

[Registered Entity Name]

NERC ID: [NCRXXXXX]

MOD-032-1 – *Data for Power System Modeling and Analysis*

[QX] [20XX] Guided Self-Certification Worksheet

# Instructions

1. Populate the cover page by adding your Registered Entity name, NERC compliance registry (NCR) number, and the quarter and year indicated for the Guided Self-Certification in Align.
2. Complete the tasks listed under Assessment Guidance. Only complete tasks listed for the Requirements and Sections in scope.
3. Log into Align and complete your Guided Self-Certification response.
4. Submit the following to the Secure Evidence Locker (SEL):
	1. This completed worksheet; and
	2. Specific evidence requested within this document. Please make sure to use unique file names for each evidence file submitted and identify within your narratives which specific evidence files support each conclusion made. These references and the use of unique file names helps facilitate and expedite WECC’s review of the Self-Certification work that has been performed.
5. The Guided Self-Certification request in Align includes the monitoring period and the timeframe to perform the assessment and respond.

# Scope of the Self Certification

MOD-032-1 — Data for Power System Modeling and Analysis, R1, R2, R3, and R4

*Purpose:*

To establish consistent modeling data requirements and reporting

procedures for development of planning horizon cases necessary to support analysis of the reliability of the interconnected transmission system.

*Applicability:*

 Balancing Authority (BA) (R2, R3)

 Generator Owner (GO) (R2, R3)

 Load Serving Entity (LSE) (R2, R3)

 Planning Coordinator (PC) (R1, R4)

 Resource Planner (RS) (R2, R3)

 Transmission Owner (TO) (R2, R3)

 Transmission Planner (TP) (R1)

 Transmission Service Provider (TSP) (R2, R3)

**Requirements**

R1. Each Planning Coordinator and each of its Transmission Planners shall jointly develop steady-state, dynamics, and short circuit modeling data requirements and reporting procedures for the Planning Coordinator’s planning area that include:

1.1. The data listed in Attachment 1.

1.2. Specifications of the following items consistent with procedures for building the

Interconnection-wide case(s):

1.2.1. Data format;

1.2.2. Level of detail to which equipment shall be modeled;

1.2.3. Case types or scenarios to be modeled; and

1.2.4. A schedule for submission of data at least once every 13 calendar

months.

1.3. Specifications for distribution or posting of the data requirements and reporting procedures so that they are available to those entities responsible for providing the data.

R2. Each Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, and Transmission Service Provider shall provide steady-state, dynamics, and short circuit modeling data to its Transmission Planner(s) and Planning Coordinator(s) according to the data requirements and reporting procedures developed by its Planning Coordinator and Transmission Planner in Requirement R1. For data that has not changed since the last submission, a written confirmation that the data has not changed is sufficient.

R3. Upon receipt of written notification from its Planning Coordinator or Transmission Planner regarding technical concerns with the data submitted under Requirement R2, including the technical basis or reason for the technical concerns, each notified Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, or Transmission Service Provider shall respond to the notifying Planning Coordinator or Transmission Planner as follows:

3.1. Provide either updated data or an explanation with a technical basis for

maintaining the current data;

3.2. Provide the response within 90 calendar days of receipt, unless a longer time period is agreed upon by the notifying Planning Coordinator or Transmission Planner.

R4. Each Planning Coordinator shall make available models for its planning area reflecting data provided to it under Requirement R2 to the Electric Reliability Organization (ERO) or its designee to support creation of the Interconnection-wide case(s) that includes the Planning Coordinator’s planning area.

**Assessment Guidance**

**Requirement 1 (PC, TP)**

1. Each Planning Coordinator and each of its Transmission Planners shall jointly develop steady-state, dynamics, and short circuit modeling data requirements and reporting procedures for the Planning Coordinator’s planning area. As either a Planning Coordinator or a Transmission Planner, please provide your steady-state, dynamics, and short circuit modeling data requirements and reporting procedures.

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| **Document(s) Requested** |
| **Filename(s)** |  |
| **Comments** |  |

2. Do your modeling data requirements and reporting procedures include all parts of Requirement 1?

☐ Yes, respond “Compliant” for R1 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the SEL.

☐ No, respond “Not Compliant” for R1 to the Self-Certification in Align. Include a comment summary based on potential issues and upload supporting documentation to the SEL.

☐ If the entity does not meet the applicability requirements, respond “Not Applicable” for R1 to the Self-Certification in Align.

