

**NORMES DE FIABILITÉ DE LA NERC
(VERSION ANGLAISE)**

A. Introduction

1. **Title:** System Restoration from Blackstart Resources
2. **Number:** EOP-005-2
3. **Purpose:** Ensure plans, Facilities, and personnel are prepared to enable System restoration from Blackstart Resources to assure reliability is maintained during restoration and priority is placed on restoring the Interconnection.
4. **Applicability:**
 - 4.1. Transmission Operators.
 - 4.2. Generator Operators.
 - 4.3. Transmission Owners identified in the Transmission Operators restoration plan.
 - 4.4. Distribution Providers identified in the Transmission Operators restoration plan.
5. **Proposed Effective Date:** Twenty-four months after the first day of the first calendar quarter following applicable regulatory approval. In those jurisdictions where no regulatory approval is required, all requirements go into effect twenty-four months after Board of Trustees adoption.

B. Requirements

- R1. Each Transmission Operator shall have a restoration plan approved by its Reliability Coordinator. The restoration plan shall allow for restoring the Transmission Operator's System following a Disturbance in which one or more areas of the Bulk Electric System (BES) shuts down and the use of Blackstart Resources is required to restore the shut down area to service, to a state whereby the choice of the next Load to be restored is not driven by the need to control frequency or voltage regardless of whether the Blackstart Resource is located within the Transmission Operator's System. The restoration plan shall include: *[Violation Risk Factor = High] [Time Horizon = Operations Planning]*
 - R1.1. Strategies for system restoration that are coordinated with the Reliability Coordinator's high level strategy for restoring the Interconnection.
 - R1.2. A description of how all Agreements or mutually agreed upon procedures or protocols for off-site power requirements of nuclear power plants, including priority of restoration, will be fulfilled during System restoration.
 - R1.3. Procedures for restoring interconnections with other Transmission Operators under the direction of the Reliability Coordinator.
 - R1.4. Identification of each Blackstart Resource and its characteristics including but not limited to the following: the name of the Blackstart Resource, location, megawatt and megavar capacity, and type of unit.
 - R1.5. Identification of Cranking Paths and initial switching requirements between each Blackstart Resource and the unit(s) to be started.
 - R1.6. Identification of acceptable operating voltage and frequency limits during restoration.

- R1.7.** Operating Processes to reestablish connections within the Transmission Operator's System for areas that have been restored and are prepared for reconnection.
- R1.8.** Operating Processes to restore Loads required to restore the System, such as station service for substations, units to be restarted or stabilized, the Load needed to stabilize generation and frequency, and provide voltage control.
- R1.9.** Operating Processes for transferring authority back to the Balancing Authority in accordance with the Reliability Coordinator's criteria.
- R2.** Each Transmission Operator shall provide the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
- R3.** Each Transmission Operator shall review its restoration plan and submit it to its Reliability Coordinator annually on a mutually agreed predetermined schedule. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
 - R3.1.** If there are no changes to the previously submitted restoration plan, the Transmission Operator shall confirm annually on a predetermined schedule to its Reliability Coordinator that it has reviewed its restoration plan and no changes were necessary. (Retirement approved by FERC effective January 21, 2014.)
- R4.** Each Transmission Operator shall update its restoration plan within 90 calendar days after identifying any unplanned permanent System modifications, or prior to implementing a planned BES modification, that would change the implementation of its restoration plan. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
 - R4.1.** Each Transmission Operator shall submit its revised restoration plan to its Reliability Coordinator for approval within the same 90 calendar day period.
- R5.** Each Transmission Operator shall have a copy of its latest Reliability Coordinator approved restoration plan within its primary and backup control rooms so that it is available to all of its System Operators prior to its implementation date. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*
- R6.** Each Transmission Operator shall verify through analysis of actual events, steady state and dynamic simulations, or testing that its restoration plan accomplishes its intended function. This shall be completed every five years at a minimum. Such analysis, simulations or testing shall verify: *[Violation Risk Factor = Medium] [Time Horizon = Long-term Planning]*
 - R6.1.** The capability of Blackstart Resources to meet the Real and Reactive Power requirements of the Cranking Paths and the dynamic capability to supply initial Loads.
 - R6.2.** The location and magnitude of Loads required to control voltages and frequency within acceptable operating limits.

- R6.3.** The capability of generating resources required to control voltages and frequency within acceptable operating limits.
- R7.** Following a Disturbance in which one or more areas of the BES shuts down and the use of Blackstart Resources is required to restore the shut down area to service, each affected Transmission Operator shall implement its restoration plan. If the restoration plan cannot be executed as expected the Transmission Operator shall utilize its restoration strategies to facilitate restoration. *[Violation Risk Factor = High] [Time Horizon = Real-time Operations]*
- R8.** Following a Disturbance in which one or more areas of the BES shuts down and the use of Blackstart Resources is required to restore the shut down area to service, the Transmission Operator shall resynchronize area(s) with neighboring Transmission Operator area(s) only with the authorization of the Reliability Coordinator or in accordance with the established procedures of the Reliability Coordinator. *[Violation Risk Factor = High] [Time Horizon = Real-time Operations]*
- R9.** Each Transmission Operator shall have Blackstart Resource testing requirements to verify that each Blackstart Resource is capable of meeting the requirements of its restoration plan. These Blackstart Resource testing requirements shall include: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
- R9.1.** The frequency of testing such that each Blackstart Resource is tested at least once every three calendar years.
- R9.2.** A list of required tests including:
- R9.2.1.** The ability to start the unit when isolated with no support from the BES or when designed to remain energized without connection to the remainder of the System.
- R9.2.2.** The ability to energize a bus. If it is not possible to energize a bus during the test, the testing entity must affirm that the unit has the capability to energize a bus such as verifying that the breaker close coil relay can be energized with the voltage and frequency monitor controls disconnected from the synchronizing circuits.
- R9.3.** The minimum duration of each of the required tests.
- R10.** Each Transmission Operator shall include within its operations training program, annual System restoration training for its System Operators to assure the proper execution of its restoration plan. This training program shall include training on the following: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
- R10.1.** System restoration plan including coordination with the Reliability Coordinator and Generator Operators included in the restoration plan.
- R10.2.** Restoration priorities.
- R10.3.** Building of cranking paths.
- R10.4.** Synchronizing (re-energized sections of the System).

