



Third Taxing District

2 Second Street
East Norwalk, CT 06855

Tel: (203) 866-9271
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Third Taxing District of the City of Norwalk Commission Meeting

Monday, March 2, 2015 at 7:00p.m.

At the Third Taxing District Office, 2 Second Street, East Norwalk, CT

1. Public Comment – 15 Minute Limit
2. Minutes of Meeting – February 12, 2015 Special Meeting and February 5, 2015 Special Meeting - A/R* (Pgs. 1-10)
3. Norwalk Exchange Club (Tim Oman)
4. Customer Satisfaction Survey/Results (SDS Research) (Pgs. 11-29)
5. Cyber Security Update (Pgs. 30-40)
6. General Manager's Report (Pg. 41)
 - Annual Operating Budget – 2nd Quarter Results
7. Jumar Presentation (Judy Virgulak) (Pgs. 42-76)
8. Discussion/Analysis of Financial Statements/Key Performance (Pgs. 77-82)
9. Adjourn

*A/R – Action Required/See Attached Motion

Agenda backup material is available at the TTD office, www.ttd.gov and will be available at the meeting.

M:\Shared\ Commission Meeting Information\Agenda 3-2-15.doc

District Commissioners

| | | | | | |
|-------------------------|--------------|--------------|-------------------------|--------------|---------------------------|
| Charles L. Yost | 203-853-0837 | Chairman | James Smith | 203-866-9271 | General Manager |
| David L. Brown | 203-866-8099 | Commissioner | Ron Scofield | 203-866-9271 | Assistant General Manager |
| Debora Goldstein | 203-252-7214 | Commissioner | Michael Intrieri | 203-866-3001 | Treasurer |

DRAFT

THIRD TAXING DISTRICT
of the City of Norwalk
Special Meeting
February 12, 2015

ATTENDANCE: Commissioners: Charles Yost (Chair), David Brown; Debora Goldstein
STAFF: General Manager: Jim Smith, Assistant General Manager: Ron Scofield
OTHERS: Kristen Malone, Matt Allred (Accountant) and Steve Studer, Atty.

CALL TO ORDER.

Commissioner Yost called the meeting to order at 7:00 p.m. A quorum was present.

PUBLIC COMMENT

There was no one present from the public.

INTRODUCTION OF NEW EMPLOYEE

Mr. Scofield introduced TTD's newest employee, Kristen Malone, who came on board on January 21, 2015 as the Customer Service Representative. Kristen graduated from Fairfield University and holds a degree in Psychology and worked in Special Education, and most recently worked in the family business.

EXECUTIVE SESSION

- Maplewood Claim

**** COMMISSIONER BROWN MOVED TO ENTER INTO EXECUTIVE SESSION TO DISCUSS MAPLEWOOD.**

**** COMMISSIONER GOLDSTEIN SECONDED.**

**** THE MOTION PASSED UNANIMOUSLY.**

The Commissioners, Mr. Smith, Mr. Scofield and Mr. Studer entered into Executive Session at 7:03 p.m.

**** COMMISSIONER YOST MOVED TO EXIT EXECUTIVE SESSION AND RETURN TO PUBLIC SESSION.**

**** COMMISSIONER BROWN SECONDED.**

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**** THE MOTION PASSED UNANIMOUSLY.**

The Commissioners, Mr. Smith, Mr. Scofield and Mr. Studer exited the Executive Session at 7:36 p.m.

MINUTES OF MEETINGS

January 5, 2015

**** COMMISSIONER BROWN MOVED TO APPROVE THE MINUTES OF JANUARY 5, 2015 REGULAR MEETING.**

**** COMMISSIONER GOLDSTEIN SECONDED.**

**** THE MOTION TO APPROVE THE MINUTES PASSED UNANIMOUSLY.**

January 23, 2015

**** COMMISSIONER BROWN MOVED TO APPROVE THE MINUTES OF JANUARY 23, 2015 SPECIAL MEETING.**

**** COMMISSIONER GOLDSTEIN SECONDED.**

**** THE MOTION TO APPROVE THE MINUTES PASSED UNANIMOUSLY.**

REPORT ON CHAMBER ECONOMIC DEVELOPMENT LUNCHEON

Commissioner Brown asked Commissioner Yost to please give a report on the luncheon he attended which was hosted by the Norwalk Chamber of Commerce. Commissioner Yost indicated that the topic was IT and it was not a typical Chamber luncheon.

DISTRICT BUDGET PRESENTATION TO COMMISSION

Mr. Scofield presented the proposed District Budget to the Commission. Mr. Allred was in attendance to answer any financial questions and update the budget first-hand. The Commission asked questions and discussed line items related to Concerts, Payroll Tax Expenses, Firehouse, Library Masterplan, Other District Services and Contingencies. All questions were answered by either Mr. Scofield or Mr. Allred to the satisfaction of the Commission. Once finalized, the Commission voted on the District Budget for 2015/16.