**Requirement 2 (BA, GO, LSE, RP, TO, TSP)**

1. Provide a list of all modified and new facilities (within the previous three years). If the entity does not own applicable facilities or this requirement is not applicable to the entity, skip to step 5.

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| **Modified and/or New Facilities** |
| **Filename(s)** |  |
| **Comments** |  |

2. Select a random sample from your modified and new facilities population identified in step 1 using the following sampling logic. (A random sample can be selected using statistical functions available in Microsoft Excel or through use of RAT-STATS, a free sampling tool available from the U.S. Department of Health & Human Services Office of Inspector General.)

From the population:

a. Select at least 10% of the population (maximum number sampled 10) making sure at least five are sampled (e.g. if fewer than 50 exist in your population, select at least five).

b. If five or fewer total exist in the population, select the whole population.

Also provide supporting evidence of the sampling process used including: (1) modified and new facilities population, (2) samples selected, and (3) output from the statistical function used to perform the sampling (e.g. RAT-STATS output).

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| --- | --- |
| **File(s) Contents** | **File Name / Page(s)** |
| **Full Population** |  |
| **Samples Selected** |  |
| **Statistical Function Output** |  |
| **Comments** |  |

3. For all of the sampled facilities listed in step 2, provide evidence to show that all the modeling data was provided to the Transmission Planner(s) and Planning Coordinator(s). Also, provide the date this modeling data was due and the date it was actually submitted. If more rows are needed, then add them below.

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| **Submission of each sample facility** |
| **Facility #1 (Name(s))** |  |
| **Submission of Attachment #2 (Filename(s))** |  |
| **Due Date** |  |
| **Date of Submission** |  |
|  |  |
| **Facility #2 (Name(s))** |  |
| **Submission of Attachment #2 (Filename(s))** |  |
| **Due Date** |  |
| **Date of Submission** |  |
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| **Facility #3 (Name(s))** |  |
| **Submission of Attachment #2 (Filename(s))** |  |
| **Due Date** |  |
| **Date of Submission** |  |
|  |  |
| **Facility #4 (Name(s))** |  |
| **Submission of Attachment #2 (Filename(s))** |  |
| **Due Date** |  |
| **Date of Submission** |  |

4. Was all the modeling data for the sampled facilities in step 2 submitted according to the data requirements and reporting procedures developed by the Planning Coordinator and Transmission Planner? Submit either “Yes” or “No” below and then skip step 5.

☐ Yes, respond “Compliant” for R2 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the SEL.

☐ No, respond “Not Compliant” for R2 to the Self-Certification in Align. Include a comment summary based on potential issues and upload supporting documentation to the SEL.

5. If a registered entity does not own any applicable facilities or the registered entity believes this requirement is not applicable to it, submit either “Do not own” or “Not Applicable” below.

☐ If the entity does not own, respond “Do Not Own” for R2 to the Self-Certification in Align. Include comments supporting the “Do Not Own” response and upload supporting documentation to the SEL.

☐ Do not meet the applicability requirements, respond “Not Applicable” for R2 to the Self-Certification in Align. Include comments supporting the “Not Applicable” response and upload supporting documentation to the SEL.

**Requirement 3 (BA, GO, LSE, RP, TO, TSP)**

1. As a Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, or Transmission Service Provider has the registered entity received any written notification from its Planning Coordinator or Transmission Planner regarding technical concerns with the data submitted under the NERC reliability standard MOD-032-1 Requirement R2?

If the registered entity did not receive a written notification or the registered entity is not a Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, or Transmission Service Provider, skip to step 4.

If the registered entity received any written notifications, please provide these notifications in the table below. Please add rows if needed.

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| **Received Notification(s)** |
| **Notification #1 Filename(s)** |  |
| **Date Received** |  |
| **Comments** |  |
| **Received Notification(s)** |
| **Notification #2 Filename(s)** |  |
| **Date Received** |  |
| **Comments** |  |
| **Received Notification(s)** |
| **Notification #3 Filename(s)** |  |
| **Date Received** |  |
| **Comments** |  |

2. Provide the response to the notifications received from the PC or TP in step 1. If the response was made within 90 days after the receipt of the notification, indicate that in the “comment” row and provide evidence to show that either the Planning Coordinator or the Transmission Planner agreed to a longer response period; also, list this evidence filename in the “comment” row.