- R11.** Each Transmission Operator, each applicable Transmission Owner, and each applicable Distribution Provider shall provide a minimum of two hours of System restoration training every two calendar years to their field switching personnel identified as performing unique tasks associated with the Transmission Operator’s restoration plan that are outside of their normal tasks. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R12.** Each Transmission Operator shall participate in its Reliability Coordinator’s restoration drills, exercises, or simulations as requested by its Reliability Coordinator. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R13.** Each Transmission Operator and each Generator Operator with a Blackstart Resource shall have written Blackstart Resource Agreements or mutually agreed upon procedures or protocols, specifying the terms and conditions of their arrangement. Such Agreements shall include references to the Blackstart Resource testing requirements. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R14.** Each Generator Operator with a Blackstart Resource shall have documented procedures for starting each Blackstart Resource and energizing a bus. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R15.** Each Generator Operator with a Blackstart Resource shall notify its Transmission Operator of any known changes to the capabilities of that Blackstart Resource affecting the ability to meet the Transmission Operator’s restoration plan within 24 hours following such change. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R16.** Each Generator Operator with a Blackstart Resource shall perform Blackstart Resource tests, and maintain records of such testing, in accordance with the testing requirements set by the Transmission Operator to verify that the Blackstart Resource can perform as specified in the restoration plan. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R16.1.** Testing records shall include at a minimum: name of the Blackstart Resource, unit tested, date of the test, duration of the test, time required to start the unit, an indication of any testing requirements not met under Requirement R9.
- R16.2.** Each Generator Operator shall provide the blackstart test results within 30 calendar days following a request from its Reliability Coordinator or Transmission Operator.
- R17.** Each Generator Operator with a Blackstart Resource shall provide a minimum of two hours of training every two calendar years to each of its operating personnel responsible for the startup of its Blackstart Resource generation units and energizing a bus. The training program shall include training on the following: [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
- R17.1.** System restoration plan including coordination with the Transmission Operator.
- R17.2.** The procedures documented in Requirement R14.

- R18.** Each Generator Operator shall participate in the Reliability Coordinator's restoration drills, exercises, or simulations as requested by the Reliability Coordinator. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]

C. Measures

- M1.** Each Transmission Operator shall have a dated, documented System restoration plan developed in accordance with Requirement R1 that has been approved by its Reliability Coordinator as shown with the documented approval from its Reliability Coordinator.
- M2.** Each Transmission Operator shall have evidence such as e-mails with receipts or registered mail receipts that it provided the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan in accordance with Requirement R2.
- M3.** Each Transmission Operator shall have documentation such as a dated review signature sheet, revision histories, e-mails with receipts, or registered mail receipts, that it has annually reviewed and submitted the Transmission Operator's restoration plan to its Reliability Coordinator in accordance with Requirement R3.
- M4.** Each Transmission Operator shall have documentation such as dated review signature sheets, revision histories, e-mails with receipts, or registered mail receipts, that it has updated its restoration plan and submitted it to its Reliability Coordinator in accordance with Requirement R4.
- M5.** Each Transmission Operator shall have documentation that it has made the latest Reliability Coordinator approved copy of its restoration plan available in its primary and backup control rooms and its System Operators prior to its implementation date in accordance with Requirement R5.
- M6.** Each Transmission Operator shall have documentation such as power flow outputs, that it has verified that its latest restoration plan will accomplish its intended function in accordance with Requirement R6.
- M7.** If there has been a Disturbance in which Blackstart Resources have been utilized in restoring the shut down area of the BES to service, each Transmission Operator involved shall have evidence such as voice recordings, e-mail, dated computer printouts, or operator logs, that it implemented its restoration plan or restoration plan strategies in accordance with Requirement R7.
- M8.** If there has been a Disturbance in which Blackstart Resources have been utilized in restoring the shut down area of the BES to service, each Transmission Operator involved in such an event shall have evidence, such as voice recordings, e-mail, dated computer printouts, or operator logs, that it resynchronized shut down areas in accordance with Requirement R8.
- M9.** Each Transmission Operator shall have documented Blackstart Resource testing requirements in accordance with Requirement R9.
- M10.** Each Transmission Operator shall have an electronic or hard copy of the training program material provided for its System Operators for System restoration training in accordance with Requirement R10.

- M11.** Each Transmission Operator, each applicable Transmission Owner, and each applicable Distribution Provider shall have an electronic or hard copy of the training program material provided to their field switching personnel for System restoration training and the corresponding training records including training dates and duration in accordance with Requirement R11.
- M12.** Each Transmission Operator shall have evidence, such as training records, that it participated in the Reliability Coordinator's restoration drills, exercises, or simulations as requested in accordance with Requirement R12.
- M13.** Each Transmission Operator and Generator Operator with a Blackstart Resource shall have the dated Blackstart Resource Agreements or mutually agreed upon procedures or protocols in accordance with Requirement R13.
- M14.** Each Generator Operator with a Blackstart Resource shall have dated documented procedures on file for starting each unit and energizing a bus in accordance with Requirement R14.
- M15.** Each Generator Operator with a Blackstart Resource shall provide evidence, such as e-mails with receipts or registered mail receipts, showing that it notified its Transmission Operator of any known changes to its Blackstart Resource capabilities within twenty-four hours of such changes in accordance with Requirement R15.
- M16.** Each Generator Operator with a Blackstart Resource shall maintain dated documentation of its Blackstart Resource test results and shall have evidence such as e-mails with receipts or registered mail receipts, that it provided these records to its Reliability Coordinator and Transmission Operator when requested in accordance with Requirement R16.
- M17.** Each Generator Operator with a Blackstart Resource shall have an electronic or hard copy of the training program material provided to its operating personnel responsible for the startup and synchronization of its Blackstart Resource generation units and a copy of its dated training records including training dates and durations showing that it has provided training in accordance with Requirement R17.
- M18.** Each Generator Operator shall have evidence, such as dated training records, that it participated in the Reliability Coordinator's restoration drills, exercises, or simulations if requested to do so in accordance with Requirement R18.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity.

