



# Workshop on Best Practices and Approaches in Reliability and Quality of Power



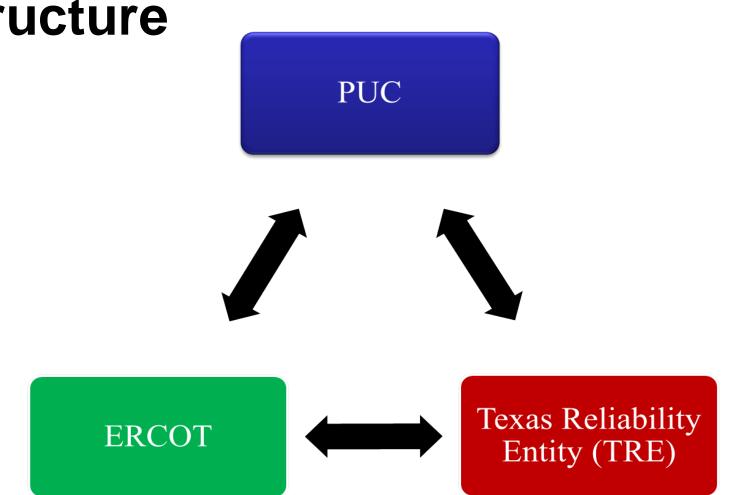
October 7-8, 2014

NARUC/USAID <u>Regulating Clean Energy International Partnership</u> Sponsored by the United States Agency for International Development (USAID)



#### Structure









### **Texas Reliability Entity**

- TRE acts as the **Reliability Monitor** for the ERCOT Region and is responsible for <u>monitoring</u>, <u>investigation</u>, <u>auditing</u> and <u>reporting</u> to the PUC regarding compliance with the reliability-related ERCOT Protocols and Operating Guides and the reliability-related provisions of the Public Utility Regulatory Act.
- TRE provides reliability related subject matter advice, <u>expertise</u>, and assistance to the PUC Oversight and Enforcement Division.





### **Texas Reliability Entity**

- TRE evaluates the operation of the network and wholesale electric system and assists the PUC and ERCOT by developing recommendations for enhancing the reliability and efficiency of the ERCOT network and operated systems.
- The current contract extension provides for ERCOT to pay <u>\$1,059,868</u> for 2014 and <u>\$1,091,668</u> for 2015. Other expenses may be paid by ERCOT and the cost of the total contract is limited to \$5,624,740 for 2014 and 2015.

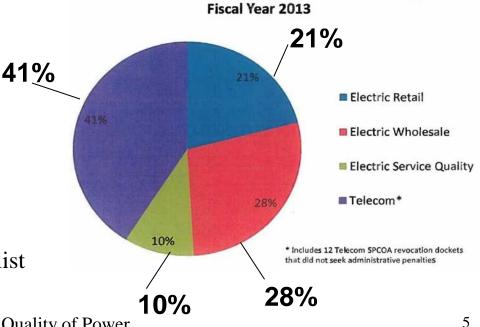




## **O&E** Division

- The goal of the PUC O&E is to ensure compliance with Public Utility Regulatory Act (PURA), PUC Substantive Rules, and ERCOT Protocols in order to protect customers, oversee markets, and ensure reliability.
- This program is accomplished through investigations and, when appropriate, subsequent enforcement actions.
- Subsequent enforcement actions include administrative penalties, disgorgement, and revocation.
- Employees:
  - Director
  - 4 attorneys
  - 4 analysts
  - 2 administrative staff
  - 1 rotating customer protection specialist

