

Compliance Frequently Asked Questions

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If you spot problems with a FAQ or have a new question, ideally with a suggested answer, send an email to [our Compliance team](#).

Frequently Asked Question	Answer
Where can I receive emails on compliance communications?	<p>MISO sends notifications to the following lists for compliance communications and required distributions. Please be sure someone from your company is signed onto one of the lists below to receive these notifications. This can be completed through your profile on the MISO website.</p> <p>*It is important to note that these lists are not the only method used for communication.</p> <ul style="list-style-type: none"> • MISOROP • MISOROWG – Closed
CFRs: Where are MISO's Coordinated Functional Registration posted?	The approved CFRs are posted on NERC's website . The links to individual CFRs change from time to time, so it helps to look at the “CFR Member Listing” spreadsheet if you forget the CFR number.
CIP-002-5.1a: Has MISO, as Reliability Coordinator and Planning Coordinator, designated any generators or facilities that apply to Criteria 2.3 or 2.6 that could cause an adverse impact to the transmission system?	<p>We have not designated any generation facilities specifically to avoid Adverse Reliability Impacts - Criterion 2.3. However, as Planning Coordinator, we identified IROL facilities and associated contingencies in accordance with the NERC FAC-014 Reliability Standard.</p> <p>Refer to the facility list document under FAC-014-2 on the Planning Authority Page of the MISO Extranet, in the following folder location: FAC-014-2 and click on the most recent assessment year.</p> <p>For IROL facilities identified by the MISO Operations, refer to the IROL list in Attachment 1 – MISO IROL List in SO-RA-NOP-01 Rev: 8 Methodology for Identification and Implementation of IROLs and SOLs Plan on the Reliability Authority page on the MISO Extranet.</p>
COM-001-3: Where can I find MISO's contact information for primary and secondary Interpersonal Communications Capabilities?	Find contact information used for primary Interpersonal Communication capability as well as Alternative Interpersonal Communication capabilities on the Reliability Coordination page of the MISO Extranet.
COM-001-3 R7 and R8: Who do we contact at MISO if we have an Interpersonal Communications capability failure?	You should first contact your Transmission Operator and your Local Balancing Authority. Refer to SO-P-AOP-00-214 Loss of MISO Member Infrastructure for additional information.
EOP-004-4 R1: How do I confirm my contacts for EOP-004-4, R1?	<p>Depending on your MISO region, your points of contacts for immediate notifications of system disturbances are:</p> <ul style="list-style-type: none"> • Central RC 1: 317-249-5516

	<ul style="list-style-type: none"> • Central RC 2: 317-249-5519 • North RC: 651-632-8490 • South RC: 501-378-4231 <p>See also SO-P-NOP-04 MISO Event Reporting Operating Plan which details reporting contacts, procedures, and MISO's reporting matrix and with NERC's Event Reporting Form and DOE's Form OE-417.</p> <p>You may provide a screen shot or downloaded copy of this FAQ for documentation.</p> <p>Submit your OE-417 or EOP-004-2 Attachment 2 Form to rtopscompliance@misoenergy.org.</p>
<p>FAC-001-3 R3.3 and R4.3: How do Transmission Owners and Generator Owners confirm their new or material modified transmission Facilities are within a Balancing Authority Area's metered boundaries?</p>	<p>Per NERC Standard FAC-001-3 requirement R3.3, each Transmission Owner shall have procedures for confirming that their new or materially modified transmission facilities are within a Balancing Authority Area's metered boundaries. Obligations for interconnections related to transmission are described in Appendix B to the Transmission Owner's Agreement. Evidence of new generation can be supplied through the MISO Transmission Expansion Planning (MTEP) process by the Transmission Owner(s). See Attachment FF II.A.2; TOA Appendix B Section VI. A copy of the interconnection or location of interconnection within metered boundaries is provided in MISO Tariff Attachment WW.</p>