1.2. Compliance Monitoring Period and Reset Time Frame

Not applicable.

1.3. Compliance Monitoring and Enforcement Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.4. Data Retention

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

- Approved restoration plan and any restoration plans in force since the last compliance audit for Requirement R1, Measure M1.
- Provided the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan for the current calendar year and three prior calendar years for Requirement R2, Measure M2.
- Submission of the Transmission Operator's annually reviewed restoration plan to its Reliability Coordinator for the current calendar year and three prior calendar years for Requirement R3, Measure M3.
- Submission of an updated restoration plan to its Reliability Coordinator for all versions for the current calendar year and the prior three years for Requirement R4, Measure M4.
- The current, restoration plan approved by the Reliability Coordinator and any restoration plans for the last three calendar years that was made available in its control rooms for Requirement R5, Measure M5.
- The verification results for the current, approved restoration plan and the previous approved restoration plan for Requirement R6, Measure M6.
- Implementation of its restoration plan or restoration plan strategies on any occasion for three calendar years if there has been a Disturbance in which Blackstart Resources have been utilized in restoring the shut down area of the BES to service for Requirement R7, Measure M7.
- Resynchronization of shut down areas on any occasion over three calendar years if there has been a Disturbance in which Blackstart Resources have been utilized in restoring the shut down area of the BES to service for Requirement R8, Measure M8.
- The verification process and results for the current Blackstart Resource testing requirements and the last previous Blackstart Resource testing requirements for Requirement R9, Measure M9.
- Actual training program materials or descriptions for three calendar years for Requirement R10, Measure M10.
- Records of participation in all requested Reliability Coordinator restoration drills, exercises, or simulations since its last compliance audit

as well as one previous compliance audit period for Requirement R12, Measure M12.

If a Transmission Operator is found non-compliant for any requirement, it shall keep information related to the non-compliance until found compliant.

The Transmission Operator, applicable Transmission Owner, and applicable Distribution provider shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- Actual training program materials or descriptions and actual training records for three calendar years for Requirement R11, Measure M11.

If a Transmission Operator, applicable Transmission owner, or applicable Distribution Provider is found non-compliant for any requirement, it shall keep information related to the non-compliance until found compliant.

The Transmission Operator and Generator Operator with a Blackstart Resource shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- Current Blackstart Resource Agreements and any Blackstart Resource Agreements or mutually agreed upon procedures or protocols in force since its last compliance audit for Requirement R13, Measure M13.

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

- Current documentation and any documentation in force since its last compliance audit on procedures to start each Blackstart Resources and for energizing a bus for Requirement R14, Measure M14.
- Notification to its Transmission Operator of any known changes to its Blackstart Resource capabilities over the last three calendar years for Requirement R15, Measure M15.
- The verification test results for the current set of requirements and one previous set for its Blackstart Resources for Requirement R16, Measure M16.
- Actual training program materials and actual training records for three calendar years for Requirement R17, Measure M17.

If a Generation Operator with a Blackstart Resource is found non-compliant for any requirement, it shall keep information related to the non-compliance until found compliant.

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

- Records of participation in all requested Reliability Coordinator restoration drills, exercises, or simulations since its last compliance audit for Requirement R18, Measure M18.

If a Generation Operator is found non-compliant for any requirement, it shall keep information related to the non-compliance until found compliant.

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

1.5. Additional Compliance Information

None.

2. Violation Severity Levels

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	The Transmission Operator has an approved plan but failed to comply with one of the sub-requirements within the requirement.	The Transmission Operator has an approved plan but failed to comply with two of the sub-requirements within the requirement.	The Transmission Operator has an approved plan but failed to comply with three of the sub-requirements within the requirement.	The Transmission Operator does not have an approved restoration plan.
R2.	The Transmission Operator failed to provide one of the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan. OR The Transmission Operator provided the information to all entities but was up to 10 calendar days late in doing so.	The Transmission Operator failed to provide two of the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan. OR The Transmission Operator provided the information to all entities but was more than 10 and less than or equal to 20 calendar days late in doing so.	The Transmission Operator failed to provide three of the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan. OR The Transmission Operator provided the information to all entities but was more than 20 and less than or equal to 30 calendar days late in doing so.	The Transmission Operator failed to provide four or more of the entities identified in its approved restoration plan with a description of any changes to their roles and specific tasks prior to the implementation date of the plan. OR The Transmission Operator provided the information to all entities but was more than 30 calendar days late in doing so.
R3.	The Transmission Operator submitted the reviewed restoration plan or confirmation of no change within 30 calendar days after the pre-determined schedule.	The Transmission Operator submitted the reviewed restoration plan or confirmation of no change more than 30 and less than or equal to 60 calendar days after the pre-determined schedule.	The Transmission Operator submitted the reviewed restoration plan or confirmation of no change more than 60 and less than or equal to 90 calendar days after the pre-determined schedule.	The Transmission Operator submitted the reviewed restoration plan or confirmation of no change more than 90 calendar days after the pre-determined schedule.
R4.	The Transmission Operator failed to update and submit its restoration plan to the	The Transmission Operator failed to update and submit its restoration plan to the	The Transmission Operator has failed to update and submit its restoration plan to the	The Transmission Operator has failed to update and submit its restoration plan to the