Workshop on Best Practices & Approaches in Reliablity and Quality of Power



Percentage of Total Docketed Cases by Violation Type





National Association of Regulatory Utility Commissioners

#### Assianments

Oversight and Enforcement Cases

	A	В	С	D	E	F	G	Н	1
1	Billing	SIR No	Company	Inv Type	Inv Category	Attorney	Analyst	Attorney Notes	Analyst Notes
6		2012100004	хххх	Wholesale	EILS	KVZ	EG	Agreed to 50k; Need to check in by 9/11	Atty working on SA 6/19/14
7	32128	2012100005	XXXX	Wholesale	Ancillary Svcs	KVZ	EG	Agreed to 50k; Need to check in by 9/10	Atty working on SA 6/19/14
8	32133	2012110003	XXXX	No Call	Telecom	KVZ	EG	working on closing	to be closed.
9	32131	2012110004	XXXX	No Call	Telecom	KVZ	EG	Working on closing	Closing Itr to kvz 1/18/14
10	32131	2012110005	XXXX	No Call	Telecom	KVZ	EG	Working on closing	To be closed .
11	32128	2012120036	XXXX	Wholesale		KVZ	EG	Working on Settlement	Open Ltr with penalty to KVZ 5/2013. Ltr sent to X 6/13/2013, Met with X counter was 19k
13	32127	2014020003	XXXX	Retail	Other	KVZ	EG	Heard from X: need to respond by 9/5	PreNov to KVZ 5/2/14 - sent 7/25
14	32127	2014020004	XXXX	Retail	Other	KVZ	EG		PreNOV 7/25 to Cntrpt
19	32126	2014020010	XXXX	Svc. Quality	Electric	KVZ	EG	Meeting on 9/8/14	Meeting set for 10/2/14
28	32128	2014070004	XXXX	Wholesale Electric	Ancillary Services	кvz	EG	PreNOV sent to PFR group 9/3	PreNOV to KVZ 7/31/14, open ltr ready sent 8/5/2014 to KVZ
29	32128	2014080004	XXXX	Wholesale	Ancillary	KVZ	EG		Sent to KVZ Pre-Nov 9/6/14
31	32127	2014030002	xxxx	Retail	Complaints	KVZ	EG; HK; CC	Bringing CC and HK onboard	PreNOV to KVZ 5/13
38		2013070002	XXXX	Retail	Other	KVZ	NF	Closing Memo Sent to ED and DED Friday 8-29-14	
	32127	2013070004	XXXX	Retail	Other	KVZ	NF	on hold til JW returns	
40	32127	2013120011	XXXX	Reporting	Electric	KVZ	NF	RFIs sent 8/27	Received RFIs fromX 9/26.
54	32128	2014020002	XXXX	Wholesale	Other	KVZ	RK	PFR from TRE	PFR from TRE
55	32132	2014040004	XXXX	Regulated Issues	Telecom	KVZ	RK	Phone call on 8/28/14; need to talk with RK and get back to them 9/11	
57	32128	2014070005	XXXX	Wholesale Electric	Ancillary Services	KVZ	RK		