**** COMMISSIONER GOLDSTEIN MOVED THAT THE COMMISSION APPROVE RECOMMENDING THE 2015/16 THIRD TAXING DISTRICT BUDGET AS AMENDED AT TODAY'S MEETING AND MARKED FINAL.**

**** COMMISSIONER YOST SECONDED.**

**** THE MOTION PASSED UNANIMOUSLY.**

Third Taxing District
of the City of Norwalk
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February 12, 2015

GENERAL MANAGER'S REPORT

General Terms and Conditions

Mr. Smith told the Commission that the new General Terms and Conditions went into effect as of February 1, 2015. Mr. Smith said that it has been reviewed and TTD is now operating under this policy. He asked the Commission to please review it. Commission Brown did have a few questions with regard to the wording under "Applicability" and "Service Requirements and Limitations." Mr. Smith responded and gave examples which reflected the statements in question.

Review of Rate Comparisons vs. CL&P

Mr. Smith explained both the Residential and Commercial comparisons of TTD's rates vs. CL&P. Mr. Smith felt it was a good time to conduct the comparisons as CL&P had just adjusted their rates. Residential rates, on average, are about 33% less than CL&P at this time.

Mr. Smith explained that for the Commercial rates, TTD basically has one rate (Rate 2), while CL&P maintains multiple rates for their commercial customers. When TTD is compared to a "small" (Rate 30) commercial rate for CL&P, the two are about the same.

Mr. Smith informed the Commission that all CL&P rates came from their standard published rate schedules.

Performance Recap of Norden Generating Units

Mr. Smith told the Commission that the numbers are good and are up compared to three months ago, which is due in part to the units being testing more frequently, as well as the dispatch and response rate being quick (within 30 minutes). The higher the efficiency of the units, the more money we make. Maintenance has no longer become an issue and the units are run every month whether they are needed or not.

ISO

On Sunday, February 15th, ISO is asking the New England systems to voluntarily curtail their loads. The reason is because the temperatures are supposed to drop down into negative numbers. It's going to be one of the coldest days of the year. ISO is anticipating that the load is going to run into the low to mid 20's. Mr. Smith will be making calls to some of the larger commercial customers asking them to please cut back on Sunday.

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SDS Research

The 20 questions for the Customer Survey have been finalized and SDS will begin making phone calls to conduct the survey on Monday, February 16th. Random sample is approximately 300.

Concert Schedule

Mr. Scofield passed out the information that the Commission had already received with regard to the concert schedule and the bands. Discussion took place about what bands to include in this year's concert series. The Commission suggested a couple of changes and Mr. Scofield will proceed with the booking of the bands based on those suggestions.

KEY MAN INSURANCE

The Commission was presented with four policies for the Key Man Insurance, ranging from \$250,000 to \$1 million. The Commission discussed how much the insurance should be based on the costs associated with replacement of the General Manager. Commissioner Yost recommended that \$250,000 should be sufficient.

- ** COMMISSIONER YOST MOVED TO ACCEPT THE POLICY FOR KEY MAN INSURANCE IN THE AMOUNT OF \$250,000.**
- ** COMMISSIONER GOLDSTEIN SECONDED.**
- ** COMMISSIONER BROWN OPPOSED.**

WALL OF FAME

The Commission reviewed the Donation Application from the City of Norwalk for the Wall of Fame plaque that they would like to purchase to honor the veterans. To date, the City has raised only \$1,300 of the \$5,100 total they need to purchase the plaque. The Commission noted that the monies should be taken from the District Contingency Fund.

- ** COMMISSIONER YOST MOVED TO DONATE \$1,000 TO THE CITY OF NORWALK FOR THE WALL OF FAME PLAQUE.**
- **COMMISSIONER BROWN SECONDED.**
- ** COMMISSIONER GOLDSTEIN OPPOSED DUE TO ITS NATURE AS AN EXCEPTION TO THE POLICY.**

OFFICE BUILDING ROOFING BIDS

Mr. Smith asked the Commission if we could table this item, as TTD would like to have the bidding process redone based on a bid spec form that we are trying to obtain from the City of Norwalk.

DRAFT

**** COMMISSIONER GOLDSTEIN MOVED TO TABLE THE OFFICE BUILDING ROOFING BIDS TO MARCH 2, 2015.**

**** COMMISSIONER BROWN SECONDED.**

**** THE MOTION PASSED UNANIMOUSLY.**

DISCUSSION/ANALYSIS OF FINANCIAL STATEMENTS/KEY PERFORMANCE

Mr. Smith reviewed the financials with the Commission. The first six months of this fiscal year compared to last year was very good. Revenues are fairly flat. No new businesses have been picked up. There's a good handle on the expenses. Other income is up. Operating account and Capital Improvements cash fund are stable.

Income for the month of December is down due to the fact that December was a much milder month weather-wise.

KPI's are within normal limits, with the exception of the Operating Ratio, which is a function of Operating Revenues and Expenses. Since we have negative "net income" at the present time, the ratio is "upside down" or over 100%.

PROJECT SUMMARY

A-Base Meter Replacement – Commissioner Goldstein indicated that the project summary indicates that this would be completed in the last quarter 2014. Mr. Smith responded that A-Base Meter replacement is not complete as yet and the priority right now is to complete the radio-read installations.

Succession Planning Process – Commissioner Goldstein asked if this was an on-going project and Mr. Smith indicated that it was.

Emergency Plan – Commissioner Goldstein mentioned that TTD had implemented the Emergency Plan for the blizzard of January 2015.

Commissioner Goldstein asked if the items on the Project Summary are complete, could they be archived or marked as complete. Mr. Smith will be reviewing the summary and will archive any old projects that have been completed.