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R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
	Reliability Coordinator within 90 calendar days of an unplanned change.	Reliability Coordinator within more than 90 calendar days but less than 120 calendar days of an unplanned change.	Reliability Coordinator within more than 120 calendar days but less than 150 calendar days of an unplanned change.	Reliability Coordinator within more than 150 calendar days of an unplanned change. OR The Transmission Operator failed to update and submit its restoration plan to the Reliability Coordinator prior to a planned BES modification.
R5.	N/A	N/A	N/A	The Transmission Operator did not make the latest Reliability Coordinator approved restoration plan available in its primary and backup control rooms prior to its implementation date.
R6.	The Transmission Operator performed the verification within the required timeframe but did not comply with one of the sub-requirements.	The Transmission Operator performed the verification within the required timeframe but did not comply with two of the sub-requirements.	The Transmission Operator performed the verification but did not complete it within the five calendar year period.	The Transmission Operator did not perform the verification or it took more than six calendar years to complete the verification. OR The Transmission Operator performed the verification within the required timeframe but did not comply with any of the sub-requirements.
R7.	N/A	N/A	N/A	The Transmission Operator did not implement its restoration plan following a Disturbance in which Blackstart Resources have been utilized in restoring

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R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
				the shut down area of the BES. Or, if the restoration plan cannot be executed as expected, the Transmission Operator did not utilize its restoration plan strategies to facilitate restoration.
R8.	N/A	N/A	N/A	The Transmission Operator resynchronized without approval of the Reliability Coordinator or not in accordance with the established procedures of the Reliability Coordinator following a Disturbance in which Blackstart Resources have been utilized in restoring the shut down area of the BES to service.
R9.	N/A	N/A	N/A	The Transmission Operator's Blackstart Resource testing requirements do not address one or more of the sub-requirements of Requirement R9.
R10.	The Transmission Operator's training does not address one of the sub-requirements of Requirement R10.	The Transmission Operator's training does not address two of the sub-requirements of Requirement R10.	The Transmission Operator's training does not address three or more of the sub-requirements of Requirement R10.	The Transmission Operator has not included System restoration training in its operations training program.
R11.	The Transmission Operator, applicable Transmission Owner, or applicable Distribution Provider failed to train 5% or less of the personnel required by	The Transmission Operator, applicable Transmission Owner, or applicable Distribution Provider failed to train more than 5% and up to 10% of the	The Transmission Operator, applicable Transmission Owner, or applicable Distribution Provider failed to train more than 10% and up to 15% of the	The Transmission Operator, applicable Transmission Owner, or applicable Distribution Provider failed to train more than 15% of the personnel

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R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
	Requirement R11 within a two calendar year period.	personnel required by Requirement R11 within a two calendar year period.	personnel required by Requirement R11 within a two calendar year period.	required by Requirement R11 within a two calendar year period.
R12.	N/A.	N/A	N/A	The Transmission Operator has failed to comply with a request for their participation from the Reliability Coordinator.
R13.	N/A	The Transmission Operator and Generator Operator with a Blackstart Resource do not reference Blackstart Resource Testing requirements in their written Blackstart Resource Agreements or mutually agreed upon procedures or protocols.	N/A	The Transmission Operator and Generator Operator with a Blackstart resource do not have a written Blackstart Resource Agreement or mutually agreed upon procedure or protocol.
R14.	N/A	N/A	N/A	The Generator Operator does not have documented starting and bus energizing procedures for each Blackstart Resource.
R15.	The Generator Operator with a Blackstart Resource did not notify the Transmission Operator of a known change in Blackstart Resource capability affecting the ability to meet the Transmission Operator’s restoration plan within 24 hours but did make the notification within 48 hours.	The Generator Operator with a Blackstart Resource did not notify the Transmission Operator of a known change in Blackstart Resource capability affecting the ability to meet the Transmission Operator’s restoration plan within 48 hours but did make the notification within 72 hours.	The Generator Operator with a Blackstart Resource did not notify the Transmission Operator of a known change in Blackstart Resource capability affecting the ability to meet the Transmission Operator’s restoration plan within 72 hours but did make the notification within 96 hours.	The Generator Operator with a Blackstart Resource did not notify the Transmission Operator of a known change in Blackstart Resource capability affecting the ability to meet the Transmission Operator’s restoration plan for more than 96 hours.
R16.	The GOP with a Blackstart Resource performed tests and	The GOP with a Blackstart Resource performed tests and	The GOP with a Blackstart Resource performed tests but	The Generator Operator with a Blackstart Resource did not

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R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
	<p>maintained records but the records did not include all of the items in R16.1. OR The Generator Operator did not supply the Blackstart Resource testing records as requested for 31 to 60 calendar days of the request.</p>	<p>maintained records but did not supply the Blackstart Resource testing records as requested for 61 days to 90 calendar days after the request.</p>	<p>either did not maintain records or did not supply the Blackstart Resource testing records as requested within 91 or more calendar days after the request.</p>	<p>perform Blackstart Resource tests.</p>
R17.	<p>The Generator Operator with a Blackstart Resource did not train less than or equal to 10% of the personnel required by Requirement R17 within a two calendar year period.</p>	<p>The Generator Operator with a Blackstart Resource did not train more than 10% and less than or equal to 25% of the personnel required by Requirement R17 within a two calendar year period.</p>	<p>The Generator Operator with a Blackstart Resource did not train more than 25% and less than or equal to 50% of the personnel required by Requirement R17 within a two calendar year period.</p>	<p>The Generator Operator with a Blackstart Resource did not train more than 50% of the personnel required by Requirement R17 within a two calendar year period.</p>
R18.	<p>N/A.</p>	<p>N/A</p>	<p>N/A</p>	<p>The Generator Operator failed to participate in the Reliability Coordinator’s restoration drills, exercises, or simulations as requested by the Reliability Coordinator.</p>

E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1	May 2, 2007	Approved by Board of Trustees	Revised
2	TBD	Revisions pursuant to Project 2006-03	Updated testing requirements Incorporated Attachment 1 into the requirements Updated Measures and Compliance to match new Requirements
2	August 5, 2009	Adopted by Board of Trustees	Revised
2	March 17, 2011	Order issued by FERC approving EOP-005-2 (approval effective 5/23/11)	
2	February 7, 2013	R3.1 and associated elements approved by NERC Board of Trustees for retirement as part of the Paragraph 81 project (Project 2013-02) pending applicable regulatory approval.	
2	July 1, 2013	Updated VRFs and VSLs based on June 24, 2013 approval.	
2	November 21, 2013	R3.1 and associated elements approved by FERC for retirement as part of the Paragraph 81 project (Project 2013-02)	

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Appendix QC-EOP-005-2 Provisions specific to the standard EOP-005-2 applicable in Québec

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of its appendix must be read together for the purposes of understanding and interpretation. Where the standard and appendix differ, the appendix shall prevail.

