal Clearing of faults. Single line to ground (SLG) or three-phase (3Ø) are the fault types that must be evaluated in Stability simulations for the event described. A 3Ø or a double line to ground fault study indicating the criteria are being met is sufficient evidence that a SLG condition would also meet the criteria.
3. Bulk Electric System (BES) level references include extra-high voltage (EHV) Facilities defined as greater than 300kV and high voltage (HV) Facilities defined as the 300kV and lower voltage Systems. The designation of EHV and HV is used to distinguish between stated performance criteria allowances for interruption of Firm Transmission Service and Non-Consequential Load Loss.
4. Curtailment of Conditional Firm Transmission Service is allowed when the conditions and/or events being studied formed the basis for the Conditional Firm Transmission Service.
5. For non-generator step up transformer outage events, the reference voltage, as used in footnote 1, applies to the low-side winding (excluding tertiary windings). For generator and Generator Step Up transformer outage events, the reference voltage applies to the BES connected voltage (high-side of the Generator Step Up transformer). Requirements which are applicable to transformers also apply to variable frequency transformers and phase shifting transformers.
6. Requirements which are applicable to shunt devices also apply to FACTS devices that are connected to ground.
7. Opening one end of a line section without a fault on a normally networked Transmission circuit such that the line is possibly serving Load radial from a single source point.
8. An internal breaker fault means a breaker failing internally, thus creating a System fault which must be cleared by protection on both sides of the breaker.
9. An objective of the planning process should be to minimize the likelihood and magnitude of interruption of Firm Transmission Service following Contingency events. Curtailment of Firm Transmission Service is allowed both as a System adjustment (as identified in the column entitled 'Initial Condition') and a corrective action when achieved through the appropriate re-dispatch of resources obligated to re-dispatch, where it can be demonstrated that Facilities, internal and external to the Transmission Planner's planning region, remain within applicable Facility Ratings and the re-dispatch does not result in any Non-Consequential Load Loss. Where limited options for re-dispatch exist, sensitivities associated with the availability of those resources should be considered.
10. A stuck breaker means that for a gang-operated breaker, all three phases of the breaker have remained closed. For an independent pole operated (IPO) or an independent pole tripping (IPT) breaker, only one pole is assumed to remain closed. A stuck breaker results in Delayed Fault Clearing.
11. Excludes circuits that share a common structure (Planning event P7, Extreme event steady state 2a) or common Right-of-Way (Extreme event, steady state 2b) for 1 mile or less.
12. An objective of the planning process is to minimize the likelihood and magnitude of Non-Consequential Load Loss following planning events. In limited circumstances, Non-Consequential Load Loss may be needed throughout the planning horizon to ensure that BES performance requirements are met. However, when Non-Consequential Load Loss is utilized under footnote 12 within the Near-Term Transmission Planning Horizon to address BES performance requirements, such interruption is limited to circumstances where the Non-Consequential Load Loss meets the conditions shown in Attachment 1. In no case can the planned Non-Consequential Load Loss under footnote 12 exceed 75 MW for US registered entities. The amount of planned Non-Consequential Load Loss for a non-US Registered Entity should be implemented in a manner that is consistent with, or under the direction of, the applicable governmental authority or its agency in the non-US jurisdiction.
13. Applies to the following relay functions or types: pilot (#85), distance (#21), differential (#87), current (#50, 51, and 67), voltage (#27 & 59), directional (#32, & 67), and tripping (#86, & 94).

Attachment 1

I. Stakeholder Process

During each Planning Assessment before the use of Non-Consequential Load Loss under footnote 12 is allowed as an element of a Corrective Action Plan in the Near-Term Transmission Planning Horizon of the Planning Assessment, the Transmission Planner or Planning Coordinator shall ensure that the utilization of footnote 12 is reviewed through an open and transparent stakeholder process. The responsible entity can utilize an existing process or develop a new process. The process must include the following:

1. Meetings must be open to affected stakeholders including applicable regulatory authorities or governing bodies responsible for retail electric service issues
2. Notice must be provided in advance of meetings to affected stakeholders including applicable regulatory authorities or governing bodies responsible for retail electric service issues and include an agenda with:
 - a. Date, time, and location for the meeting
 - b. Specific location(s) of the planned Non-Consequential Load Loss under footnote 12
 - c. Provisions for a stakeholder comment period
3. Information regarding the intended purpose and scope of the proposed Non-Consequential Load Loss under footnote 12 (as shown in Section II below) must be made available to meeting participants
4. A procedure for stakeholders to submit written questions or concerns and to receive written responses to the submitted questions and concerns
5. A dispute resolution process for any question or concern raised in #4 above that is not resolved to the stakeholder's satisfaction

An entity does not have to repeat the stakeholder process for a specific application of footnote 12 utilization with respect to subsequent Planning Assessments unless conditions spelled out in Section II below have materially changed for that specific application.

II. Information for Inclusion in Item #3 of the Stakeholder Process

The responsible entity shall document the planned use of Non-Consequential Load Loss under footnote 12 which must include the following:

1. Conditions under which Non-Consequential Load Loss under footnote 12 would be necessary:
 - a. System Load level and estimated annual hours of exposure at or above that Load level
 - b. Applicable Contingencies and the Facilities outside their applicable rating due to that Contingency
2. Amount of Non-Consequential Load Loss with:
 - a. The estimated number and type of customers affected

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- b. An explanation of the effect of the use of Non-Consequential Load Loss under footnote 12 on the health, safety, and welfare of the community
3. Estimated frequency of Non-Consequential Load Loss under footnote 12 based on historical performance
4. Expected duration of Non-Consequential Load Loss under footnote 12 based on historical performance
5. Future plans to alleviate the need for Non-Consequential Load Loss under footnote 12
6. Verification that TPL Reliability Standards performance requirements will be met following the application of footnote 12
7. Alternatives to Non-Consequential Load Loss considered and the rationale for not selecting those alternatives under footnote 12
8. Assessment of potential overlapping uses of footnote 12 including overlaps with adjacent Transmission Planners and Planning Coordinators

III. Instances for which Regulatory Review of Non-Consequential Load Loss under Footnote 12 is Required

Before a Non-Consequential Load Loss under footnote 12 is allowed as an element of a Corrective Action Plan in Year One of the Planning Assessment, the Transmission Planner or Planning Coordinator must ensure that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12 if either:

1. The voltage level of the Contingency is greater than 300 kV
 - a. If the Contingency analyzed involves BES Elements at multiple System voltage levels, the lowest System voltage level of the element(s) removed for the analyzed Contingency determines the stated performance criteria regarding allowances for Non-Consequential Load Loss under footnote 12, or
 - b. For a non-generator step up transformer outage Contingency, the 300 kV limit applies to the low-side winding (excluding tertiary windings). For a generator or generator step up transformer outage Contingency, the 300 kV limit applies to the BES connected voltage (high-side of the Generator Step Up transformer)
2. The planned Non-Consequential Load Loss under footnote 12 is greater than or equal to 25 MW

Once assurance has been received that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12, the Planning Coordinator or Transmission Planner must submit the information outlined in items II.1 through II.8 above to the ERO for a determination of whether there are any Adverse Reliability Impacts caused by the request to utilize footnote 12 for Non-Consequential Load Loss.

C. Measures

- M1.** Each Transmission Planner and Planning Coordinator shall provide evidence, in electronic or hard copy format, that it is maintaining System models within their respective area, using data consistent with MOD-010 and MOD-012, including items represented in the Corrective Action Plan, representing projected System conditions, and that the models represent the required information in accordance with Requirement R1.
- M2.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of its annual Planning Assessment, that it has prepared an annual Planning Assessment of its portion of the BES in accordance with Requirement R2.
- M3.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of the studies utilized in preparing the Planning Assessment, in accordance with Requirement R3.
- M4.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of the studies utilized in preparing the Planning Assessment in accordance with Requirement R4.
- M5.** Each Transmission Planner and Planning Coordinator shall provide dated evidence such as electronic or hard copies of the documentation specifying the criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, and the transient voltage response for its System in accordance with Requirement R5.
- M6.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of documentation specifying the criteria or methodology used in the analysis to identify System instability for conditions such as Cascading, voltage instability, or uncontrolled islanding that was utilized in preparing the Planning Assessment in accordance with Requirement R6.
- M7.** Each Planning Coordinator, in conjunction with each of its Transmission Planners, shall provide dated documentation on roles and responsibilities, such as meeting minutes, agreements, and e-mail correspondence that identifies that agreement has been reached on individual and joint responsibilities for performing the required studies and Assessments in accordance with Requirement R7.
- M8.** Each Planning Coordinator and Transmission Planner shall provide evidence, such as email notices, documentation of updated web pages, postal receipts showing recipient and date; or a demonstration of a public posting, that it has distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners within 90 days of having completed its Planning Assessment, and to any functional entity who has indicated a reliability need within 30 days of a written request and that the Planning Coordinator or Transmission Planner has provided a documented response to comments received on Planning Assessment results within 90 calendar days of receipt of those comments in accordance with Requirement R8.

D. Compliance

1. Compliance Monitoring Process

1.1 Compliance Enforcement Authority

Regional Entity

1.2 Compliance Monitoring Period and Reset Timeframe

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 Transmission Planner and Planning Coordinator shall each retain data or evidence to show compliance as identified unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The models utilized in the current in-force Planning Assessment and one previous Planning Assessment in accordance with Requirement R1 and Measure M1.
- The Planning Assessments performed since the last compliance audit in accordance with Requirement R2 and Measure M2.
- The studies performed in support of its Planning Assessments since the last compliance audit in accordance with Requirement R3 and Measure M3.
- The studies performed in support of its Planning Assessments since the last compliance audit in accordance with Requirement R4 and Measure M4.
- The documentation specifying the criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, and transient voltage response since the last compliance audit in accordance with Requirement R5 and Measure M5.
- The documentation specifying the criteria or methodology utilized in the analysis to identify System instability for conditions such as Cascading, voltage instability, or uncontrolled islanding in support of its Planning Assessments since the last compliance audit in accordance with Requirement R6 and Measure M6.
- The current, in force documentation for the agreement(s) on roles and responsibilities, as well as documentation for the agreements in force since the last compliance audit, in accordance with Requirement R7 and Measure M7.

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

- Three calendar years of the notifications employed in accordance with Requirement R8 and Measure M8.

If a Transmission Planner or Planning Coordinator is found non-compliant, it shall keep information related to the non-compliance until found compliant or the time periods specified above, whichever is longer.

1.5 Additional Compliance Information

None

2. Violation Severity Levels

	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The responsible entity's System model failed to represent one of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent two of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent three of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent four or more of the Requirement R1, Parts 1.1.1 through 1.1.6. OR The responsible entity's System model did not represent projected System conditions as described in Requirement R1. OR The responsible entity's System model did not use data consistent with that provided in accordance with the MOD-010 and MOD-012 standards and other sources, including items represented in the Corrective Action Plan.
R2	The responsible entity failed to comply with Requirement R2, Part 2.6.	The responsible entity failed to comply with Requirement R2, Part 2.3 or Part 2.8.	The responsible entity failed to comply with one of the following Parts of Requirement R2: Part 2.1, Part 2.2, Part 2.4, Part 2.5, or Part 2.7.	The responsible entity failed to comply with two or more of the following Parts of Requirement R2: Part 2.1, Part 2.2, Part 2.4, or Part 2.7. OR The responsible entity does not have a completed annual Planning Assessment.
R3	The responsible entity did not identify planning events as described in Requirement R3, Part 3.4 or extreme events as described in Requirement R3, Part 3.5.	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for one of the categories (P2 through P7) in Table 1.	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for two of the categories (P2 through P7) in	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for three or more of the categories (P2 through P7) in Table 1.