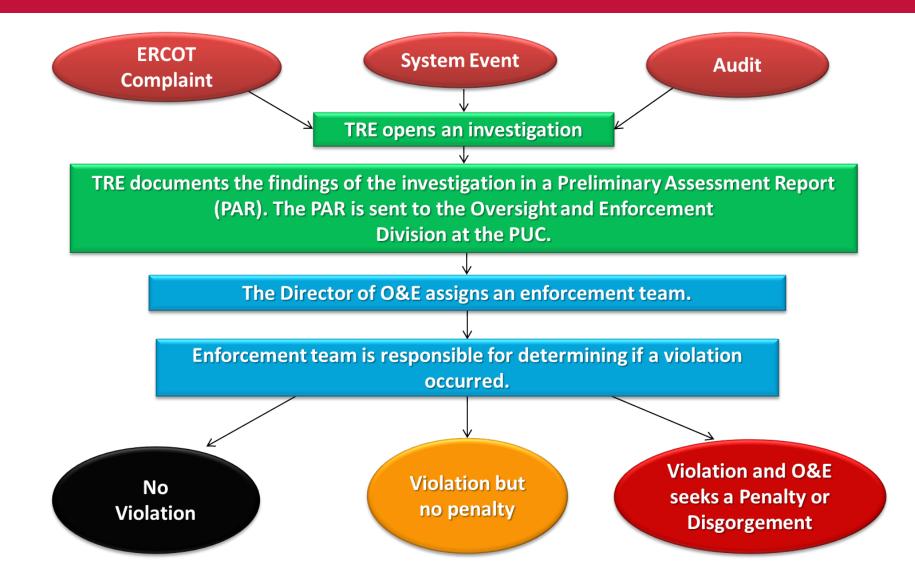


National Association of Regulatory Utility Commissioners

# **Reliability Investigations**











#### Association of Regulatory Commissioners

# **ERCOT Stakeholder** Process





National Association of Regulatory Utility Commissioners







#### **PUC Oversight of ERCOT Protocols**

- Oversight of the ISO: P.U.C. Proc. R. 22.251 provides a procedure for review of the ISO's conduct, including the adoption of a Protocol.
- Oversight of Market Participants: PURA § 39.151(j) mandates that market participants "shall observe all scheduling, operating, planning, reliability, and settlement policies, rules, guidelines, and procedures established by the independent system operator in ERCOT. Failure to comply with this subsection may result in the revocation, suspension, or amendment of a certificate as provided by Section 39.356 or in the imposition of an administrative penalty as provided by Section 39.357."





#### **Administrative Penalties**

- PURA 15.023 proscribed 6 factors that must be considered when assessing an administrative penalty:
  - 1. the seriousness of the violation
  - 2. the economic harm
  - 3. the history of previous violations
  - 4. the amount necessary to deter future violations
  - 5. efforts to correct the violation
  - 6. any other matters that justice may require
- PURA 15.023 also required the commission to establish a classification system for violations and limited the maximum penalty amount to \$25,000.
- The legislature recently added the power to order disgorgement of excess revenue and issue a cease and desist order.





## **Penalty Classifications**

- Class C violations: may not exceed \$1,000 per violation per day.
- The following violations are Class C violations:
  - (i) failure to file a report or provide information required to be submitted to the commission under this chapter within the timeline required;
  - (ii) failure by an electric utility, retail electric provider, or aggregator to investigate a customer complaint and appropriately report the results within the timeline required;
  - (iii) failure to update information relating to a registration or certificate by the commission within the timeline required; and
  - (iv) a violation of the Electric no-call list.
- Class B violations: may not exceed \$5,000 per violation per day.
- All violations not specifically enumerated as a Class C or Class A violation shall be considered Class B violations.





### Penalty Classifications cont.

- Class A violations: may not exceed \$25,000 per violation per day.
- The following types of violations are Class A violations if they create economic harm in excess of \$5,000 to a person or persons, property, or the environment, or create an economic benefit to the violator in excess of \$5,000; create a hazard or potential hazard to the health or safety of the public; or cause a risk to the reliability of a transmission or distribution system or a portion thereof.
  - (i) A violation related to the wholesale electric market, including protocols and other requirements established by an independent organization;
  - (ii) A violation related to electric service quality standards or reliability standards established by the commission or an independent organization;
  - (iii) A violation related to the code of conduct between electric utilities and their competitive affiliates;
  - (iv) A violation related to prohibited discrimination in the provision of electric service;
  - (v) A violation related to improper disconnection of electric service;
  - (vi) A violation related to fraudulent, unfair, misleading, deceptive, or anticompetitive business practices;





### Penalty Classifications cont.

- (vii) Conducting business subject to the jurisdiction of the commission without proper commission authorization, registration, licensing, or certification;
- (viii) A violation committed by ERCOT;
- (ix) A violation not otherwise enumerated in this paragraph
  (3)(B) of this subsection that creates a hazard or potential hazard to the health or safety of the public;
- (x) A violation not otherwise enumerated in this paragraph (3)(B) of this subsection that creates economic harm to a person or persons, property, or the environment in excess of \$5,000, or creates an economic benefit to the violator in excess of \$5,000; and
- (xi) A violation not otherwise enumerated in this paragraph (3)(B) of this subsection that causes a risk to the reliability of a transmission or distribution system or a portion thereof.