A. Introduction

1. **Title:** System Restoration from Blackstart Resources
2. **Number:** EOP-005-2
3. **Purpose:** No specific provision
4. **Applicability:** No specific provision
5. **Effective Date:**
 - 5.1. Adoption of the standard by the Régie de l'énergie: Month xx, 201x
 - 5.2. Adoption of the appendix by the Régie de l'énergie: Month xx, 201x
 - 5.3. Effective date of the standard and its appendix in Québec: Month xx, 201x

B. Requirements

Specific provision applicable to requirement R18:

Only Generator Operators with facilities required for system restoration, and identified in the Transmission Operator restoration plan, are subject to requirement R18.

C. Measures

No specific provision

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Enforcement Authority**

The Régie de l'énergie is responsible, in Québec, for compliance enforcement with respect to the reliability standard and its appendix that it adopts.
 - 1.2. **Compliance Monitoring Period and Reset Time Frame**

No specific provision
 - 1.3. **Compliance Monitoring and Enforcement Processes**

No specific provision
 - 1.4. **Data Retention**

No specific provision
 - 1.5. **Additional Compliance Information**

No specific provision
2. **Violation Severity Levels**

No specific provision

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Provisions specific to the standard EOP-005-2 applicable in Québec

E. Regional Variances

No specific provision

Revision History

Revision	Adoption Date	Action	Change Tracking
0	Month xx, 201x	New appendix	New

A. Introduction

1. **Title:** **Reliability Coordination — Current Day Operations**
2. **Number:** IRO-005-3.1a
3. **Purpose:** The Reliability Coordinator must be continuously aware of conditions within its Reliability Coordinator Area and include this information in its reliability assessments. The Reliability Coordinator must monitor Bulk Electric System parameters that may have significant impacts upon the Reliability Coordinator Area and neighboring Reliability Coordinator Areas.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Transmission Service Providers.
 - 4.5. Generator Operators.
 - 4.6. Load-Serving Entities.
 - 4.7. Purchasing-Selling Entities.
5. **Effective Date:**

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

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

B. Requirements

- R1. Each Reliability Coordinator shall monitor its Reliability Coordinator Area parameters, including but not limited to the following:
 - R1.1. Current status of Bulk Electric System elements (transmission or generation including critical auxiliaries such as Automatic Voltage Regulators and Special Protection Systems) and system loading.
 - R1.2. Current pre-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.
 - R1.3. Current post-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.
 - R1.4. System real and reactive reserves (actual versus required).
 - R1.5. Capacity and energy adequacy conditions.
 - R1.6. Current ACE for all its Balancing Authorities.

- R1.7.** Current local or Transmission Loading Relief procedures in effect.
- R1.8.** Planned generation dispatches.
- R1.9.** Planned transmission or generation outages.
- R1.10.** Contingency events.
- R2.** Each Reliability Coordinator shall monitor its Balancing Authorities' parameters to ensure that the required amount of operating reserves is provided and available as required to meet the Control Performance Standard and Disturbance Control Standard requirements. If necessary, the Reliability Coordinator shall direct the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. The Reliability Coordinator shall issue Energy Emergency Alerts as needed and at the request of its Balancing Authorities and Load-Serving Entities.
- R3.** Each Reliability Coordinator shall ensure its Transmission Operators and Balancing Authorities are aware of Geo-Magnetic Disturbance (GMD) forecast information and assist as needed in the development of any required response plans.
- R4.** The Reliability Coordinator shall disseminate information within its Reliability Coordinator Area, as required.
- R5.** Each Reliability Coordinator shall monitor system frequency and its Balancing Authorities' performance and direct any necessary rebalancing to return to CPS and DCS compliance. The Transmission Operators and Balancing Authorities shall utilize all resources, including firm load shedding, as directed by its Reliability Coordinator to relieve the emergent condition.
- R6.** The Reliability Coordinator shall coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, CPS, or DCS violations. The Reliability Coordinator shall coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in both the real time and next-day reliability analysis timeframes.
- R7.** As necessary, the Reliability Coordinator shall assist the Balancing Authorities in its Reliability Coordinator Area in arranging for assistance from neighboring Reliability Coordinator Areas or Balancing Authorities.
- R8.** The Reliability Coordinator shall identify sources of large Area Control Errors that may be contributing to Frequency Error, Time Error, or Inadvertent Interchange and shall discuss corrective actions with the appropriate Balancing Authority. The Reliability Coordinator shall direct its Balancing Authority to comply with CPS and DCS.
- R9.** Whenever a Special Protection System that may have an inter-Balancing Authority, or inter-Transmission Operator impact (e.g., could potentially affect transmission flows resulting in a SOL or IROL violation) is armed, the Reliability Coordinators shall be aware of the impact of the operation of that Special Protection System on inter-area flows. The Transmission Operator shall immediately inform the Reliability Coordinator of the status of the Special Protection System including any degradation or potential failure to operate as expected.
- R10.** In instances where there is a difference in derived limits, the Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall always operate the Bulk Electric System to the most limiting parameter.
- R11.** The Transmission Service Provider shall respect SOLs and IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.

- R12.** Each Reliability Coordinator who foresees a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area shall issue an alert to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area without delay. The receiving Reliability Coordinator shall disseminate this information to its impacted Transmission Operators and Balancing Authorities. The Reliability Coordinator shall notify all impacted Transmission Operators, Balancing Authorities, when the transmission problem has been mitigated.