ADJOURNMENT

**** COMMISSIONER GOLDSTEIN MOVED TO ADJOURN.**

**** COMMISSIONER YOST SECONDED**

**** THE MOTION PASSED UNANIMOUSLY.**

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The meeting adjourned at 9:25 p.m.

Respectfully submitted,

Cynthia Tenney
Executive Assistant

COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) SPECIAL COMMISSION MEETING.

OR

COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) SPECIAL COMMISSION MEETING AS CORRECTED.

DRAFT

THIRD TAXING DISTRICT
of the City of Norwalk
Special Commission Meeting
February 5, 2015

ATTENDANCE: Commissioners: Charles Yost (Chair), David Brown; Debora Goldstein,
Treasurer: Dr. Michael Intrieri

STAFF: General Manager: Jim Smith

PUBLIC: Stan Siegel

CALL TO ORDER

Commissioner Yost called the meeting to order at 7:00 p.m. A quorum was present.

PUBLIC COMMENT

Commissioner Yost recognized Mr. Siegel as being present from the public, but Mr. Siegel had no comments at that time.

REVIEW OF LIBRARY RFP'S

The Commission discussed the advantages and disadvantages of all RFP's submitted. After initial discussion, the Commission placed a phone call to Alex Cohen of Aaron Cohen Associates Ltd. to clarify some questions regarding his proposal. All questions were answered satisfactorily. It was agreed that Maureen Sullivan should not be considered. Discussion then continued about the two remaining firms, Aaron Cohen Associates Ltd. and Library Development Solutions.

**** COMMISSIONER YOST MOVED TO HIRE AARON COHEN ASSOCIATES LTD. TO CONDUCT THE LIBRARY MASTER PLAN BASED ON HIS RESPONSE TO THE LIBRARY RFP.**

**** COMMISSIONER BROWN SECONDED.**

**** THE MOTION PASSED UNANIMOUSLY.**

There was additional discussion between the Commissioners and Mr. Siegel, which elicited the fact that the ENIA Board does not recognize the Commission's authority to proceed with the RFP.

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February 5, 2015

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ADJOURNMENT

- ** COMMISSIONER YOST MOVED TO ADJOURN.
- ** COMMISSIONER GOLDSTEIN SECONDED
- ** THE MOTION PASSED UNANIMOUSLY.

The meeting adjourned at 7:50 p.m.

Respectfully submitted,

Cynthia Tenney
Executive Assistant
Third Taxing District

Third Taxing District
of the City of Norwalk
Special Meeting
February 5, 2015

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COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) SPECIAL COMMISSION MEETING.

OR

COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) SPECIAL COMMISSION MEETING AS CORRECTED.

Memorandum

Third Taxing District

Electric Department

To: TTD Commissioners

From: Jim Smith – General Manager

Date: February 23, 2015

Subject: Customer Satisfaction Survey – SDS Research

Attached please find a copy of the Customer Satisfaction Survey Report prepared by SDS Research outlining the results of their recent phone survey conducted with 300 TTD residential and business customers.

The results of the Survey exceed the SDS Industry Benchmarks in all areas but one and are overwhelming positive, although we have plenty of work to do in certain areas.

The summary results are listed in the “Conclusions and Highlights “Page (Pages 6 - 7) and the “Overall Ratings “are listed on Page 8.

SDS uses a “Net Positive Index “, or NPI scoring system to evaluate customer responses to the survey questions asked.

SDS will be prepared to give an in-depth presentation on the results of the Survey, including an interpretation of the results, to the Commission @ the March 2, 2015 meeting.

We are in the process of completing a timely, in depth, internal review of the survey results with all TTD staff.

The result of this process will be the development of an internal “Action Plan “to build on the strengths outlined in the survey and address the areas that need improvement, along with communicating the summary results of the Survey to our ratepayers @ the Annual Meeting.

We look forward to presenting the report to the Commission on the 2nd.



2015 Survey Report

CUSTOMER SATISFACTION Norwalk Third Taxing District

PRESENTED BY:
DAN INKLEY



Project Overview:

- SDS conducted a total of 300 telephone interviews with electric (Utility) customers (261 Residential, 39 Business).
- Average interview took approximately five minutes to conduct.
- Industry Benchmark comparisons were used for the utility survey and include, Overall Satisfaction, Reliability, Customer Service, Employees, Value, Communication and Loyalty, all SDS Benchmarks.
- Confidence level is 95%, with a margin of error of $\pm 5.5\%$ for aggregate.