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	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>OR</p> <p>The responsible entity did not perform studies as specified in Requirement R3, Part 3.2 to assess the impact of extreme events.</p>	<p>Table 1.</p> <p>OR</p> <p>The responsible entity did not perform Contingency analysis as described in Requirement R3, Part 3.3.</p>	<p>OR</p> <p>The responsible entity did not perform studies to determine that the BES meets the performance requirements for the P0 or P1 categories in Table 1.</p> <p>OR</p> <p>The responsible entity did not base its studies on computer simulation models using data provided in Requirement R1.</p>
R4	<p>The responsible entity did not identify planning events as described in Requirement R4, Part 4.4 or extreme events as described in Requirement R4, Part 4.5.</p>	<p>The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for one of the categories (P1 through P7) in Table 1.</p> <p>OR</p> <p>The responsible entity did not perform studies as specified in Requirement R4, Part 4.2 to assess the impact of extreme events.</p>	<p>The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for two of the categories (P1 through P7) in Table 1.</p> <p>OR</p> <p>The responsible entity did not perform Contingency analysis as described in Requirement R4, Part 4.3.</p>	<p>The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for three or more of the categories (P1 through P7) in Table 1.</p> <p>OR</p> <p>The responsible entity did not base its studies on computer simulation models using data provided in Requirement R1.</p>
R5	N/A	N/A	N/A	<p>The responsible entity does not have criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, or the transient voltage response for its System.</p>
R6	N/A	N/A	N/A	<p>The responsible entity failed to define and document the criteria or methodology for System instability used within its analysis as described in Requirement R6.</p>

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	Lower VSL	Moderate VSL	High VSL	Severe VSL
R7	N/A	N/A	N/A	The Planning Coordinator, in conjunction with each of its Transmission Planners, failed to determine and identify individual or joint responsibilities for performing required studies.
R8	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 90 days but less than or equal to 120 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 30 days but less than or equal to 40 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 120 days but less than or equal to 130 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 40 days but less than or equal to 50 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 130 days but less than or equal to 140 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 50 days but less than or equal to 60 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 140 days following its completion.</p> <p>OR</p> <p>The responsible entity did not distribute its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners.</p> <p>OR</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 60 days following the request.</p> <p>OR</p> <p>The responsible entity did not distribute its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing.</p>

E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	February 8, 2005	BOT Approval	Revised
0	June 3, 2005	Fixed reference in M1 to read TPL-001-0 R2.1 and TPL-001-0 R2.2	Errata
0	July 24, 2007	Corrected reference in M1. to read TPL-001-0 R1 and TPL-001-0 R2.	Errata
0.1	October 29, 2008	BOT adopted errata changes; updated version number to "0.1"	Errata
0.1	May 13, 2009	FERC Approved – Updated Effective Date and Footer	Revised
1	Approved by Board of Trustees February 17, 2011	Revised footnote 'b' pursuant to FERC Order RM06-16-009	Revised (Project 2010-11)
2	August 4, 2011	Revision of TPL-001-1; includes merging and upgrading requirements of TPL-001-0, TPL-002-0, TPL-003-0, and TPL-004-0 into one, single, comprehensive, coordinated standard: TPL-001-2; and retirement of TPL-005-0 and TPL-006-0.	Project 2006-02 – complete revision
2	August 4, 2011	Adopted by Board of Trustees	
1	April 19, 2012	FERC issued Order 762 remanding TPL-001-1, TPL-002-1b, TPL-003-1a, and TPL-004-1. FERC also issued a NOPR proposing to remand TPL-001-2. NERC has been directed to revise footnote 'b' in accordance with the directives of Order Nos. 762 and 693.	
3	February 7, 2013	Adopted by the NERC Board of Trustees. TPL-001-3 was created after the Board of Trustees approved the revised footnote 'b' in TPL-002-2b, which was balloted and appended to: TPL-001-0.1, TPL-002-0b, TPL-003-0a, and TPL-004-0.	
4	February 7, 2013	Adopted by the NERC Board of Trustees. TPL-001-4 was adopted by the Board of Trustees as TPL-001-3, but a discrepancy in numbering was identified and corrected prior to filing with the regulatory agencies.	
4	October 17, 2013	FERC Order issued approving TPL-001-4 (Order effective December 23, 2013).	
4	May 7, 2014	NERC Board of Trustees adopted change to VRF in Requirement R1, from Medium to High.	

Standard TPL-001-4 — Transmission System Planning Performance Requirements

A. Introduction

1. **Title:** Transmission System Planning Performance Requirements
2. **Number:** TPL-001-4
3. **Purpose:** Establish Transmission system planning performance requirements within the planning horizon to develop a Bulk Electric System (BES) that will operate reliably over a broad spectrum of System conditions and following a wide range of probable Contingencies.
4. **Applicability:**
 - 4.1. **Functional Entity**
 - 4.1.1. Planning Coordinator.
 - 4.1.2. Transmission Planner.
5. **Effective Date:** Requirements R1 and R7 as well as the definitions shall become effective on the first day of the first calendar quarter, 12 months after applicable regulatory approval. In those jurisdictions where regulatory approval is not required, Requirements R1 and R7 become effective on the first day of the first calendar quarter, 12 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

Except as indicated below, Requirements R2 through R6 and Requirement R8 shall become effective on the first day of the first calendar quarter, 24 months after applicable regulatory approval. In those jurisdictions where regulatory approval is not required, all requirements, except as noted below, go into effect on the first day of the first calendar quarter, 24 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

For 84 calendar months beginning the first day of the first calendar quarter following applicable regulatory approval, or in those jurisdictions where regulatory approval is not required on the first day of the first calendar quarter 84 months after Board of Trustees adoption or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities, Corrective Action Plans applying to the following categories of Contingencies and events identified in TPL-001-4, Table 1 are allowed to include Non-Consequential Load Loss and curtailment of Firm Transmission Service (in accordance with Requirement R2, Part 2.7.3.) that would not otherwise be permitted by the requirements of TPL-001-4:

- § P1-2 (for controlled interruption of electric supply to local network customers connected to or supplied by the Faulted element)
- § P1-3 (for controlled interruption of electric supply to local network customers connected to or supplied by the Faulted element)
- § P2-1
- § P2-2 (above 300 kV)
- § P2-3 (above 300 kV)
- § P3-1 through P3-5
- § P4-1 through P4-5 (above 300 kV)
- § P5 (above 300 kV)