#### Association of Regulatory Commissioners

# **Electric Service Quality Penalty Matrix**





#### Reporting Utility:

#### Report Year: 2013

Violation of system-wide SAID standard for surrent reporting years, in a row    Annual value is simdard    Annual value is 15% above    Annual value is 25% or more standard    Annual value is 25% or more standard      Additional penalty violation of system-wide SAID standard, consecutive years (Subst R, 25.52(q)(T)(B))    Annual value is 10% above    Annual value is 10% above    Annual value is 25,000    Annual value is 25% or more standard      Additional penalty violation of system-wide SAID standard, consecutive years (Subst R, 25.52(q)(T)(B))*    Annual value is 10% above    Annual value is 10% above    Annual value is 25% or more more years in a row    Annual value is 10% above    Annual value is 25% or more standard      SAID standard, Consecutive years (Subst R, 25.52(q)(T)(B)*    Annual value is 10% above    Annual value is 10% above    Annual value is 10% above    Annual value is 10% above    Annual value is 20% or more standard    Annual value is 20% or more above standard      SAIF i standard, SAIF	Violation of system-wide						Penalty
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Woldation of system-wide SAIF is standard.    Annual value is more than 5% above standard for two or more years in n a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or more years in a row    Annual value is standard for two or mor	Number						
Wolation of system-wide consecutive years (Subst. R. 25.52(g)(1)(A))*    more than 5% in a row    10% above standard for two or more years in a row    15% above standard for two or more years in a row    20% above standard for two or more years in a row    25% or more more years in a row    25% or more more years in a row      Penalty    \$2,000    \$4,000    \$8,000    \$16,000    \$25,000      * The sum of the primary penalty and additional penalty should not solution of feder having a SAID value more than 30% greater than system average for two consecutive years (subst. R. 25.52 (g)(2)**    For single feeders in violation of rule 1st year    For single feeders in violation of rule 1st year    For single feeders in violation of rule 1st year    For single feeders in violation of rule 20,000 per feeder feeder    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For singl	Additional penalty for	A manual such so in	A manual vieluse in	A service based to a line	A manual making in	A manual vielars in	NEW TWO IS NOT
SAIF i standard, consecutive years    Infore than 5% above    10% above    20%	violation of system-wide						
consecutive years (Subst, R, 25.52(g)(1)(A))*    above standard for more years in a row    standard for two or more years in a row    more years in a row	SAIFI standard.						
(Subst. K. Penalty    in a row    row    row    row    row    in a row      Se.52(3)(1)(A))*    \$2,000    \$4,000    \$8,000    \$16,000    \$25,000      Number    \$2,000    \$4,000    \$8,000    \$16,000    \$25,000      * The sum of the primary penalty and additional penalty should not exceed \$25,000 for a single violation.    Penalty    \$25,000      Per Feeder Violation    For single feeders in violation of rule 1st year    For single feeders in violation of rule 2 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders 4 years in a row    For single feeders 50,000 per feeder      Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$25,000 per feeders    For single feeders in violation of rule 3 years in a row    \$25,000 per feeder    \$25,000 per feeder      Number    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeders    \$50 rome    \$5	consecutive years						
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Subsystem average for two consecutive years (Subst. R. 25.52 (g)(2)**    in violation of rule 1st year    in violation of rule years in a row    in violation of rule 3 years in a row    in violation of rule 4 years in a row    in violation of rule 4 years in a row    in violation of rule 5 or more consecutive years      Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder      Number Amount    in violation of rule 3 years in a row    in violation of rule 3 years in a row    \$12,000 per feeder    \$20,000 per feeder      Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years    For single feeders in violation of rule 1st year    For single feeders in violation of rule 2 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    S20,000 per feeder    \$25,000 per feeder      Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder    \$25,000 per feeder    \$25,000 per feeder      Number	Violation of feeder having						Penalty
System average for work    1st year    years in a row    3 years in a row    4 years in a row    5 or more consecutive years      (Subst. R. 25.52 (g)(2)**    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder    \$25,000 per feeder    \$20,000 per feeders    \$20,000 per feeder    \$20,000 pe	Violation of feeder having a SAIDI value more than		For single feeders	For single feeders	For single feeders		Penalty
(Subst. R. 25.52 (g)(2)**    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder      Number    Image: State in the sta	Violation of feeder having a SAIDI value more than 300% greater than	For single feeders				in violation of rule	Penalty
Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder      Number	Violation of feeder having a SAIDI value more than 300% greater than system average for two	For single feeders in violation of rule	in violation of rule 2	in violation of rule	in violation of rule	in violation of rule 5 or more	Penalty