Net Positive Index

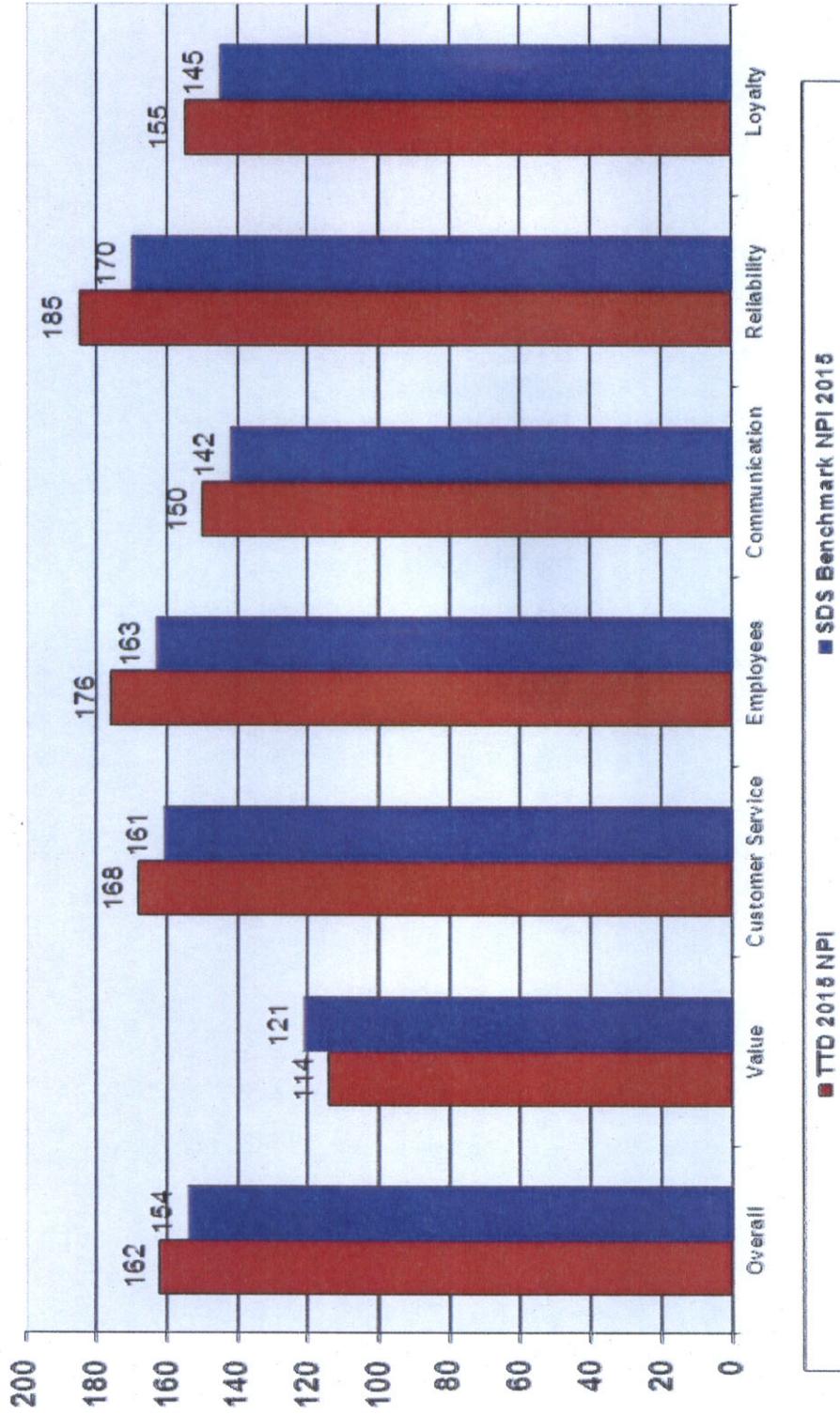
Difference between top (5) ratings and bottom (1, 2 and 3) ratings. Adding 100 keeps NPI greater than 0. Four ratings are considered “satisfied” $NPI = [(5) - (1+2+3)] + 100$

[Example] Overall Satisfaction (Q1) with **TTD**:
71% rate 5, 21% rate 4, 8% rate either 1, 2 or 3.

$$NPI = 163 [(71 - 8) + 100]$$

| | 5 Rating | 4 Rating | 1-3 Rating | Totals | NPI |
|---------|----------|----------|------------|----------|-----|
| Overall | 211/71% | 62/21% | 25/8% | 300/100% | 163 |