<p>FAC-002-3 R1 and R3: How does MISO coordinate with Transmission Owners, Distribution Providers and Load Serving Entities on Distribution-to-Transmission interconnections?</p>	<p>Distribution (Electricity-End-User)-to-Transmission Interconnections are governed by Appendix B of the Transmission Owners Agreement. The Transmission Owner that receives a request for a Distribution-to-Transmission interconnection, applicable to FAC-002-3 Requirement R1, serves as the designated lead of the joint reliability impact study.</p> <p>For generator interconnection, the study is identified as the System Impact Study.</p> <p>MISO and all impacted Transmission Owners support the joint reliability impact study of any Distribution-to-Transmission Interconnection applicable to FAC-002-3 Requirement R1. If the joint reliability impact study identifies necessary network upgrades, they will be "Submitted for Recommendation" through the MISO Transmission Expansion Planning (MTEP) process by the Transmission Owner(s). See Transmission Owners Agreement, Appendix B Section VI.</p> <p>Network Upgrades identified in the System Impact Study are submitted to MTEP by the Transmission Owner and are placed in Target Appendix A. They are then approved in the next MTEP cycle.</p> <p>Other general obligations for interconnections are described in the Transmission Owners Agreement and Attachment X of the Tariff.</p>
<p>FAC-002-3 R1 and R4: How does MISO coordinate with Transmission Owners on Transmission-to-Transmission Interconnections?</p>	<p>MISO serves as the designated lead for generation and transmission studies and the Transmission Owners (TO) serve as the designated lead of load interconnection studies for Transmission-to-Transmission Interconnection requests applicable to FAC-002-3 Requirement R1. If the interconnection involves more than one TO, the TOs will select one TO as a project lead.</p>

	<p>MISO and all impacted TOs will support the joint reliability impact study for any Transmission-to-Transmission Interconnection applicable to FAC-002-3 R1.</p> <p>If the joint reliability impact study identifies necessary network upgrades, they will be “Submitted for Recommendation” through the MISO Transmission Expansion Planning (MTEP) process by the Transmission Owner(s). See Attachment FF II.A.2; TOA Appendix B Section VI.</p> <p>Network Upgrades identified in the System Impact Study are submitted to MTEP by the Transmission Owner and are placed in Target Appendix A. They are then approved in the next MTEP cycle.</p> <p>Other general obligations for interconnections are described in the Transmission Owners Agreement and Attachment X of the Tariff.</p>
<p>FAC-002-3 R1, R2, and R5: How does MISO coordinate with Transmission Owners and Generator Operators on Generation-to-Transmission interconnections?</p>	<p>Attachment X, Section 7 of the MISO Tariff governs generation-to-transmission interconnections.</p> <p>MISO facilitates, and impacted transmission owners support, joint reliability impact studies for all Generation-to-Transmission Interconnection requests applicable to FAC-002-3 Requirement R1.</p> <p>If the joint reliability study identifies needed network upgrades AND an interconnection agreement is executed, necessary network upgrades will be submitted for inclusion in the MISO Transmission Expansion Planning (MTEP) process in accordance with the MISO business practices for modeling and regional planning.</p> <p>Other general obligations for interconnections are described in the Transmission Owners Agreement and Attachment X of the Tariff.</p> <ol style="list-style-type: none"> 1. Attachment X Section 7.3.2.3 2. Attachment X: Appendix 6 Article 19 Subcontractors; BPM-020 section 2.6.2; and the Transmission Owners Agreement, Appendix B VII. 3. Attachment FF II.A.2.