C. Measures

- M1.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, Energy Management System description documents, computer printouts, a prepared report specifically detailing compliance to each of the bullets in Requirement 1, EMS availability, SCADA data collection system communications performance or equivalent evidence that will be used to confirm that it monitors the Reliability Coordinator Area parameters specified in Requirements 1.1 through 1.9.
- M2.** If one of its Balancing Authorities has insufficient operating reserves, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to computer printouts, operating logs, voice recordings or transcripts of voice recordings, or equivalent evidence that will be used to determine if the Reliability Coordinator directed and, if needed, assisted the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. (Requirement 2 and Requirement 7)
- M3.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to determine if it informed Transmission Operators and Balancing Authorities of Geo-Magnetic Disturbance (GMD) forecast information and provided assistance as needed in the development of any required response plans. (Requirement 3)
- M4.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, Hot Line recordings, electronic communications or equivalent evidence that will be used to determine if it disseminated information within its Reliability Coordinator Area in accordance with Requirement 4.
- M5.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, computer printouts, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it monitored system frequency and Balancing Authority performance and directed any necessary rebalancing, as specified in Requirement 5 Part 1.
- M6.** The Transmission Operators and Balancing Authorities shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it utilized all resources, including firm load shedding, as directed by its Reliability Coordinator, to relieve an emergent condition. (Requirement 5 Part 2)
- M7.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, operator logs or equivalent evidence that will be used to determine if it coordinated with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, CPS, or DCS violations including the coordination of pending generation and transmission maintenance

outages with Transmission Operators, Balancing Authorities and Generator Operators. (Requirement 6 Part 1)

- M8.** If a large Area Control Error has occurred, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, Hot Line recordings, electronic communications or equivalent evidence that will be used to determine if it identified sources of the Area Control Errors, and initiated corrective actions with the appropriate Balancing Authority if the problem was within the Reliability Coordinator's Area (Requirement 8 Part 1)
- M9.** If a Special Protection System is armed and that system could have had an inter-area impact, the Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, agreements with their Transmission Operators, procedural documents, operator logs, computer analysis, training modules, training records or equivalent evidence that will be used to confirm that it was aware of the impact of that Special Protection System on inter-area flows. (Requirement 9)
- M10.** If there is an instance where there is a disagreement on a derived limit, the Transmission Operator, Balancing Authority, Generator Operator, Load-serving Entity, Purchasing-selling Entity and Transmission Service Provider involved in the disagreement shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings, electronic communications or equivalent evidence that will be used to determine if it operated to the most limiting parameter. (Requirement 10)
- M11.** The Transmission Service Providers shall have and provide upon request evidence that could include, but is not limited to, procedural documents, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it respected the SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes. (Requirement 11)
- M12.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it issued alerts when it foresaw a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area, to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area as specified in Requirement 12 Part 1.
- M13.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that upon receiving information such as an SOL or IROL violation, loss of reactive reserves, etc. it disseminated the information to its impacted Transmission Operators and Balancing Authorities as specified in Requirement 12 Part 2.
- M14.** The Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications or equivalent evidence that will be used to confirm that it notified all impacted Transmission Operators, Balancing Authorities and Reliability Coordinators when a transmission problem has been mitigated. (Requirement 12 Part 3)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

For Measures 1 and 9, each Reliability Coordinator shall have its current in-force documents as evidence.

For Measures 2–8 and Measures 12 through 13, the Reliability Coordinator shall keep 90 days of historical data (evidence).

For Measure 6, the Transmission Operator and Balancing Authority shall keep 90 days of historical data (evidence).

For Measure 10, the Transmission Operator, Balancing Authority, and Transmission Service Provider shall keep 90 days of historical data (evidence).

For Measure 11, the Transmission Service Provider shall keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

2. Violation Severity Levels:

Requirement	Lower	Moderate	High	Severe
R1	The Reliability Coordinator failed to monitor one (1) of the elements listed in IRO-005-1 R1.1 through R1.10.	The Reliability Coordinator failed to monitor two (2) of the elements listed in IRO-005-1 R1.1 through R1.10.	The Reliability Coordinator failed to monitor three (3) of the elements listed in IRO-005-1 R1.1 through R1.10.	The Reliability Coordinator failed to monitor more than three (3) of the elements listed in IRO-005-1 R1.1 through R1.10.
R1.1	The Reliability Coordinator failed to monitor the current status of Bulk Electric System elements (transmission or generation including critical auxiliaries such as Automatic Voltage Regulators and Special Protection Systems) and system loading.	N/A	N/A	N/A
R1.2	The Reliability Coordinator failed to monitor current pre-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan’s viability and scope.	N/A	N/A	N/A

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R1.3	The Reliability Coordinator failed to monitor current post-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan’s viability and scope.	N/A	N/A	N/A
R1.4	The Reliability Coordinator failed to monitor system real and reactive reserves (actual versus required).	N/A	N/A	N/A
R1.5	The Reliability Coordinator failed to monitor capacity and energy adequacy conditions.	N/A	N/A	N/A
R1.6	The Reliability Coordinator failed to monitor current ACE for all its Balancing Authorities.	N/A	N/A	N/A
R1.7	The Reliability Coordinator failed to monitor current local or Transmission Loading Relief procedures in effect.	N/A	N/A	N/A
R1.8	The Reliability Coordinator failed to monitor planned generation dispatches.	N/A	N/A	N/A
R1.9	The Reliability Coordinator failed to monitor planned transmission or generation outages.	N/A	N/A	N/A

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R1.10	The Reliability Coordinator failed to monitor contingency events.	N/A	N/A	N/A
R2	N/A	The Reliability Coordinator failed to direct the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities.	The Reliability Coordinator failed to issue Energy Emergency Alerts as needed and at the request of its Balancing Authorities and Load-Serving Entities.	The Reliability Coordinator failed to monitor its Balancing Authorities' parameters to ensure that the required amount of operating reserves was provided and available as required to meet the Control Performance Standard and Disturbance Control Standard requirements.
R3	N/A	N/A	The Reliability Coordinator ensured its Transmission Operators and Balancing Authorities were aware of Geo-Magnetic Disturbance (GMD) forecast information, but failed to assist, when needed, in the development of any required response plans.	The Reliability Coordinator failed to ensure its Transmission Operators and Balancing Authorities were aware of Geo-Magnetic Disturbance (GMD) forecast information.
R4	N/A	N/A	N/A	The Reliability Coordinator failed to disseminate information within its Reliability Coordinator Area, when required.