TTD vs. SDS Industry Benchmarks

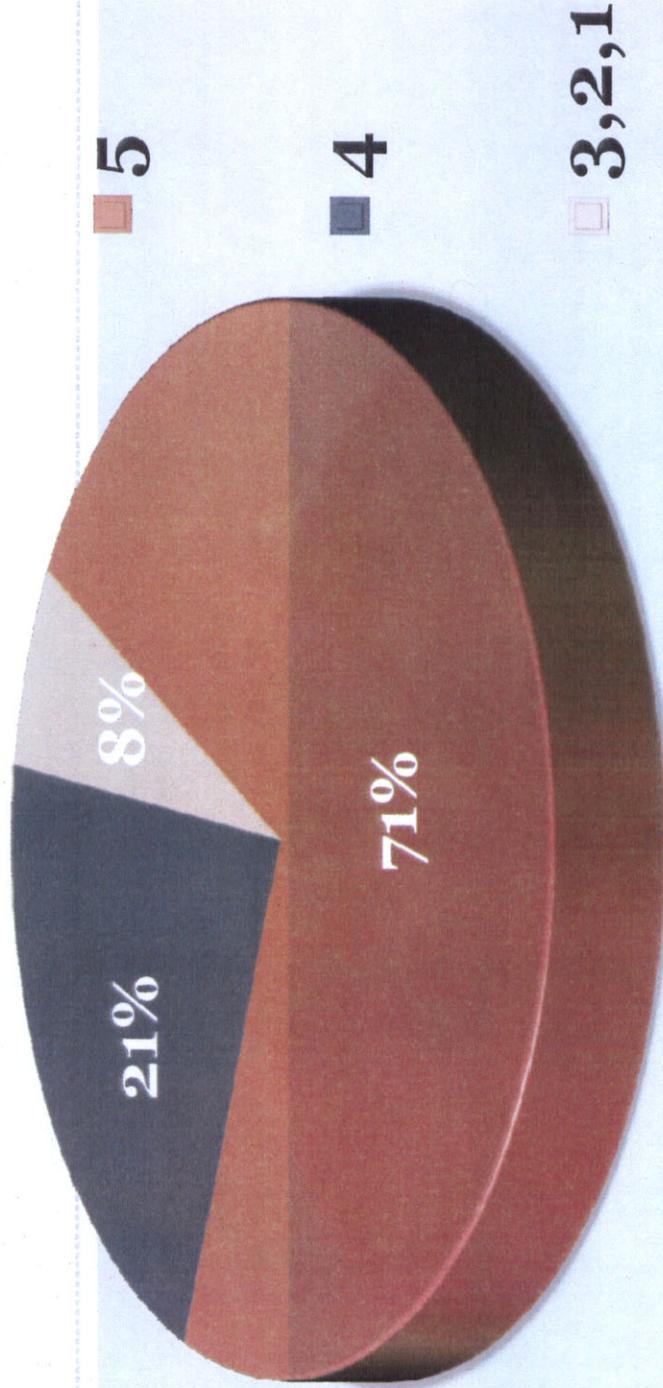


As shown above, for the 2015 survey TTD ratings are above the SDS Industry Benchmarks for all areas but one; the greatest variances are for **Reliability (+15)**, **Employees (+13)**, and **Loyalty (+10)**.

Business customer ratings tend to be about 22 points lower than Residential, but all were above SDS Benchmarks.

08.15

Overall Satisfaction with TTD (Question 1)



NPI = 163; [(71 - 8) + 100]

All numbers are rounded to nearest whole.

Can you please tell me why you rated the Utility (1-3), (4), (5)? (Question 2)

Rated 1, 2 or 3 (26 respondents total)

18 customers said that 'Rates too high' or 'Expensive', 5 mentioned 'Poor customer service', or 'slow response time', and 3 had billing/payment issues.

Rated 4 (64 respondents total)

16 customers mentioned 'Billing issues' or 'Rates too high'. 13 had 'No problems/No issues', and 12 said it was 'Good service'.

Rated 5 (215 respondents total)

The majority of customers, (86), said they had 'No problems', 49 mentioned the service is 'Reliable', followed by 47 saying it is 'Good service'.



Insight that drives business success

Total NPI = 185; Res NPI = 185; Bus NPI = 180.

Q3. How **reliable** is the electric service you receive from TTD?



| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 185 | 170 |
| 5 Ratings | 87 | 75 |
| 4 Ratings | 11 | 20 |
| 1-3 Ratings | 2 | 5 |

*All numbers are rounded to the nearest whole number.

(Q4) 7% experienced a problem in the past 6 months; (Q5) of those; 60% said **Outage**; 30% said **Service**, and 10% selected something **Other** than the responses listed. (Q6) 90% said it was resolved in a reasonable time.

Q7. How do you rate the overall customer service provided by the utility?



| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 168 | 161 |
| 5 Ratings | 77 | 70 |
| 4 Ratings | 15 | 20 |
| 1-3 Ratings | 9 | 9 |

*All numbers are rounded to the nearest whole number.

Please rate TTD's customer service representatives in the following areas, using a scale of 1-5:

About 65% rated CSR's.

| Customer Service Representatives (Q8 – Q11) | | | | |
|---|-----------|-----------|----------|------------|
| | 5 | 4 | 3+2+1 | NPI |
| Courtesy | 85 | 9 | 7 | 178 |
| Responsiveness | 84 | 10 | 6 | 178 |
| Professionalism | 82 | 12 | 6 | 176 |
| Problem Solving | 81 | 10 | 9 | 173 |
| 2015 Average | 83 | 10 | 7 | 176 |

All numbers in tables are percentages rounded to the nearest whole number.

The highest rating is a tie between **Courtesy** and **Responsiveness**, each with an NPI of 178 and at least 84% in the Top Box.

09.20



Insight that drives business success

Total NPI = 176; Res NPI = 177; Bus NPI = 176.

Q12. Considering all of your experiences with TTD's employees, how do you rate the employees overall?



| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 176 | 163 |
| 5 Ratings | 80 | 72 |
| 4 Ratings | 16 | 19 |
| 1-3 Ratings | 4 | 9 |

*All numbers are rounded to the nearest whole number.

The overall employee rating has an NPI of 176, 13 points above the SDS Benchmark at 163.

Q13. Based on what you currently pay, how do you rate the **value** of your electric service using a scale of 1 to 5, where 1 means it is a poor value and 5 is an excellent value?

| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 114 | 121 |
| 5 Ratings | 41 | 45 |
| 4 Ratings | 31 | 31 |
| 1-3 Ratings | 27 | 24 |

*All numbers are rounded to the nearest whole number.

Value is the only Benchmark where TTD is below SDS, however the Business NPI rating is above the Benchmark by 5 points: Total NPI = 114; Res = 112; Bus = 126.