<p>FAC-008-5 R7: How do Generator Owners submit ratings and ratings changes to MISO?</p>	<p>Generator Owners typically submit ratings planning models through our Model on Demand tool. While not applicable to this standard, you may also submit real time rating changes to the MISO shift operations engineer.</p>
<p>FAC-008-5 R8: How does the TO submit ratings and ratings changes to MISO as Reliability Coordinator and Planning Coordinator?</p>	<p>Transmission Owners typically submit ratings for planning models through our Model on Demand tool. While not applicable to this standard, you may also submit real time rating changes to the MISO shift operations engineer.</p> <p>Note: MISO does not request information on “next limiting element”.</p>
<p>FAC-014-2 R5: How do I provide or review my SOLs and IROLs?</p>	<p>Transmission Owners submit facility ratings information through the Model on Demand tool for insertion into MISO near-term and long-term models. Transmission Owners may also provide stability limits through participation in studies conducted by our Expansion Planning, Forward Operations, or Real-Time Operations divisions. Additionally, we perform online transmission system studies in real-time which provides stability limits based on current system conditions. Transmission Owners may also verbally communicate temporary rating changes to MISO via the Model on Demand tool or by calling to the Reliability Coordinator or Operations Engineer.</p>

FAC-014-2 R5: What are System Operating Limits?	System Operating Limits, or "SOLs," comprise facility ratings, voltage limits and stability limits.
FAC-014-2 R5: When must I submit System Operating Limits to MISO?	<p>Per RTO-RA-OP-006-r15 Transmission Facility Rating: Section 1, Transmission Owners notify MISO of rating changes for summer and winter seasonal assessments, or when generators, tie lines, or facilities are built, modified, replaced, or retired.</p> <p>Refer to SO-P-NOP-01 Rev: 4 Methodology for Identification and Implementation of SOLs and IROLs Plan for identification of IROLs and SOLs posted on the Reliability Coordination portion of MISO's Extranet.</p>
IRO-001-4; IRO-002-7; IRO-006-5; IRO-008-2; IRO-009-2; IRO-010-3; IRO-014-3; IRO-017-1; IRO-018-1(i): How do I prove to my Region that I have complied with all MISO directives?	<p>NERC provides guidance regarding the use attestations on its website. You may create your own attestation using the template on the NERC website.</p> <p>If you need a specific attestation from MISO, you can also find the attestation request form in the Compliance Corner section of MISO's public website.</p>
MOD-031-3 R3: Does MISO submit my Load Serving Entity data to my Region?	Yes. MISO submits the data under R1.3 through R1.5, if requested, to the regions directly into the Regional portal or other agreed upon means by the parties. MISO requires Market Participants to submit data through the Module-E Capacity Tracking tool. The data is then used to populate the NERC Long-Term Reliability Assessment. As long as Market Participants comply with the Module-E1 requirements, they remain compliant with the MOD-031 standard and may use the LTRA report as evidence of compliance.
MOD-031-3: Does MISO issue a data request to applicable entities using MOD-031-3?	No. MISO uses the MISO Tariff as the primary mechanism for collecting data. MISO does not issue a request using MOD-031-3 to request MOD-031-3 applicable data.
MOD-032-1: When and how does a generator owner (GO) submit data to MISO for MOD-032-1?	<p>The preliminary schedule for providing data is found in MISO MOD-032 Model Data Requirements & Reporting Procedures. MISO sends all model data requests pertaining to MOD-032-1 to MISO's Planning Subcommittee email distribution list.</p> <p>To sign up for the Planning Subcommittee email distribution list:</p> <ul style="list-style-type: none"> • Go to MISO's public website • Login (Create New Profile if you don't have a login) • Click on Profile once you login (top right of screen) • Click Sign Up for Mailing Lists • Subscribe to Planning Subcommittee (PSC) email distribution list. <p>The preferred approach is that the GO submits data to their Transmission Planner (TP) who then provides the data to MISO. If the GO follows this approach, they still are expected to send a MOD-32 Letter of Notice of Data Submittal Duty form to TAMModeling@misoenergy.org.</p> <p>If the TP does not agree to submit the GO data to MISO, the GO must provide their data via the MISO Model on Demand tool. To get access to the Model on Demand please complete the form at: https://cdn.misoenergy.org/Model-On-Demand%20Access%20Request102831.docx</p>