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B. Requirements

- R1.** Each Transmission Planner and Planning Coordinator shall maintain System models within its respective area for performing the studies needed to complete its Planning Assessment. The models shall use data consistent with that provided in accordance with the MOD-010 and MOD-012 standards, supplemented by other sources as needed, including items represented in the Corrective Action Plan, and shall represent projected System conditions. This establishes Category P0 as the normal System condition in Table 1. [*Violation Risk Factor: MediumHigh*] [*Time Horizon: Long-term Planning*]
- 1.1.** System models shall represent:
- 1.1.1.** Existing Facilities
 - 1.1.2.** Known outage(s) of generation or Transmission Facility(ies) with a duration of at least six months.
 - 1.1.3.** New planned Facilities and changes to existing Facilities
 - 1.1.4.** Real and reactive Load forecasts
 - 1.1.5.** Known commitments for Firm Transmission Service and Interchange
 - 1.1.6.** Resources (supply or demand side) required for Load
- R2.** Each Transmission Planner and Planning Coordinator shall prepare an annual Planning Assessment of its portion of the BES. This Planning Assessment shall use current or qualified past studies (as indicated in Requirement R2, Part 2.6), document assumptions, and document summarized results of the steady state analyses, short circuit analyses, and Stability analyses. [*Violation Risk Factor: High*] [*Time Horizon: Long-term Planning*]
- 2.1.** For the Planning Assessment, the Near-Term Transmission Planning Horizon portion of the steady state analysis shall be assessed annually and be supported by current annual studies or qualified past studies as indicated in Requirement R2, Part 2.6. Qualifying studies need to include the following conditions:
- 2.1.1.** System peak Load for either Year One or year two, and for year five.
 - 2.1.2.** System Off-Peak Load for one of the five years.
 - 2.1.3.** P1 events in Table 1, with known outages modeled as in Requirement R1, Part 1.1.2, under those System peak or Off-Peak conditions when known outages are scheduled.
 - 2.1.4.** For each of the studies described in Requirement R2, Parts 2.1.1 and 2.1.2, sensitivity case(s) shall be utilized to demonstrate the impact of changes to the basic assumptions used in the model. To accomplish this, the sensitivity analysis in the Planning Assessment must vary one or more of the following conditions by a sufficient amount to stress the System within a range of credible conditions that demonstrate a measurable change in System response :
 - Real and reactive forecasted Load.
 - Expected transfers.
 - Expected in service dates of new or modified Transmission Facilities.
 - Reactive resource capability.
 - Generation additions, retirements, or other dispatch scenarios.

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- Controllable Loads and Demand Side Management.
 - Duration or timing of known Transmission outages.
- 2.1.5.** When an entity's spare equipment strategy could result in the unavailability of major Transmission equipment that has a lead time of one year or more (such as a transformer), the impact of this possible unavailability on System performance shall be studied. The studies shall be performed for the P0, P1, and P2 categories identified in Table 1 with the conditions that the System is expected to experience during the possible unavailability of the long lead time equipment.
- 2.2.** For the Planning Assessment, the Long-Term Transmission Planning Horizon portion of the steady state analysis shall be assessed annually and be supported by the following annual current study, supplemented with qualified past studies as indicated in Requirement R2, Part 2.6:
- 2.2.1.** A current study assessing expected System peak Load conditions for one of the years in the Long-Term Transmission Planning Horizon and the rationale for why that year was selected.
- 2.3.** The short circuit analysis portion of the Planning Assessment shall be conducted annually addressing the Near-Term Transmission Planning Horizon and can be supported by current or past studies as qualified in Requirement R2, Part 2.6. The analysis shall be used to determine whether circuit breakers have interrupting capability for Faults that they will be expected to interrupt using the System short circuit model with any planned generation and Transmission Facilities in service which could impact the study area.
- 2.4.** For the Planning Assessment, the Near-Term Transmission Planning Horizon portion of the Stability analysis shall be assessed annually and be supported by current or past studies as qualified in Requirement R2, Part 2.6. The following studies are required:
- 2.4.1.** System peak Load for one of the five years. System peak Load levels shall include a Load model which represents the expected dynamic behavior of Loads that could impact the study area, considering the behavior of induction motor Loads. An aggregate System Load model which represents the overall dynamic behavior of the Load is acceptable.
- 2.4.2.** System Off-Peak Load for one of the five years.
- 2.4.3.** For each of the studies described in Requirement R2, Parts 2.4.1 and 2.4.2, sensitivity case(s) shall be utilized to demonstrate the impact of changes to the basic assumptions used in the model. To accomplish this, the sensitivity analysis in the Planning Assessment must vary one or more of the following conditions by a sufficient amount to stress the System within a range of credible conditions that demonstrate a measurable change in performance:
- Load level, Load forecast, or dynamic Load model assumptions.
 - Expected transfers.
 - Expected in service dates of new or modified Transmission Facilities.
 - Reactive resource capability.
 - Generation additions, retirements, or other dispatch scenarios.

Standard TPL-001-4 — Transmission System Planning Performance Requirements

- 2.5.** For the Planning Assessment, the Long-Term Transmission Planning Horizon portion of the Stability analysis shall be assessed to address the impact of proposed material generation additions or changes in that timeframe and be supported by current or past studies as qualified in Requirement R2, Part 2.6 and shall include documentation to support the technical rationale for determining material changes.
- 2.6.** Past studies may be used to support the Planning Assessment if they meet the following requirements:
- 2.6.1.** For steady state, short circuit, or Stability analysis: the study shall be five calendar years old or less, unless a technical rationale can be provided to demonstrate that the results of an older study are still valid.
- 2.6.2.** For steady state, short circuit, or Stability analysis: no material changes have occurred to the System represented in the study. Documentation to support the technical rationale for determining material changes shall be included.
- 2.7.** For planning events shown in Table 1, when the analysis indicates an inability of the System to meet the performance requirements in Table 1, the Planning Assessment shall include Corrective Action Plan(s) addressing how the performance requirements will be met. Revisions to the Corrective Action Plan(s) are allowed in subsequent Planning Assessments but the planned System shall continue to meet the performance requirements in Table 1. Corrective Action Plan(s) do not need to be developed solely to meet the performance requirements for a single sensitivity case analyzed in accordance with Requirements R2, Parts 2.1.4 and 2.4.3. The Corrective Action Plan(s) shall:
- 2.7.1.** List System deficiencies and the associated actions needed to achieve required System performance. Examples of such actions include:
- Installation, modification, retirement, or removal of Transmission and generation Facilities and any associated equipment.
 - Installation, modification, or removal of Protection Systems or Special Protection Systems
 - Installation or modification of automatic generation tripping as a response to a single or multiple Contingency to mitigate Stability performance violations.
 - Installation or modification of manual and automatic generation runback/tripping as a response to a single or multiple Contingency to mitigate steady state performance violations.
 - Use of Operating Procedures specifying how long they will be needed as part of the Corrective Action Plan.
 - Use of rate applications, DSM, new technologies, or other initiatives.
- 2.7.2.** Include actions to resolve performance deficiencies identified in multiple sensitivity studies or provide a rationale for why actions were not necessary.
- 2.7.3.** If situations arise that are beyond the control of the Transmission Planner or Planning Coordinator that prevent the implementation of a Corrective Action Plan in the required timeframe, then the Transmission Planner or Planning Coordinator is permitted to utilize Non-Consequential Load Loss and curtailment of Firm Transmission Service to correct the situation that would normally not be permitted in Table 1, provided that the Transmission Planner