Q14. Overall, how do you rate TTD on communicating with you as a customer?



| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 150 | 142 |
| 5 Ratings | 64 | 58 |
| 4 Ratings | 23 | 26 |
| 1-3 Ratings | 13 | 16 |

*All numbers are rounded to the nearest whole number.

When asked the best way for the utility to communicate with them (Q15), 37% said **Email**, 23% selected **Bill Stuffer**, and 14% said **Mail**.

Q16. How do you rate the monthly electric bill you receive in terms of being easy to understand?

NPI Score

TTD
163

5 Ratings

73

4 Ratings

17

1-3 Ratings

10

*All numbers are rounded to the nearest whole number.

Q17. If given the opportunity to go with another utility, how likely are you to continue as a customer of TTD? (**Loyalty**)



| | <u>TTD</u> | <u>Benchmark</u> |
|-------------|------------|------------------|
| NPI Score | 155 | 145 |
| 5 Ratings | 73 | 64 |
| 4 Ratings | 9 | 18 |
| 1-3 Ratings | 18 | 19 |

*All numbers are rounded to the nearest whole number.

Awareness/Ratings of Services (Q18-Q23)

| Are you aware of the following non-utility related services that TTD provides? | % Yes |
|--|-------|
| Summer Concert Series (Q18) | 60% |
| Christmas Tree Lighting (Q19) | 66% |

| Non-Utility Related Services Ratings (Q21 – Q23) | | | | |
|--|----|----|-------|----------|
| | 5 | 4 | 3+2+1 | NPI 2015 |
| Q21. Summer Concert Series: | 64 | 30 | 6 | 158 |
| Q22. Christmas Tree Lighting: | 68 | 21 | 11 | 157 |
| Please use a scale of 1 to 5, where 1 is "Very Unlikely" and 5 is "Very Likely". | | | | |
| Q23. How likely are you to participate in these and future events? | 40 | 20 | 40 | 100 |

All numbers in tables are percentages rounded to the nearest whole number.
About 86 rated Q21, and about 103 rated Q22.

Respondents were then asked how likely they are to participate in these and future events (Q23). An NPI of just 100 was given for the likelihood of future participation.

Q24. Do you have any further comments or suggestions for improving the utility service you receive from TTD?

81 respondents total

A majority of customers (24), mentioned 'Good service', or "Keep doing what you're doing", followed by 23 who mentioned, 'Cost/ Rates/ Prices being high' or 'going up'.

There were about 9 who wanted to 'improve the billing system' or were unaware that there is an online bill pay option.

Finally, 4 each mentioned either 'Improve the website' or 'Better communication'.

Survey Conclusions

Overall Evaluation

Ratings are very high with six of seven categories higher than Industry Benchmarks

Most Positive Areas

Reliability
Employees
Loyalty

Area of Focus

Customers perceive lower Value

Top Box Scores

Highest rating choice chosen by customers for all categories (modal score)

F I N A L T H O U G H T S

Thank You

Questions?



Dan Inkley

dan@sdsresearch.com

801.859.7799

Memorandum Third Taxing District Electric Department

To: TTD Commissioners

From: Jim Smith – General Manager

Date: February 19, 2015

Subject: Update on Cybersecurity Issues @ TTD



In conjunction with TTD's heightened efforts to comply with state and federal requirements related to Cybersecurity, attached please find an "Event Operating Report Plan" which we are required to maintain and update as a Transmission Owner (TO) on the Bulk Electric System (BES).

As part of the plan, TTD staff are required to report to any suspected or physical event on the system in accordance with the procedures outlined (Page 5 of 9) in the Operating Plan. This includes following a "notification protocol" (Appendix A), in which all appropriate parties on the BES are notified in the case of suspicious activity or a security breach. This notification process also applies to events such as load shedding, voltage reductions, and nuclear plant shutdowns.

We can discuss some of these issues in more detail @ the March 2, meeting.

| | | |
|---|--|---------------------|
|  | <p>Third Taxing District of East Norwalk Electric Department</p> | <p>Version: 000</p> |
| | <p>Event Reporting Operating Plan <i>For TO Functional Registration</i></p> | <p>Date:</p> |
| | | <p>Page 1 of 9</p> |

Event Reporting Operating Plan
For TO Functional Registration

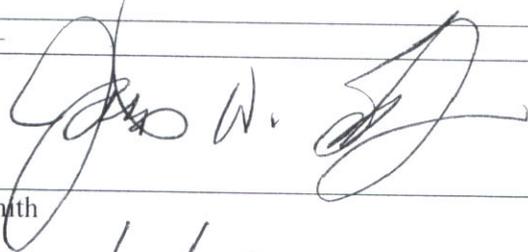
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Revision History

| Date | Version Number | Reviewed and Approved By: | Revision Description |
|------|----------------|---------------------------|----------------------|
| | 000 | James Smith | Initial Document |
| | | | |
| | | | |

Signature Block

| | |
|-----------------------------|---|
| Compliance Manager – | |
| Signature |  |
| Name | James Smith |
| Date | 2/13/15 |

| | | |
|---|--|--------------|
|  | Third Taxing District of East Norwalk Electric Department | Version: 000 |
| | Event Reporting Operating Plan <i>For TO Functional Registration</i> | Date: |
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1. Objective

This plan provides for the reporting of events to the Bulk Electric System. This procedure is used as part of the compliance requirements outlined in NERC Reliability Standards EOP-004-2 as necessary.