<p>MOD-033-2: R2 How do I demonstrate Compliance for providing this modeling data?</p>	<p>MISO uses SynchroPhasor data to validate its dynamic models. The majority of MISO TOs provide PMU data to MISO in real time. In these cases, MISO as Reliability Coordinator, shares the members' PMU with our Planning Coordinator staff.</p> <p>This means TOPs who provide PMU data in real-time to MISO will not receive a data request from MISO. If the member did not receive a MOD-033 data request, M2 allows the TOP to self-attest that this is the case. NERC's CAN-030 is an acceptable way to self-attest. Finally, the member may want to use the MISO general attestation as supplemental evidence.</p> <p>Members that don't stream PMU data to MISO may get data requests. These members should retain the data requests and copies of their transmission to MISO. Similar to above, these members may use CAN-030 to self-attest that if they did not get a data request and may also use the MISO general attestation as supplemental evidence.</p>
<p>PRC-002-2 R5: Has MISO identified locations where dynamic Disturbance recording (DDR) is required?</p>	<p>Yes. The PRC-002-2 R5 RES Elements for DDR CEII document contains communication emails and lists of the R5 BES elements.</p> <p>Note there are two lists in the file, the first list is public and the second list is CEII.</p>
<p>PRC-006: Where can I find MISO UFLS program documentation?</p>	<p>The file name below contains the MISO Under Frequency Load Shedding (UFLS) program documentation for the North and Central Regions dated October 12, 2018.</p> <ul style="list-style-type: none"> • MISO_2018_UFLS_Study_North_Central_2018-10-12.pdf <p>The file is posted in the Reliability Authority portion of the Extranet under Planning Authority - Transmission Compliance - PRC-006-3.</p> <p>Access the MISO UFLS program documentation for the South region on the MTEP ftp site under the</p> <ul style="list-style-type: none"> • MISO Extranet → Reliability Authority → Planning Authority → Transmission Compliance → PRC-006-3 → 2020 → MISO_2020_UFLS_Study_South_final_2020-10-14.pdf <p>The file name below includes a description of the methodology. The program requirements are outlined in the Executive Summary.</p> <ul style="list-style-type: none"> • "MISO_2020_UFLS_Study_South_final_2020-10-14.pdf"
<p>PRC-006-03 R15: Has my company been given a Corrective Action Plan?</p>	<p>Based on MISO's 2020 study, no MISO UFLS Entity received a Corrective Action Plan.</p>
<p>PRC-006-03 R10: Does the MISO UFLS program require switching to control over-voltage as a result of UFLS?</p>	<p>No. MISO's UFLS current program does not require capacitor, transmission line or reactor switching to prevent overvoltage</p>
<p>PRC-010-2 R1, R3, R4, and R5: Who is responsible for PRC-010-2 R1, R3, R4, and R5?</p>	<p>MISO as a PC and each TP have agreed that the Entity that develops a UVLS program will be responsible for the programs compliance obligations.</p>
<p>PRC-010-2 R8: Where can I find the MISO UVLS Program Database?</p>	<p>Eligible Planning Coordinators, Transmission Planners, and applicable functional entities may submit a written request for the</p>

	MISO UVLS Program database to PlanningCoordinator@misoenergy.org
PRC-023-4 R1: Where is the methodology for identifying circuits that meet this criteria?	Further information is located in Appendix M of BPM-020 – Planning Horizon PRC-023 Applicable Facility Identification Procedure.
PRC-024-2 R4: How do we submit changes made to our trip setting to the MISO Planning Coordinator for R4?	You may submit changes via an email to MISO's Planning Coordinator inbox . Please use PRC-024-2 in the subject line and cc yourself in the message so you have a record of your submission.
TOP-001-5 R9: How do I meet TOP-001-5 R9 under MISO's processes?	MISO's procedures SO-P-NOP-00-424 and RTO-AOP-010 outline expected notification channels and timelines that support this requirement. The procedures were developed prior to TOP-001-5 and meet or exceed the notification timelines of TOP-001-5 R9. The MISO procedures do not set out compliance obligations. MISO also acknowledges members will use ICCP quality flags to provide additional assurance for their R9 compliance, particularly during system events when their operators are busy or distracted.