Standard TPL-001-4 — Transmission System Planning Performance Requirements

Table 1 – Steady State & Stability Performance Planning Events

Steady State & Stability:

- a. The System shall remain stable. Cascading and uncontrolled islanding shall not occur.
- b. Consequential Load Loss as well as generation loss is acceptable as a consequence of any event excluding P0.
- c. Simulate the removal of all elements that Protection Systems and other controls are expected to automatically disconnect for each event.
- d. Simulate Normal Clearing unless otherwise specified.
- e. Planned System adjustments such as Transmission configuration changes and re-dispatch of generation are allowed if such adjustments are executable within the time duration applicable to the Facility Ratings.

Steady State Only:

- f. Applicable Facility Ratings shall not be exceeded.
- g. System steady state voltages and post-Contingency voltage deviations shall be within acceptable limits as established by the Planning Coordinator and the Transmission Planner.
- h. Planning event P0 is applicable to steady state only.
- i. The response of voltage sensitive Load that is disconnected from the System by end-user equipment associated with an event shall not be used to meet steady state performance requirements.

Stability Only:

- j. Transient voltage response shall be within acceptable limits established by the Planning Coordinator and the Transmission Planner.

Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P0 No Contingency	Normal System	None	N/A	EHV, HV	No	No
P1 Single Contingency	Normal System	Loss of one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶	3Ø	EHV, HV	No ⁹	No ¹²
		5. Single Pole of a DC line	SLG			
P2 Single Contingency	Normal System	1. Opening of a line section w/o a fault ⁷	N/A	EHV, HV	No ⁹	No ¹²
		2. Bus Section Fault	SLG	EHV	No ⁹	No
				HV	Yes	Yes
		3. Internal Breaker Fault ⁸ (non-Bus-tie Breaker)	SLG	EHV	No ⁹	No
HV	Yes			Yes		
4. Internal Breaker Fault (Bus-tie Breaker) ⁸	SLG	EHV, HV	Yes	Yes		

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Standard TPL-001-4 — Transmission System Planning Performance Requirements

Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P3 Multiple Contingency	Loss of generator unit followed by System adjustments ⁹	Loss of one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶	3Ø	EHV, HV	No ⁹	No ¹²
		5. Single pole of a DC line	SLG			
P4 Multiple Contingency (Fault plus stuck breaker ¹⁰)	Normal System	Loss of multiple elements caused by a stuck breaker ¹⁰ (non-Bus-tie Breaker) attempting to clear a Fault on one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶ 5. Bus Section	SLG	EHV	No ⁹	No
				HV	Yes	Yes
		6. Loss of multiple elements caused by a stuck breaker ¹⁰ (Bus-tie Breaker) attempting to clear a Fault on the associated bus	SLG	EHV, HV	Yes	Yes
P5 Multiple Contingency (Fault plus relay failure to operate)	Normal System	Delayed Fault Clearing due to the failure of a non-redundant relay ¹³ protecting the Faulted element to operate as designed, for one of the following: 1. Generator 2. Transmission Circuit 3. Transformer ⁵ 4. Shunt Device ⁶ 5. Bus Section	SLG	EHV	No ⁹	No
				HV	Yes	Yes
P6 Multiple Contingency (Two overlapping singles)	Loss of one of the following followed by System adjustments. ⁹ 1. Transmission Circuit 2. Transformer ⁵ 3. Shunt Device ⁶ 4. Single pole of a DC line	Loss of one of the following: 1. Transmission Circuit 2. Transformer ⁵ 3. Shunt Device ⁶	3Ø	EHV, HV	Yes	Yes
		4. Single pole of a DC line	SLG	EHV, HV	Yes	Yes

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Standard TPL-001-4 — Transmission System Planning Performance Requirements

Category	Initial Condition	Event ¹	Fault Type ²	BES Level ³	Interruption of Firm Transmission Service Allowed ⁴	Non-Consequential Load Loss Allowed
P7 Multiple Contingency (Common Structure)	Normal System	The loss of: 1. Any two adjacent (vertically or horizontally) circuits on common structure ¹¹ 2. Loss of a bipolar DC line	SLG	EHV, HV	Yes	Yes

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Standard TPL-001-4 — Transmission System Planning Performance Requirements

Table 1 – Steady State & Stability Performance Extreme Events

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Steady State & Stability

For all extreme events evaluated:

- a. Simulate the removal of all elements that Protection Systems and automatic controls are expected to disconnect for each Contingency.
- b. Simulate Normal Clearing unless otherwise specified.

Steady State

1. Loss of a single generator, Transmission Circuit, single pole of a DC Line, shunt device, or transformer forced out of service followed by another single generator, Transmission Circuit, single pole of a different DC Line, shunt device, or transformer forced out of service prior to System adjustments.
2. Local area events affecting the Transmission System such as:
 - a. Loss of a tower line with three or more circuits.¹¹
 - b. Loss of all Transmission lines on a common Right-of-Way¹¹.
 - c. Loss of a switching station or substation (loss of one voltage level plus transformers).
 - d. Loss of all generating units at a generating station.
 - e. Loss of a large Load or major Load center.
3. Wide area events affecting the Transmission System based on System topology such as:
 - a. Loss of two generating stations resulting from conditions such as:
 - i. Loss of a large gas pipeline into a region or multiple regions that have significant gas-fired generation.
 - ii. Loss of the use of a large body of water as the cooling source for generation.
 - iii. Wildfires.
 - iv. Severe weather, e.g., hurricanes, tornadoes, etc.
 - v. A successful cyber attack.
 - vi. Shutdown of a nuclear power plant(s) and related facilities for a day or more for common causes such as problems with similarly designed plants.
 - b. Other events based upon operating experience that may result in wide area disturbances.