2. Purpose

To improve the reliability of the Bulk Electric System by requiring the reporting of events by Responsible Entities (i.e. Reliability Coordinator, Balancing Authority, Transmission Owner, Transmission Operator, Generator Owner, Generator Operator, Distribution Provider).

3. Definitions

3.1. Bulk Electric System (BES) – The NERC definition of the Bulk Electric System as set forth in the NERC *Glossary of Terms Used in Reliability Standards* contains the full definition. As a summary, BES is defined as:

Unless modified by the lists shown below, all Transmission Elements operated at 100 kV or higher and Real Power and Reactive Power resources connected at 100 kV or higher. This does not include facilities used in the local distribution of electric energy.

Inclusions:

- **I1** – Transformers.
- **I2** – Generating resource(s)
- **I3** – Blackstart Resources
- **I4** – Dispersed power producing resources
- **I5** – Static or dynamic devices (excluding generators)

Exclusions:

- **E1** – Radial systems, meaning single points of interconnection
- **E2** – Retail Customer owned generation
- **E3** – Local networks (LN), meaning multiple points of interconnection
- **E4** – Reactive Power devices owned and operated by the retail customer

Note: Elements may be included or excluded on a case-by-case basis through the Rules of Procedure exception process.

3.2. BES Emergency – Any abnormal system condition that requires automatic or immediate manual action to prevent or limit the failure of transmission facilities or generation supply that

| | | |
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could adversely affect the reliability of the Bulk Electric System. (FERC Approved definition as of 3/16/2007)

- 3.3. Element – Any electric device with terminals that may be connected to other electrical devices such as a generator, transformer, circuit breaker, bus section, or transmission line. An element may be comprised of one or more components. (FERC Approved definition as of 3/16/2007)

- 3.4. Facility - A set of electrical equipment that operates as a single Bulk Electric System Element (e.g., a line, a generator, a shunt compensator, transformer, etc.). The term Facility does not mean a substation or any other facility (not a defined term) that one might consider in everyday discussions regarding the grid. (FERC Approved definition as of 3/16/2007)

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4. Event Reporting Operating Plan

4.1. When an event, whether it is a suspected or intentional physical act, is recognized by an employee of the organization; the employee shall communicate the circumstances of the event to the Primary Contact, East Norwalk’s Mike Adams.

4.2. If the event meets a threshold as outlined in Appendix A: Notification Protocols, East Norwalk’s Mike Adams shall follow the reporting protocols from Appendix A and then forward the factual matters pertaining to the event to the Electric Reliability Organization (ERO) and other defined organizations (e.g. NERC, Interconnection, law enforcement, regulatory), using the EOP-004 – Attachment 2 Event Reporting Form in Appendix B.

4.3. Reporting to the ERO (i.e. NERC) must be done within 24 hours of recognizing an event or by the end of the next business day if the event occurs on a weekend in accordance with Appendix A.

4.4. Under certain adverse conditions (e.g. severe weather, multiple events) it may not be possible to report the damage caused by an event and issue a written Event Report within the timing in required. In such cases, the East Norwalk shall notify the ERO (i.e. NERC) and provide as much information as is available at the time of the notification.

4.5. East Norwalk shall validate all contact information contained in Appendix A (and maintain a record of this validation as outlined in Appendix C) each calendar year.



Third Taxing District of East Norwalk
Electric Department

Version: 000

Event Reporting Operating Plan
For TO Functional Registration

Date:

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Appendix A: Notification Protocols

| For TO Functional Registration | | Internal | Norwalk Police Department | Interconnection | NPCC | NERC | ISO-NE | |
|--|---|-----------------------|---------------------------|-----------------|------|------|--------|---|
| Event Type | Threshold for Reporting | Notification Protocol | | | | | | Contact Information |
| Damage or destruction of a Facility <TO> | Damage or destruction of its Facility that results from actual or suspected intentional human action | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Internal Name 1: James Smith Phone 1: 203-866-9271 ext. 113 Cell 1: 203-810-6250 |
| Physical threats to a Facility <TO> | Physical threat to its Facility excluding weather or natural disaster related threats, which has the potential to degrade the normal operation of the Facility. OR Suspicious device or activity at a Facility Do not report theft unless it degrades normal operation of a Facility | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | Name 2: Mike Adams Phone 2: 203-866-9271 ext. 106 Cell 2: 203-943-2948 Norwalk Police Department Phone 1: 203-854-3000 Phone 2: 911 Interconnection: Convex South Desk Phone 1: 1-800-296-0053 |
| BES Emergency requiring public appeal for load reduction | Public appeal for load reduction event (only if East Norwalk initiates) | ✓ | ✓ | ✓ | | ✓ | ✓ | NPCC event-analysis@npcc.org |
| BES Emergency requiring system-wide voltage reduction | System wide voltage reduction of 3% or more (only if East Norwalk initiates) | ✓ | ✓ | ✓ | | ✓ | ✓ | NERC Phone: 404-446-9780 Fax: 404-446-9770 Email: systemawareness@nerc.net |
| BES Emergency requiring manual firm load shedding | Manual firm load shedding \geq 100 MW (only if East Norwalk initiates) | ✓ | ✓ | ✓ | | ✓ | ✓ | |
| Complete loss of off-site power to a nuclear generating plant (grid supply) <TO> | Complete loss of off-site power affecting a nuclear generating station per the Nuclear Plant Interface Requirement | ✓ | ✓ | ✓ | | ✓ | ✓ | ISO-NE Phone: 413-535-4384 |