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R5	N/A	N/A	The Reliability Coordinator monitored system frequency and its Balancing Authorities' performance but failed to direct any necessary rebalancing to return to CPS and DCS compliance.	The Reliability Coordinator failed to monitor system frequency and its Balancing Authorities' performance and direct any necessary rebalancing to return to CPS and DCS compliance or the responsible entity failed to utilize all resources, including firm load shedding, as directed by its Reliability Coordinator to relieve the emergent condition.

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R6	N/A	<p>The Reliability Coordinator coordinated with Transmission Operators, Balancing Authorities, and Generator Operators, as needed, to develop action plans to mitigate potential or actual SOL, CPS, or DCS violations but failed to implement said plans</p> <p>OR</p> <p>The Reliability Coordinator failed to coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in either the real- time reliability analysis time frame or the next-day reliability analysis</p>	<p>The Reliability Coordinator failed to coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, CPS, or DCS violations</p> <p>OR</p> <p>The Reliability Coordinator failed to coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in both the real- time and next-day reliability analysis timeframes.</p>	<p>The Reliability Coordinator failed to coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, CPS, or DCS violations and the Reliability Coordinator failed to coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in both the real- time and next-day reliability analysis timeframes.</p>
R7	N/A	N/A	N/A	<p>The Reliability Coordinator failed to assist the Balancing Authorities in its Reliability Coordinator Area in arranging for assistance from neighboring Reliability Coordinator Areas or Balancing Authorities, when necessary.</p>

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R8	N/A	The Reliability Coordinator identified sources of large Area Control Errors that were contributing to Frequency Error, Time Error, or Inadvertent Interchange and discussed corrective actions with the appropriate Balancing Authority but failed to direct the Balancing Authority to comply with CPS and DCS.	The Reliability Coordinator identified sources of large Area Control Errors that were contributing to Frequency Error, Time Error, or Inadvertent Interchange but failed to discuss corrective actions with the appropriate Balancing Authority.	The Reliability Coordinator failed to identify sources of large Area Control Errors that were contributing to Frequency Error, Time Error, or Inadvertent Interchange.
R9	N/A	N/A	N/A	The Reliability Coordinator failed to be aware of the impact on inter-area flows of an inter-Balancing Authority or inter-Transmission Operator, following the operation of a Special Protection System that is armed (e.g., could potentially affect transmission flows resulting in a SOL or IROL violation), or the Transmission Operator failed to immediately inform the Reliability Coordinator of the status of the Special Protection System including any degradation or potential failure to operate as expected.

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

Requirement	Lower	Moderate	High	Severe
R10	N/A	N/A	N/A	The responsible entity failed to operate the Bulk Electric System to the most limiting parameter in instances where there was a difference in derived limits.
R11	N/A	N/A	N/A	The Transmission Service Provider failed to respect SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.
R12	N/A	The Reliability Coordinator failed to notify all impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.	N/A	The Reliability Coordinator who foresaw a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area failed to issue an alert to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area, or the receiving Reliability Coordinator failed to disseminate this information to its impacted Transmission Operators and Balancing Authorities.

E. Regional Differences

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1		Retired R2, R3, R5; modified R9, R13 and R14; retired R16 and R17 Retired M2 and M3; modified M9 and M12; retired M13 Made conforming changes to data retention Replaced Levels of Non-compliance with the Feb 28, BOT approved Violation Severity Levels (VSLs) Retired VSLs associated with R2, R3, R5, R16 and R17; Modified VSLs associated with R9 and R13, and R14	Revised
2	November 1, 2006	Approved by the Board of Trustees	
2	January 1, 2007	Effective Date	
2a	November 5, 2009	Approved by the Board of Trustees	
3	October 17, 2008	Approved by the Board of Trustees	
3	March 17, 2011	Order issued by FERC approving IRO-005-3 (approval effective 5/23/11)	
3a	April 21, 2011	Added FERC approved Interpretation	
3.1a	March 8, 2012	Errata adopted by Standards Committee; (removed outdated references in Measures M10 and M11 to ‘Part 2’ of Requirements R10 and R11)	Errata
3.1a	September 13, 2012	FERC approved	Errata

Standard IRO-005-3.1a — Reliability Coordination — Current Day Operations

3.1a	February 28, 2014	Updated VSLs based on June 24, 2013 approval.	
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Appendix 1