Stability

1. With an initial condition of a single generator, Transmission circuit, single pole of a DC line, shunt device, or transformer forced out of service, apply a 3Ø fault on another single generator, Transmission circuit, single pole of a different DC line, shunt device, or transformer prior to System adjustments.
2. Local or wide area events affecting the Transmission System such as:
 - a. 3Ø fault on generator with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - b. 3Ø fault on Transmission circuit with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - c. 3Ø fault on transformer with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - d. 3Ø fault on bus section with stuck breaker¹⁰ or a relay failure¹³ resulting in Delayed Fault Clearing.
 - e. 3Ø internal breaker fault.
 - f. Other events based upon operating experience, such as consideration of initiating events that experience suggests may result in wide area disturbances

Standard TPL-001-4 — Transmission System Planning Performance Requirements

**Table 1 – Steady State & Stability Performance Footnotes
(Planning Events and Extreme Events)**

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1. If the event analyzed involves BES elements at multiple System voltage levels, the lowest System voltage level of the element(s) removed for the analyzed event determines the stated performance criteria regarding allowances for interruptions of Firm Transmission Service and Non-Consequential Load Loss.
2. Unless specified otherwise, simulate Normal Clearing of faults. Single line to ground (SLG) or three-phase (3Ø) are the fault types that must be evaluated in Stability simulations for the event described. A 3Ø or a double line to ground fault study indicating the criteria are being met is sufficient evidence that a SLG condition would also meet the criteria.
3. Bulk Electric System (BES) level references include extra-high voltage (EHV) Facilities defined as greater than 300kV and high voltage (HV) Facilities defined as the 300kV and lower voltage Systems. The designation of EHV and HV is used to distinguish between stated performance criteria allowances for interruption of Firm Transmission Service and Non-Consequential Load Loss.
4. Curtailment of Conditional Firm Transmission Service is allowed when the conditions and/or events being studied formed the basis for the Conditional Firm Transmission Service.
5. For non-generator step up transformer outage events, the reference voltage, as used in footnote 1, applies to the low-side winding (excluding tertiary windings). For generator and Generator Step Up transformer outage events, the reference voltage applies to the BES connected voltage (high-side of the Generator Step Up transformer). Requirements which are applicable to transformers also apply to variable frequency transformers and phase shifting transformers.
6. Requirements which are applicable to shunt devices also apply to FACTS devices that are connected to ground.
7. Opening one end of a line section without a fault on a normally networked Transmission circuit such that the line is possibly serving Load radial from a single source point.
8. An internal breaker fault means a breaker failing internally, thus creating a System fault which must be cleared by protection on both sides of the breaker.
9. An objective of the planning process should be to minimize the likelihood and magnitude of interruption of Firm Transmission Service following Contingency events. Curtailment of Firm Transmission Service is allowed both as a System adjustment (as identified in the column entitled 'Initial Condition') and a corrective action when achieved through the appropriate re-dispatch of resources obligated to re-dispatch, where it can be demonstrated that Facilities, internal and external to the Transmission Planner's planning region, remain within applicable Facility Ratings and the re-dispatch does not result in any Non-Consequential Load Loss. Where limited options for re-dispatch exist, sensitivities associated with the availability of those resources should be considered.
10. A stuck breaker means that for a gang-operated breaker, all three phases of the breaker have remained closed. For an independent pole operated (IPO) or an independent pole tripping (IPT) breaker, only one pole is assumed to remain closed. A stuck breaker results in Delayed Fault Clearing.
11. Excludes circuits that share a common structure (Planning event P7, Extreme event steady state 2a) or common Right-of-Way (Extreme event, steady state 2b) for 1 mile or less.
12. An objective of the planning process is to minimize the likelihood and magnitude of Non-Consequential Load Loss following planning events. In limited circumstances, Non-Consequential Load Loss may be needed throughout the planning horizon to ensure that BES performance requirements are met. However, when Non-Consequential Load Loss is utilized under footnote 12 within the Near-Term Transmission Planning Horizon to address BES performance requirements, such interruption is limited to circumstances where the Non-Consequential Load Loss meets the conditions shown in Attachment 1. In no case can the planned Non-Consequential Load Loss under footnote 12 exceed 75 MW for US registered entities. The amount of planned Non-Consequential Load Loss for a non-US Registered Entity should be implemented in a manner that is consistent with, or under the direction of, the applicable governmental authority or its agency in the non-US jurisdiction.
13. Applies to the following relay functions or types: pilot (#85), distance (#21), differential (#87), current (#50, 51, and 67), voltage (#27 & 59), directional (#32, & 67), and tripping (#86, & 94).

Standard TPL-001-4 — Transmission System Planning Performance Requirements

Attachment 1

I. Stakeholder Process

During each Planning Assessment before the use of Non-Consequential Load Loss under footnote 12 is allowed as an element of a Corrective Action Plan in the Near-Term Transmission Planning Horizon of the Planning Assessment, the Transmission Planner or Planning Coordinator shall ensure that the utilization of footnote 12 is reviewed through an open and transparent stakeholder process. The responsible entity can utilize an existing process or develop a new process. The process must include the following:

1. Meetings must be open to affected stakeholders including applicable regulatory authorities or governing bodies responsible for retail electric service issues
2. Notice must be provided in advance of meetings to affected stakeholders including applicable regulatory authorities or governing bodies responsible for retail electric service issues and include an agenda with:
 - a. Date, time, and location for the meeting
 - b. Specific location(s) of the planned Non-Consequential Load Loss under footnote 12
 - c. Provisions for a stakeholder comment period
3. Information regarding the intended purpose and scope of the proposed Non-Consequential Load Loss under footnote 12 (as shown in Section II below) must be made available to meeting participants
4. A procedure for stakeholders to submit written questions or concerns and to receive written responses to the submitted questions and concerns
5. A dispute resolution process for any question or concern raised in #4 above that is not resolved to the stakeholder's satisfaction

An entity does not have to repeat the stakeholder process for a specific application of footnote 12 utilization with respect to subsequent Planning Assessments unless conditions spelled out in Section II below have materially changed for that specific application.