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| **Response(s) to Notification(s)** |
| **Response(s) to Notification #1 Filename(s)** |  |
| **Response Date** |  |
| **Comments** |  |
|  |  |
| **Response(s) to Notification #2 Filename(s)** |  |
| **Response Date** |  |
| **Comments** |  |
|  |  |
| **Response(s) to Notification #3 Filename(s)** |  |
| **Response Date** |  |
| **Comments** |  |

3. Were all notifications responded to in accordance with Requirement R3? Submit either “Yes” or “No” below.

☐ Yes, respond “Compliant” for R3 to the Self-Certification in Align. Include a comment summary and upload supporting documentation to the SEL.

☐ No, respond “Not Compliant” for R3 to the Self-Certification in Align. Include a comment summary based on potential issues and upload supporting documentation to the SEL.

4. If a registered entity did not receive any written notification or the registered entity is not a Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, or Transmission Service Provider, submit “Not Applicable” below.

☐ The entity does not meet the applicability requirements, respond “Not Applicable” for R3 to the Self-Certification in Align. Include comments supporting the “Not Applicable” response and upload supporting documentation to the SEL.

**Requirement 4 (PC)**

1. As a Planning Coordinator, has the registered entity received modeling data submitted under the NERC reliability standard MOD-032-1 Requirement R2 and then made that modeling data available for its planning area to the Electric Reliability Organization (ERO) or its designee to support creation of the Interconnection-wide case(s)?

☐ No, if the registered entity did not receive data submitted under the NERC reliability standard MOD-032-1 Requirement R2 or this requirement is not applicable to the entity, skip to step 2.

☐ Yes, if the registered entity did receive data submitted under the NERC reliability standard MOD-032-1 Requirement R2 and then made this modeling data available to the Electric Reliability Organization (ERO) or its designee to support creation of the Interconnection-wide case(s).

2. If the registered entity did not receive data submitted under the NERC reliability standard MOD-032-1 Requirement R2 or the registered entity is not a Planning Coordinator, submit “Not Applicable” below.

☐ The entity does not meet the applicability requirements, respond “Not Applicable” for R4 to the Self-Certification in Align. Include comments supporting the “Not Applicable” response and upload supporting documentation to the SEL.

**Document Submittals**

WECC requires copies of the following be submitted with the self-certification response:

a) This worksheet; and

b) Supporting documentation referenced in the Assessment Guidance.

Please make sure to use unique file names for each evidence file submitted and identify within your responses to the steps above which specific evidence files support each conclusion made. These references and the use of unique file names helps facilitate and expedite WECC’s review of the Self-Certification work that has been performed.

All other data related to the registered entity’s analysis and self-certification response are to be retained for at least 180 days after the submission date. WECC staff may request submission of additional information at a later date to verify accuracy of self-certification submittals.

# Assessment Guidance – Controls

**Controls Instructions:**

In this section of the document, WECC asks you to identify/describe the internal controls your entity put in place to mitigate the risk(s) addressed by this Standard. When WECC asks you to "provide associated evidence," you should provide any evidence (examples include check lists, processes, procedures, training, sign-in sheets, *etc*.) demonstrating your entity *created* a control and *implemented* the control.

When WECC asks for the Quality Control/Quality Assurance (QC/QA) your entity used in connection with a risk assessment or control, please describe how your entity *verified* it performed an activity or verified an activity was performed *correctly* (examples include separation of duties, having a supervisor double-check someone’s work, *etc*.).

If you have any questions, please reach out to WECC at internalcontrols@wecc.org.

**Controls Questions:**

1. If your entity is a Planning Coordinator (PC), describe how it:
	1. Defined its PC planning area;
	2. Collaborated with neighboring PCs to establish the boundaries of its PC planning area.

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| Narrative  |
| Response:(a) (b)  |

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| Evidence (if available) |
| **File Name** | **Document Title** | **Revision/****Version** | **Document Date** | **Relevant Page(s) or Section(s)** |
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| Comments: |

1. What Quality Assurance/Quality Control (QC/QA) did your entity perform to ensure it correctly defined its PC planning area?

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| Narrative  |
| Response:  |

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| Comments: |

1. If your entity is a Transmission Planner (TP), describe how it:
	1. Defined its TP area;
	2. Collaborated with neighboring TPs to establish the boundaries of its TP area.

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| Narrative  |
| Response:(a)(b) |

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1. What Quality Assurance/Quality Control (QC/QA) did your entity perform to ensure it correctly defined its TC planning area?