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Amount	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)**	For single feeders in violation of rule 1st year	in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per	Penalty
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300% greater than system average for two consecutive years    For single feeders in violation of rule 1st year    For single feeders in violation of rule 2years in a row    For single feeders in violation of rule 3 years in a row    For single feeders in violation of rule 3 years in a row    In violation of rule 4 years in a row    In violation of rule 5 or more consecutive years      Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder    In violation 0 rule 5 or more consecutive years      Number    Amount    In violation 0 rule 3 years	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount	For single feeders in violation of rule 1st year \$2,000 per feeder	in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per	Penalty
Subsystem average for two consecutive years (Subst. R. 25.52 (g)(2)**    in violation of rule 1st year    in violation of rule years in a row    in violation of rule 3 years in a row    in violation of rule 4 years in a row    in violation of rule 5 or more consecutive years      Penalty    \$2,000 per feeder    \$5,000 per feeder    \$12,000 per feeder    \$20,000 per feeder    \$25,000 per feeder      Number Amount    Im violation of rule 1st year    Im violation of rule 2st years in a row    \$20,000 per feeder    \$25,000 per feeder	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having	For single feeders in violation of rule 1st year \$2,000 per feeder	in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per feeder	Penalty
System average for work  1st year  years in a row  3 years in a row  4 years in a row  5 or more consecutive years    (Subst. R. 25.52 (g)(2)**  \$2,000 per feeder  \$5,000 per feeder  \$12,000 per feeder  \$20,000 per feeder  \$25,000 per feeder    Number  Amount  Image: consecutive years  Image: consecutive years  \$20,000 per feeder  \$20,000 per feeder  \$25,000 per feeder	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than	For single feeders in violation of rule 1st year \$2,000 per feeder	in violation of rule 2 years in a row \$5,000 per feeder	in violation of rule 3 years in a row \$12,000 per feeder	in violation of rule 4 years in a row \$20,000 per feeder	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders	Penalty
Consecutive years  Consecutive years    (Subst. R. 25.52 (g)(2)**  \$2,000 per feeder  \$12,000 per feeder  \$20,000 per feeder  \$25,000 per feeder    Number Amount  Image: Source of the secutive years  Image: Source of the secutive years  \$25,000 per feeder	Violation of feeder having a SAIDI value more than 300% greater than system average for two: consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than	For single feeders in violation of rule 1st year \$2,000 per feeder 5 For single feeders	in violation of rule 2 years in a row \$5,000 per feeder For single feeders	In violation of rule 3 years in a row \$12,000 per feeder For single feeders	in violation of rule 4 years in a row \$20,000 per feeder For single feeders	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule	Penalty
Penalty  \$2,000 per feeder  \$5,000 per feeder  \$12,000 per feeder  \$20,000 per feeder  \$25,000 per feeder    Number  Amount  Image: Second sec	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two	For single feeders in violation of rule 1st year \$2,000 per feeder For single feeders in violation of rule	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more	Penalty
Periatry  \$2,000 per leader  \$5,000 per leader  feeder  feeder  feeder    Number	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years	For single feeders in violation of rule 1st year \$2,000 per feeder For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more	Penalty
Number  Image: Constraint of the second of	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two	For single feeders in violation of rule 1st year \$2,000 per feeder For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more	Penalty
Amount	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)**	For single feeders in violation of rule 1st year \$2,000 per feeder \$2 For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more consecutive years \$25,000 per	Penalty
	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty	For single feeders in violation of rule 1st year \$2,000 per feeder \$2 For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more consecutive years \$25,000 per	Penalty
TOTAL \$ -	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number	For single feeders in violation of rule 1st year \$2,000 per feeder \$2 For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more consecutive years \$25,000 per	Penalty
	Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number Amount Violation of feeder having a SAIFI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52 (g)(2)** Penalty Number	For single feeders in violation of rule 1st year \$2,000 per feeder \$2 For single feeders in violation of rule 1st year	in violation of rule 2 years in a row \$5,000 per feeder For single feeders in violation of rule 2 years in a row	in violation of rule 3 years in a row \$12,000 per feeder For single feeders in violation of rule 3 years in a row \$12,000 per	in violation of rule 4 years in a row \$20,000 per feeder For single feeders in violation of rule 4 years in a row \$20,000 per	in violation of rule 5 or more consecutive years \$25,000 per feeder For single feeders in violation of rule 5 or more consecutive years \$25,000 per	Penalty