TOP-002-4 and IRO-008-2: How do TOPs coordinate their Operating Plans and Operational Planning Analysis (OPA) with MISO?	<p>Operating Plans comprise a document or set of documents and procedures that explain how entities manage operations, reliability, and constraints. Operating Plans do not include daily studies. For instance, MISO's Operating Plan is comprised of our Congestion Management Procedure, Op Guides, and T-Notes.</p> <p>Conversely, an Operational Planning Analysis (OPA) evaluates projected system conditions to assess anticipated and potential operating conditions. MISO's Next Day Security Analysis reports constitute our next-day OPA.</p> <p>Under IRO-008-2 R2, MISO takes into consideration any Operating Planning Analysis (OPA) the TOP performs for TOP-002-4 R1. To do this, the Transmission Operator compares their OPA and Operating Plans with MISO's OPA (i.e. our Next Day Security Analysis report). If there are any exceptions identified, the TOP follows the Transmission Security Planning Procedure TP-OP-011 Section 2.10.4. (MISO Extranet > Reliability Authority > Reliability Coordination > Next-Day Analysis > Transmission Security Planning Procedure)</p> <p>Per the Transmission Security Planning Procedure, if the TOP identifies any exceptions, they must contact MISO's Transmission Security Planning group to discuss the exceptions to the Operating Plan; the resolution of which is documented via an email.</p> <p>In order for MISO, as the Reliability Coordinator, to comply with IRO-008-2 and for Transmission Operators to comply with TOP-002-4, as it relates to coordinating our Operating Plans, MISO and the TOPs exchange the procedures that constitute their Operating Plan.</p> <p>When sending your TOP Operating Plans, email them to RTOpsCompliance@misoenergy.org with TOP-002 in the subject line. To support your compliance and evidence obligations, the email should summarize or point to MISO's role in your plans. Be sure to cc yourself for your records.</p>
TOP-003-3 R5: What Information can MISO provide to help us demonstrate compliance to TOP-003-3 R5?	MISO publishes RTO-SPEC-006 MISO Reliability Data Specification on the Real Time Operations Procedures page of the MISO website to meet these standards.

	<p>Under NERC's process, you may self-attest that you provide the data MISO needs. The measures associated with TOP-003-3 R5 and IRO-010-2 R3 note that the recipient of a data specification is the attesting entity. You can find information about creating a self-attestation on our Compliance Corner page on the MISO website. Refer specifically to the information about CAN-030.</p> <p>Additionally, you can use MISO's general letter of attestation which notes that MISO receives the data it expects from its members.</p>
<p>TOP-003-3 R5 and IRO-010-2 R3: What Information can MISO provide to help us demonstrate compliance to IRO-010-2 R3?</p>	<p>MISO publishes RTO-SPEC-006 MISO Reliability Data Specification on the Real Time Operations Procedures page of the MISO website to meet these standards.</p> <p>Under NERC's process, you may self-attest that you provide the data MISO needs. The measures associated with TOP-003-3 R5 and IRO-010-2 R3 note that the recipient of a data specification is the attesting entity. You can find information about creating a self-attestation on our Compliance Corner page on the MISO website. Refer specifically to the information about CAN-030.</p> <p>Additionally, you can use MISO's general letter of attestation which notes that MISO receives the data it expects from its members.</p>
<p>TOP-001 R13: What data and evidence can MISO provide to help me demonstrate compliance to TOP-001 R13?</p>	<ul style="list-style-type: none"> • As required under IRO-008 R-4, MISO's internal procedures, MISO public procedure SO-P-AOP-00-214, as well as outlined in the "OPERATING PROTOCOLS BETWEEN MISO RELIABILITY COORDINATOR AND THE TRANSMISSION OPERATORS", MISO performs real-time assessments (RTA) of its wide-area at least every 30 minutes. • The monthly MISO Reliable Operations Working Group (ROWG) agendas, minutes, and Monthly Operations Reports show the number of 30-minute periods where MISO's EMS or RTCA was down (normally zero). This would demonstrate that RTCA solutions were available to the member for all 30-minute periods as well as show that MISO was performing RTAs for its wide area. • As the standard specifically notes that data retention for R13 is 30 calendar days (unless there is direction from the Region to keep data longer for an investigation), for general proof of compliance, the most recent ROWG agenda should suffice. • Members that need evidence for a specific window of time, such as where the member experienced a problem with their local RTA capabilities, should pull the ROWG minutes for the applicable month(s) as evidence that MISO's RTCA was available, and that RTAs were performed. • Note, if the member is using MISO's RTCA as their primary tool for their RTA and their access to MISO's RTCA is lost, they should utilize their backup approach to RTAs in accordance with SO-P-AOP-00-202. • If a member has lost visibility of their system, they should notify the MISO RC as outlined in SO-P-AOP-00-214. Assuming this has been done and the member has asked for assistance in monitoring their system, the member should use the MISO MCS System Status Levels messages as evidence of continued monitoring.