II. Information for Inclusion in Item #3 of the Stakeholder Process

The responsible entity shall document the planned use of Non-Consequential Load Loss under footnote 12 which must include the following:

1. Conditions under which Non-Consequential Load Loss under footnote 12 would be necessary:
 - a. System Load level and estimated annual hours of exposure at or above that Load level
 - b. Applicable Contingencies and the Facilities outside their applicable rating due to that Contingency
2. Amount of Non-Consequential Load Loss with:
 - a. The estimated number and type of customers affected

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- b. An explanation of the effect of the use of Non-Consequential Load Loss under footnote 12 on the health, safety, and welfare of the community
3. Estimated frequency of Non-Consequential Load Loss under footnote 12 based on historical performance
4. Expected duration of Non-Consequential Load Loss under footnote 12 based on historical performance
5. Future plans to alleviate the need for Non-Consequential Load Loss under footnote 12
6. Verification that TPL Reliability Standards performance requirements will be met following the application of footnote 12
7. Alternatives to Non-Consequential Load Loss considered and the rationale for not selecting those alternatives under footnote 12
8. Assessment of potential overlapping uses of footnote 12 including overlaps with adjacent Transmission Planners and Planning Coordinators

III. Instances for which Regulatory Review of Non-Consequential Load Loss under Footnote 12 is Required

Before a Non-Consequential Load Loss under footnote 12 is allowed as an element of a Corrective Action Plan in Year One of the Planning Assessment, the Transmission Planner or Planning Coordinator must ensure that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12 if either:

1. The voltage level of the Contingency is greater than 300 kV
 - a. If the Contingency analyzed involves BES Elements at multiple System voltage levels, the lowest System voltage level of the element(s) removed for the analyzed Contingency determines the stated performance criteria regarding allowances for Non-Consequential Load Loss under footnote 12, or
 - b. For a non-generator step up transformer outage Contingency, the 300 kV limit applies to the low-side winding (excluding tertiary windings). For a generator or generator step up transformer outage Contingency, the 300 kV limit applies to the BES connected voltage (high-side of the Generator Step Up transformer)
2. The planned Non-Consequential Load Loss under footnote 12 is greater than or equal to 25 MW

Once assurance has been received that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12, the Planning Coordinator or Transmission Planner must submit the information outlined in items II.1 through II.8 above to the ERO for a determination of whether there are any Adverse Reliability Impacts caused by the request to utilize footnote 12 for Non-Consequential Load Loss.

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C. Measures

- M1.** Each Transmission Planner and Planning Coordinator shall provide evidence, in electronic or hard copy format, that it is maintaining System models within their respective area, using data consistent with MOD-010 and MOD-012, including items represented in the Corrective Action Plan, representing projected System conditions, and that the models represent the required information in accordance with Requirement R1.
- M2.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of its annual Planning Assessment, that it has prepared an annual Planning Assessment of its portion of the BES in accordance with Requirement R2.
- M3.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of the studies utilized in preparing the Planning Assessment, in accordance with Requirement R3.
- M4.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of the studies utilized in preparing the Planning Assessment in accordance with Requirement R4.
- M5.** Each Transmission Planner and Planning Coordinator shall provide dated evidence such as electronic or hard copies of the documentation specifying the criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, and the transient voltage response for its System in accordance with Requirement R5.
- M6.** Each Transmission Planner and Planning Coordinator shall provide dated evidence, such as electronic or hard copies of documentation specifying the criteria or methodology used in the analysis to identify System instability for conditions such as Cascading, voltage instability, or uncontrolled islanding that was utilized in preparing the Planning Assessment in accordance with Requirement R6.
- M7.** Each Planning Coordinator, in conjunction with each of its Transmission Planners, shall provide dated documentation on roles and responsibilities, such as meeting minutes, agreements, and e-mail correspondence that identifies that agreement has been reached on individual and joint responsibilities for performing the required studies and Assessments in accordance with Requirement R7.
- M8.** Each Planning Coordinator and Transmission Planner shall provide evidence, such as email notices, documentation of updated web pages, postal receipts showing recipient and date; or a demonstration of a public posting, that it has distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners within 90 days of having completed its Planning Assessment, and to any functional entity who has indicated a reliability need within 30 days of a written request and that the Planning Coordinator or Transmission Planner has provided a documented response to comments received on Planning Assessment results within 90 calendar days of receipt of those comments in accordance with Requirement R8.

D. Compliance

1. Compliance Monitoring Process

1.1 Compliance Enforcement Authority

Regional Entity

1.2 Compliance Monitoring Period and Reset Timeframe

Not applicable.

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1.3 Compliance Monitoring and Enforcement Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.4 Data Retention

The Transmission Planner and Planning Coordinator shall each retain data or evidence to show compliance as identified unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The models utilized in the current in-force Planning Assessment and one previous Planning Assessment in accordance with Requirement R1 and Measure M1.
- The Planning Assessments performed since the last compliance audit in accordance with Requirement R2 and Measure M2.
- The studies performed in support of its Planning Assessments since the last compliance audit in accordance with Requirement R3 and Measure M3.
- The studies performed in support of its Planning Assessments since the last compliance audit in accordance with Requirement R4 and Measure M4.
- The documentation specifying the criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, and transient voltage response since the last compliance audit in accordance with Requirement R5 and Measure M5.
- The documentation specifying the criteria or methodology utilized in the analysis to identify System instability for conditions such as Cascading, voltage instability, or uncontrolled islanding in support of its Planning Assessments since the last compliance audit in accordance with Requirement R6 and Measure M6.
- The current, in force documentation for the agreement(s) on roles and responsibilities, as well as documentation for the agreements in force since the last compliance audit, in accordance with Requirement R7 and Measure M7.

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

- Three calendar years of the notifications employed in accordance with Requirement R8 and Measure M8.

If a Transmission Planner or Planning Coordinator is found non-compliant, it shall keep information related to the non-compliance until found compliant or the time periods specified above, whichever is longer.