Appendix B: EOP-004 Attachment 2: Event Reporting Form

Use this form to report events. The Electric Reliability Organization will accept the DOE OE-417 form in lieu of this form if the entity is required to submit an OE-417 report. Submit reports to the ERO via one of the following: e-mail: systemawareness@nerc.net, Facsimile: 404-446-9770, or voice: 404-446-9780.

| | Task | Comments |
|----|---|---|
| 1. | Entity filing the report include: Company name: Name of contact person: Email address of contact person: Telephone Number: Submitted by (name): | |
| 2. | Date and Time of recognized event: Date:(mm/dd/yyyy) Time: (hh:mm) Time/Zone: | |
| 3. | Did the event originate in your system? | Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> |
| 4. | Event Identification and Description: | |
| | (Check applicable box) <input type="checkbox"/> Damage or destruction of a Facility <input type="checkbox"/> Physical Threat to a Facility <input type="checkbox"/> Physical Threat to a control center <input type="checkbox"/> BES Emergency: <input type="checkbox"/> public appeal for load reduction <input type="checkbox"/> system-wide voltage reduction <input type="checkbox"/> manual firm load shedding <input type="checkbox"/> automatic firm load shedding <input type="checkbox"/> Voltage deviation on a Facility <input type="checkbox"/> IROL Violation (all Interconnections) or SOL Violation for Major WECC Transfer Paths (WECC only) <input type="checkbox"/> Loss of firm load <input type="checkbox"/> System separation <input type="checkbox"/> Generation loss <input type="checkbox"/> Complete loss of off-site power to a nuclear generating plant (grid supply) <input type="checkbox"/> Transmission loss <input type="checkbox"/> unplanned control center evacuation <input type="checkbox"/> Complete loss of voice communication capability <input type="checkbox"/> Complete loss of monitoring capability | Written description (optional): |

| | | |
|---|--|--------------|
|  | Third Taxing District of East Norwalk Electric Department | Version: 000 |
| | Event Reporting Operating Plan <i>For TO Functional Registration</i> | Date: |
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Appendix C: Contact Information Validation Form

NOTE 1: Per Requirement 3 of EOP-004-2, all contact information must be validated once per calendar year

NOTE 2: If an entity experiences an actual event, communication evidence from the event may be used to show compliance with the validation requirement for the specific contacts used for the event.

| Year of Validation 2015 | | | |
|---------------------------|--------------------|-----------------------------------|-------------|
| Contact | Date of Validation | Method of Validation ¹ | Verified by |
| James Smith | 2/4/2015 | email | Pam Eaton |
| Mike Adams | 2/5/2015 | email | Pam Eaton |
| Norwalk Police Department | 1/22/2015 | Screen shot | Pam Eaton |
| ISO-NE | 2/11/2015 | email | Pam Eaton |
| Interconnection | 2/5/2015 | phone | Pam Eaton |
| NERC | 1/15/2015 | email | Jill Loewer |
| NPCC | 2/5/2015 | email | Pam Eaton |

¹Examples of validation methods include but are not limited to operator logs, emails, voice recordings of phone conversations, and website screen shots.

Validation Comments:

| | | |
|---|--|--------------|
|  | Third Taxing District of East Norwalk Electric Department | Version: 000 |
| | Event Reporting Operating Plan <i>For TO Functional Registration</i> | Date: |
| | | Page 9 of 9 |

Appendix D: Records of Contact Information Validation

Retain all records for contact information validation (once per calendar year)



A Co-op's Community Solar Project

Community solar, solar gardens, solar farms and utility-scale solar projects are being developed at utility sites across the country. This short video showcases the dedication ceremony of the Renewable Rays project at Tri-County Electric Cooperative in Rushford, Minn. Hear co-op representatives talk about the community support, the cost, the installation, the operations and the partnerships that came together to make the project a reality.. [READ MORE](#)



NEWS

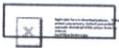
Obama signs executive order on cybersecurity information sharing

President Barack Obama on Feb. 13 signed an executive order to encourage and promote the sharing of cybersecurity threat information within the private sector and between the private sector and the federal government. Obama signed the executive order at a cybersecurity summit at Stanford University in California.

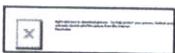
"Rapid information sharing is an essential element of effective cybersecurity, because it enables U.S. companies to work together to respond to threats, rather than operating alone," the White House said in a fact sheet related to the executive order.

The executive order "lays out a framework for expanded information sharing designed to help companies work together, and work with the federal government, to quickly identify and protect against cyber threats," the White House said.

More specifically, the executive order encourages the development of information sharing and analysis organizations (ISAOs) to serve as focal points for cybersecurity information sharing and collaboration within the private sector and between the private sector and government.



CONTENT FROM



Ten Steps to a Smarter Grid

While we are far from having a truly intelligent smart grid, Milsoft already provides cornerstone platforms for a smarter grid. Primarily a GIS and OMS system that is driven by the engineering