National Association of Regulatory **C**ommissioners

# **Previous Electric Service Quality Penalty Matrix**





#### **Reporting Utility:**

Electric Service Quality	Inordement - Math	t of Recommended	Penalty For Settlen	ent Purposes			
System-wide Violation							Penalt
Violation of system- wide SAIDI standard for current reporting year, annual (Subst. R. 25.52(g)(1)(B)	Annual value is more than 5% above standard	Annual value is 10% above standard	Annual value is 15% above standard	Annual value is 20% above standard	Annual value is 25% or more above standard	Annual value is 30% or more above standard	
Penalty	\$500	\$1,000	\$2,000	\$4,000	\$8,000	\$16,000	
Number				JL			
Additional penalty for violation of system-wide SAIDI standard, consecutive years (Subst. R. 25.52(g)(1)(B)* Penalty	Annual value is more than 5% above standard for two or more years in a row \$1,000	Annual value is 10% above standard for two or more years in a row \$2,000	Annual value is 15% above standard for two or more years in a row \$4,000	Annual value is 20% above standard for two or more years in a row \$8,000	Annual value is 25% or more above standard for two or more years in a row \$16,000	Annual value is more than 30% or more above standard for two or more years in a row \$25,000	
Number		AV AVOID SERVICES					
Violation of system- wide SAIFI standard for current reporting year, annual (Subst. R. 25.52(g)(1)(A)	Annual value is more than 5% above standard	Annual value is 10% above standard	Annual value is 15% above standard	Annual value is 20% above standard	Annual value is 25% or more above standard	Annual value is 30% or more above standard	
Penalty	\$500	\$1,000	\$2,000	\$4,000	\$8,000	\$16,000	
Number							
Additional penalty for violation of system-wide SAIFI standard, consecutive years (Subst. R. 25.52(g)(1)(A)*	Annual value is more than 5% above standard for two or more years in a row	Annual value is 10% above standard for two or more years in a row	Annual value is 15% above standard for two or more years in a row	Annual value is 20% above standard for two or more years in a row	Annual value is 25% or more above standard for two or more years in a row	Annual value is more than 30% or more above standard for two or more years in a row	
Penalty	\$1,000	\$2,000	\$4,000	\$8,000	\$16,000	\$25,000	\$ 2,0
Number	and the second second	STRUCTURE TO A	Real Providence		100. 14 0 1000		
* The sum of the primary	penalty and addition	nal penalty should r	not exceed \$25,000	for a single violation	1.		
Per Feeder Violation							Penalt
Violation of feeder having a SAIDI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52(g)(2) **	For single feeders in violation of rule 1st year	For single feeders in violation of rule 2 years in a row	For single feeders in violation of rule 3 years in a row	For single feeders in violation of rule 4 years in a row	For single feeders in violation of rule 5 or more consecutive years		
Develop	\$1,000 perfeeder	\$2,500 per feeder	\$9,000 per feeder	\$16,000 per feeder	\$25,000 per feeder		
Penalty Number				10000	10000		
Violation of feeder							
having a SAIFI value more than 300% greater than system average for two consecutive years (Subst. R. 25.52(g)(2)	For single feeders in violation of rule 1st year	For single feeders in violation of rule 2 years in a row	For single feeders in violation of rule 3 years in a row	For single feeders in violation of rule 4 years in a row	For single feeders in violation of rule 5 or more consecutive years		
**				\$16,000 per	\$25,000 per	1	10.519.0
	\$1,000 perfeeder	\$2,500 per feeder	\$9,000 per feeder	feeder	feeder		distant and
**	\$1,000 perfeeder	\$2,500 per feeder	\$9,000 per feeder				

#### Report Year: 2012