Requirement Number and Text of Requirement
<p>TOP-005-1 Requirement R3</p> <p>Upon request, each Balancing Authority and Transmission Operator shall provide to other Balancing Authorities and Transmission Operators with immediate responsibility for operational reliability, the operating data that are necessary to allow these Balancing Authorities and Transmission Operators to perform operational reliability assessments and to coordinate reliable operations. Balancing Authorities and Transmission Operators shall provide the types of data as listed in Attachment 1-TOP-005-0 “Electric System Reliability Data,” unless otherwise agreed to by the Balancing Authorities and Transmission Operators with immediate responsibility for operational reliability.</p> <p><i>The above-referenced Attachment 1 — TOP-005-0 specifies the following data as item 2.6: New or <u>degraded</u> special protection systems. [Underline added for emphasis.]</i></p> <p>IRO-005-1 Requirement R12¹</p> <p>R12. Whenever a Special Protection System that may have an inter-Balancing Authority, or inter-Transmission Operator impact (e.g., could potentially affect transmission flows resulting in a SOL or IROL violation) is armed, the Reliability Coordinators shall be aware of the impact of the operation of that Special Protection System on inter-area flows. The Transmission Operator shall immediately inform the Reliability Coordinator of the status of the Special Protection System including any <u>degradation</u> or potential failure to operate as expected. [Underline added for emphasis.]</p> <p>PRC-012-0 Requirements R1 and R1.3</p> <p>R1. Each Regional Reliability Organization with a Transmission Owner, Generator Owner, or Distribution Providers that uses or is planning to use an SPS shall have a documented Regional Reliability Organization SPS review procedure to ensure that SPSs comply with Regional criteria and NERC Reliability Standards. The Regional SPS review procedure shall include:</p> <p style="padding-left: 40px;">R1.3. Requirements to demonstrate that the SPS shall be designed so that a single SPS component failure, when the SPS was intended to operate, does not prevent the interconnected transmission system from meeting the performance requirements defined in Reliability Standards TPL-001-0, TPL-002-0, and TPL-003-0.</p>
Background Information for Interpretation
<p>The TOP-005-1 standard focuses on two key obligations. The first key obligation (Requirement R1) is a “responsibility mandate.” Requirement R1 establishes who is responsible for the obligation to provide operating data “required” by a Reliability Coordinator within the framework of the Reliability Coordinator requirements defined in the IRO standards. The second key obligation (Requirement R3) is a “performance mandate.” Requirement R3 defines the obligation to provide data “requested” by other reliability entities that is needed “to perform assessments and to coordinate operations.”</p> <p>The Attachment to TOP-005-1 is provided as a guideline of what “can be shared.” The Attachment is not an obligation of “what must be shared.” Enforceable NERC Requirements must be explicitly contained within a given Standard’s approved requirements. In this case, the standard only requires data “upon request.” If a Reliability Coordinator or other reliability entity were to request data such as listed in the Attachment, then the entity being asked would be mandated by Requirements R1 and R3 to provide that</p>

¹ In the current version of the Standard (IRO-005-3a), this requirement is R9.

data (including item 2.6, whether it is or is not in some undefined “degraded” state).

IRO-002-1 requires the Reliability Coordinator to have processes in place to support its reliability obligations (Requirement R2). Requirement R4 mandates that the Reliability Coordinator have communications processes in place to meet its reliability obligations, and Requirement R5 et al mandate the Reliability Coordinator to have the tools to carry out these reliability obligations.

IRO-003-2 (Requirements R1 and R2) requires the Reliability Coordinator to monitor the state of its system.

IRO-004-1 requires that the Reliability Coordinator carry out studies to identify Interconnection Reliability Operating Limits (Requirement R1) and to be aware of system conditions via monitoring tools and information exchange.

IRO-005-1 mandates that each Reliability Coordinator monitor predefined base conditions (Requirement R1), collect additional data when operating limits are or may be exceeded (Requirement R3), and identify actual or potential threats (Requirement R5). The basis for that request is left to each Reliability Coordinator. The Purpose statement of IRO-005-1 focuses on the Reliability Coordinator’s obligation to be aware of conditions that may have a “significant” impact upon its area and to communicate that information to others (Requirements R7 and R9). Please note: it is from this communication that Transmission Operators and Balancing Authorities would either obtain or would know to ask for SPS information from another Transmission Operator.

The IRO-005-1 (Requirement R12) standard implies that degraded is a condition that will result in a failure to operate as designed. If the loss of a communication channel will result in the failure of an SPS to operate as designed then the Transmission Operator would be mandated to report that information. On the other hand, if the loss of a communication channel will not result in the failure of the SPS to operate as designed, then such a condition can be, but is not mandated to be, reported.

Conclusion

The TOP-005-1 standard does not provide, nor does it require, a definition for the term “degraded.”

The IRO-005-1 (R12) standard implies that degraded is a condition that will result in a failure of an SPS to operate as designed. If the loss of a communication channel will result in the failure of an SPS to operate as designed, then the Transmission Operator would be mandated to report that information. On the other hand, if the loss of a communication channel will not result in the failure of the SPS to operate as designed, then such a condition can be, but is not mandated to be, reported.

To request a formal definition of the term degraded, the Reliability Standards Development Procedure requires the submittal of a Standards Authorization Request.

Standard IRO-005-3.1a — Reliability Coordination – Current Day Operations

Appendix QC-IRO-005-3.1a

Provisions specific to the standard IRO-005-3.1a applicable in Québec

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of its appendix must be read together for the purposes of understanding and interpretation. Where the standard and appendix differ, the appendix shall prevail.

A. Introduction

1. **Title:** Reliability Coordination – Current Day Operations
2. **Number:** IRO-005-3.1a
3. **Purpose:** No specific provision
4. **Applicability:**
 - Functions**
No specific provision
 - Facilities**
This standard only applies to the facilities of the Main Transmission System (RTP).
5. **Effective Date :**
 - 5.1. Adoption of the standard by the Régie de l'énergie: Month xx, 201x
 - 5.2. Adoption of the appendix by the Régie de l'énergie: Month xx, 201x
 - 5.3. Effective date of the standard and its appendix in Québec: Month xx, 201x

B. Requirements

Specific provisions regarding facilities for industrial use applicable to requirements R1.1, R1.2, R1.3, R1.4, R1.5, R1.8 and R1.9 :

The Reliability Coordinator is not required to monitor the parameters specified in requirements R1.1, R1.2, R1.3, R1.4, R1.5, R1.8 and R1.9 for generation facilities that are used mainly to supply industrial loads. However, it shall monitor those parameters at the connection points of the system of entities owning generation facilities for industrial use.

C. Measures

No specific provision

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**

The Régie de l'énergie is responsible, in Québec, for compliance monitoring with respect to the reliability standard and its appendix that it adopts.
 - 1.2. **Compliance Monitoring and Reset Time Frame**

No specific provision
 - 1.3. **Data Retention**

No specific provision
 - 1.4. **Additional Compliance Information**

Standard IRO-005-3.1a — Reliability Coordination – Current Day Operations

Appendix QC-IRO-005-3.1a

Provisions specific to the standard IRO-005-3.1a applicable in Québec

No specific provision

2. Violation Severity Levels

No specific provision

E. Regional Variances

No specific provision

Appendix 1

No specific provision

Revision History

Revision	Adoption Date	Action	Change Tracking
0	Month xx, 201x	New appendix	New