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| Narrative  |
| Response:  |

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| Comments: |

1. If your entity is a PC:
	1. Describe how it determined the modeling it should perform for the planning horizon to ensure Bulk Power System (BPS) reliability and security in its PC area;
	2. Describe the verification it performed to ensure it correctly identified the modeling it should perform for the planning horizon to ensure BPS reliability and security in its PC area
	3. Did it hire an independent third-party to assess the validity of its modeling for the planning horizon?
		1. If not, how does it validate the results of its modeling studies for the planning horizon?

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| Narrative  |
| Response:(a)(b) (c)  |

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| Evidence (if available) |
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| Comments: |

1. (a) If your entity is a PC, describe how it ensures it collaborates with TPs in its area to develop steady-state, dynamics and short circuit modeling data requirements and reporting procedures.

(b) If your entity is a TP, describe how it ensures it collaborates with its PC(s) to develop steady-state, dynamics and short circuit modeling data requirements and reporting.

(c) What QC/QA does your entity perform to ensure it collaborates to develop steady-state, dynamics and short circuit modeling data requirements and reporting procedures for steady-state, dynamics and short circuit modeling.

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| Narrative  |
| Response: (a)(b)(c)  |

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| Comments: |

1. (a) Describe how your entity determined the entities to which it would send the data requirements and reporting procedures for steady-state, dynamics and short circuit modeling.

(b) Describe the QC/QA your entity performs to ensure it correctly determines the entities to which it sends the data requirements and reporting procedures for steady-state, dynamics and short circuit modeling.

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| Narrative  |
| Response:(a)(b) |

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| Comments: |

1. (a) Describe how your entity identifies the data it needs to develop planning horizon cases to analyze BPS reliability in its PC area.

(b) Describe how your entity ensures it consults the correct personnel to identify the data it needs to develop planning horizon cases in its PC area.

(c) What verification does your entity perform to ensure it identified all data it needs to develop planning horizon cases in its PC area?

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| Narrative  |
| Response:(a)(b)(c)  |

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| Evidence (if available) |
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| Comments: |

1. (a) Describe how your entity ensures it has the proper number of Subject Matter Experts to timely develop planning horizon cases for its PC area.

(b) Has your entity defined roles and responsibilities for staff charged with developing planning horizon cases for its PC area?

(c) Does your entity hold accountable personnel responsible for developing planning horizon cases for its PC area? If yes, describe how it holds personnel responsible.

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| Narrative  |
| Response:(a)(b)(c)  |

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| Comments: |

1. (a) Describe how your entity tracks changes in topology in its PC area?

(b) Describe how your entity ensures it timely updates its model(s) when changes in topology occur in its PC area?

(c) How does your entity verify it timely updated its model(s) when changes in topology occurred in its PC area?

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| Narrative  |
| Response:(a)(b)(c)  |

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| Evidence (if available) |
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| Comments: |

1. (a) Describe how your entity determined the data format; level of detail to model equipment; case types or scenarios to be modeled; and schedule for submitting data.

(b) Describe the QC/QA your entity performs to ensure it correctly determines the data format; level of detail to model equipment; case types or scenarios to be modeled; and schedule for submitting data.

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1. (a) If your entity is a Balancing Authority (BA), Generator Owner (GO), Resource Planner (RP), Transmission Owner (TO) or Transmission Service Provider (TSP), describe the controls it has in place to ensure it timely provides steady-state, dynamics and short circuit modeling data to its TP(s) and PC(s) according to the data requirements and reporting procedures developed by its PC and TP.

(b) Describe the QC/QA your entity performs to ensure it timely provides steady-state, dynamics and short circuit modeling data to its TP(s) and PC(s) according to the data requirements and reporting procedures developed by its PC and TP.

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| Narrative  |
| Response:(a)(b) |

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| Evidence (if available) |
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| Comments: |

1. (a) If your entity is a BA, GO, RP, TO or TSP, describe the controls it created to ensure it will timely provide either updated data or an explanation with a technical basis for maintaining the current data when notified by the PC or TP about technical concerns with the data submitted.

(b) Describe the QC/QA your entity performs to ensure it timely provides either updated data or an explanation with a technical basis for maintaining the current data when notified by the PC or TP about technical concerns with the data submitted.

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| Narrative  |
| Response:(a)(b) |

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| Evidence (if available) |
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