	<ul style="list-style-type: none"> • If a member is facing a compliance action (alleged non-compliance) for a specific window of time, MISO can provide RTCA logs showing solution times or other available data as appropriate.
<p>TOP-001 R13: What data can MISO provide to help me demonstrate compliance to TOP-001 R13 when I've had Real-Time Assessment (RTA) issues?</p>	<ul style="list-style-type: none"> • As required under IRO-008 R-4, MISO's internal procedures, MISO public procedure SO-P-AOP-00-214, as well as outlined in the "OPERATING PROTOCOLSBETWEEN MISO RELIABILITY COORDINATOR AND THE TRANSMISSION OPERATORS", MISO performs real-time assessments (RTA) of its wide-area at least every 30 minutes. • The monthly MISO Reliable Operations Working Group (ROWG) agendas, minutes, and Monthly Operations Reports show the number of 30 minute periods where MISO's EMS or RTCA was down (normally zero). This would demonstrate that RTCA solutions were available to the member for all 30 minute periods as well as show that MISO was performing RTAs for its wide-area. • As the standard specifically notes that data retention for R13 is 30 calendar days (unless there is direction from the Region to keep data longer for an investigation), for general proof of compliance, the most recent ROWG agenda should suffice. • Members that need evidence for a specific window of time, such as where the member experienced a problem with their local RTA capabilities, should pull the ROWG minutes for the applicable month(s) as evidence that MISO's RTCA was available and that RTAs were performed. • Note, if the member is using MISO's RTCA as their primary tool for their RTA and their access to MISO's RTCA is lost, they should utilize their backup approach to RTAs in accordance with SO-P-AOP-00-202. • If a member has lost visibility of their system, they should notify the MISO RC as outlined in SO-P-AOP-00-214. Assuming this has been done and the member has asked for assistance in monitoring their system, the member should use the MISO MCS System Status Levels messages as evidence of continued monitoring. • If a member is facing a compliance action (alleged non-compliance) for a specific window of time, MISO can provide RTCA logs showing solution times or other available data as appropriate.
<p>TPL-007 R5: Where can I find my GIC maximum effective value and request effective GIC time series, GIC(t)?</p>	<p>MISO will e-mail GOs and TOs directly if their transformer has an effective GIC value above 75 A/phase. This will be the official compliance notice to satisfy R5 of TPL-007-1. Additionally, all results from our analysis will be posted on the MTEP FTP. Requests for the GIC time series, GIC(t), can be made to PlanningCoordinator@misoenergy.org. Please use the subject "TPL-007 R5 GIC time series request for**Company**".</p>
<p>How does the Generator Operator inform its Host Balancing Authority of generation resources available for use and how should that communication occur?</p>	<p>Market Participants update offer status of resources in the Market Portal and up to date CROW generator outage entries.</p>