1.5 Additional Compliance Information

None

2. Violation Severity Levels

	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The responsible entity's System model failed to represent one of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent two of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent three of the Requirement R1, Parts 1.1.1 through 1.1.6.	The responsible entity's System model failed to represent four or more of the Requirement R1, Parts 1.1.1 through 1.1.6. OR The responsible entity's System model did not represent projected System conditions as described in Requirement R1. OR The responsible entity's System model did not use data consistent with that provided in accordance with the MOD-010 and MOD-012 standards and other sources, including items represented in the Corrective Action Plan.
R2	The responsible entity failed to comply with Requirement R2, Part 2.6.	The responsible entity failed to comply with Requirement R2, Part 2.3 or Part 2.8.	The responsible entity failed to comply with one of the following Parts of Requirement R2: Part 2.1, Part 2.2, Part 2.4, Part 2.5, or Part 2.7.	The responsible entity failed to comply with two or more of the following Parts of Requirement R2: Part 2.1, Part 2.2, Part 2.4, or Part 2.7. OR The responsible entity does not have a completed annual Planning Assessment.
R3	The responsible entity did not identify planning events as described in Requirement R3, Part 3.4 or extreme events as described in Requirement R3, Part 3.5.	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for one of the categories (P2 through P7) in Table 1.	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for two of the categories (P2 through P7) in	The responsible entity did not perform studies as specified in Requirement R3, Part 3.1 to determine that the BES meets the performance requirements for three or more of the categories (P2 through P7) in Table 1.

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	Lower VSL	Moderate VSL	High VSL	Severe VSL
		OR The responsible entity did not perform studies as specified in Requirement R3, Part 3.2 to assess the impact of extreme events.	Table 1. OR The responsible entity did not perform Contingency analysis as described in Requirement R3, Part 3.3.	OR The responsible entity did not perform studies to determine that the BES meets the performance requirements for the P0 or P1 categories in Table 1. OR The responsible entity did not base its studies on computer simulation models using data provided in Requirement R1.
R4	The responsible entity did not identify planning events as described in Requirement R4, Part 4.4 or extreme events as described in Requirement R4, Part 4.5.	The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for one of the categories (P1 through P7) in Table 1. OR The responsible entity did not perform studies as specified in Requirement R4, Part 4.2 to assess the impact of extreme events.	The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for two of the categories (P1 through P7) in Table 1. OR The responsible entity did not perform Contingency analysis as described in Requirement R4, Part 4.3.	The responsible entity did not perform studies as specified in Requirement R4, Part 4.1 to determine that the BES meets the performance requirements for three or more of the categories (P1 through P7) in Table 1. OR The responsible entity did not base its studies on computer simulation models using data provided in Requirement R1.
R5	N/A	N/A	N/A	The responsible entity does not have criteria for acceptable System steady state voltage limits, post-Contingency voltage deviations, or the transient voltage response for its System.
R6	N/A	N/A	N/A	The responsible entity failed to define and document the criteria or methodology for System instability used within its analysis as described in Requirement R6.

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	Lower VSL	Moderate VSL	High VSL	Severe VSL
R7	N/A	N/A	N/A	The Planning Coordinator, in conjunction with each of its Transmission Planners, failed to determine and identify individual or joint responsibilities for performing required studies.
R8	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 90 days but less than or equal to 120 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 30 days but less than or equal to 40 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 120 days but less than or equal to 130 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 40 days but less than or equal to 50 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 130 days but less than or equal to 140 days following its completion.</p> <p>OR,</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 50 days but less than or equal to 60 days following the request.</p>	<p>The responsible entity distributed its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners but it was more than 140 days following its completion.</p> <p>OR</p> <p>The responsible entity did not distribute its Planning Assessment results to adjacent Planning Coordinators and adjacent Transmission Planners.</p> <p>OR</p> <p>The responsible entity distributed its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing but it was more than 60 days following the request.</p> <p>OR</p> <p>The responsible entity did not distribute its Planning Assessment results to functional entities having a reliability related need who requested the Planning Assessment in writing.</p>

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Standard TPL-001-4 — Transmission System Planning Performance Requirements

E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	February 8, 2005	BOT Approval	Revised
0	June 3, 2005	Fixed reference in M1 to read TPL-001-0 R2.1 and TPL-001-0 R2.2	Errata
0	July 24, 2007	Corrected reference in M1. to read TPL-001-0 R1 and TPL-001-0 R2.	Errata
0.1	October 29, 2008	BOT adopted errata changes; updated version number to "0.1"	Errata
0.1	May 13, 2009	FERC Approved – Updated Effective Date and Footer	Revised
1	Approved by Board of Trustees February 17, 2011	Revised footnote 'b' pursuant to FERC Order RM06-16-009	Revised (Project 2010-11)
2	August 4, 2011	Revision of TPL-001-1; includes merging and upgrading requirements of TPL-001-0, TPL-002-0, TPL-003-0, and TPL-004-0 into one, single, comprehensive, coordinated standard: TPL-001-2; and retirement of TPL-005-0 and TPL-006-0.	Project 2006-02 – complete revision
2	August 4, 2011	Adopted by Board of Trustees	
1	April 19, 2012	FERC issued Order 762 remanding TPL-001-1, TPL-002-1b, TPL-003-1a, and TPL-004-1. FERC also issued a NOPR proposing to remand TPL-001-2. NERC has been directed to revise footnote 'b' in accordance with the directives of Order Nos. 762 and 693.	
3	February 7, 2013	Adopted by the NERC Board of Trustees. TPL-001-3 was created after the Board of Trustees approved the revised footnote 'b' in TPL-002-2b, which was balloted and appended to: TPL-001-0.1, TPL-002-0b, TPL-003-0a, and TPL-004-0.	
4	February 7, 2013	Adopted by the NERC Board of Trustees. TPL-001-4 was adopted by the Board of Trustees as TPL-001-3, but a discrepancy in numbering was identified and corrected prior to filing with the regulatory agencies.	
4	October 17, 2013	FERC Order issued approving TPL-001-4 (Order effective December 23, 2013).	
4	May 7, 2014	NERC Board of Trustees adopted change to VRF in Requirement R1, from Medium to High.	

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