

Standard Development Roadmap

This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.

Development Steps Completed:

1. The Standards Committee (SC) approved the Standard Authorization Request (SAR) for posting on March 1, 2007.
2. The SAR was posted for comment from March 19 through April 17, 2007.
3. The SC sought SAR drafting team nominations April 18 through May 2, 2007.
4. The SAR drafting team posted reply comments to industry comments received on the first posting SAR on June 8, 2007
5. Standard drafting team appointed by SC Executive Committee on June 28, 2007
6. Version 1 draft of Standard posted November 2009 for Informal Comments closed January 15 2010.
7. Version 2 draft of Standard posted May 2012 for Formal Comments, Initial Ballot closed June 20 2012.
8. Version 3 draft of Standard posted August 2012 for Formal Comments, Ballot closed September 22, 2012.
9. Version 4 draft of Standard posted November 2012 for Formal Comments, Ballot closed December 13, 2012.

Description of Current Draft:

This is the fifth draft of a new standard requiring the use of standardized communication protocols during normal and emergency operations to improve situational awareness and shorten response time. The drafting team requests posting for a 30-day concurrent Formal Comment period and Ballot.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Drafting team considers comments, makes conforming changes, and requests SC approval to proceed to pre-ballot comment period.	February 2013
2. Third Successive Ballot of Standards	March 2013
3. Recirculation ballot of standards.	April 2013
4. Board adopts standards.	May 2013

Definitions of Terms Used in Standard

This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.

When using terms or phrases contained in the Reliability Standards Glossary of Terms for communications it should be cited as the source. When used in written communications, terms or phrases contained in the Reliability Standards Glossary of Terms are capitalized.

Operating Instruction —A command by a System Operator of a Reliability Coordinator, or of a Transmission Operator, or of a Balancing Authority, where the recipient of the command is expected to act, to change or preserve the state, status, output, or input of an Element of the Bulk Electric System or Facility of the Bulk Electric System. Discussions of general information and of potential options or alternatives to resolve BES operating concerns are not commands and are not considered Operating Instructions.

A. Introduction

1. **Title:** Operating Personnel Communications Protocols
2. **Number:** COM-003-1
3. **Purpose:** To provide System Operators predefined communications protocols that reduce the possibility of miscommunication that could lead to action or inaction harmful to the reliability of BES.
4. **Applicability:**
 - 4.1. **Functional Entities**
 - 4.1.1 Balancing Authority
 - 4.1.2 Distribution Provider
 - 4.1.3 Generator Operator
 - 4.1.4 Reliability Coordinator
 - 4.1.5 Transmission Operator
5. **(Proposed) Effective Date:** First day of first calendar quarter, twelve (12) calendar months following applicable regulatory approval, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities; or, in those jurisdictions where no regulatory approval is required, the first day of the first calendar quarter twelve (12) calendar months from the date of Board of Trustee adoption.

B. Requirements

- R1.** Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall develop and implement documented communication protocols that outline the communications expectations of its System Operators. The documented communication protocols will address, where applicable, the following: [*Violation Risk Factor: Low*] [*Time Horizon: Long-term Planning*]

- 1.1. Use of the English language when issuing or responding to an oral or written Operating Instruction or Reliability Directive, unless another language is mandated by law or regulation.
- 1.2. Instances that require time identification when issuing an oral or written Operating Instruction or Reliability Directive, and the format for that time identification.
- 1.3. Nomenclature for Transmission interface Elements and Transmission interface Facilities when issuing an oral or written Operating Instruction or Reliability Directive.
- 1.4. Instances where alpha-numeric clarifiers are necessary when issuing an oral Operating Instruction or Reliability Directive, and the format for those clarifiers.

Implementation means (in R1, R2 R3 and R4) incorporating the communication protocols into processes, policies, procedures, training programs and assessment programs to support setting and attaining the communication expectations of operators (R3) and System Operators (R1).

- 1.5. Instances where the issuer of an oral two party, person-to-person Operating Instruction is required to:
 - Confirm that the response from the recipient of the Operating Instruction was accurate, or
 - Reissue the Operating Instruction to resolve a misunderstanding.
- 1.6. Require the recipient of an oral two party, person-to-person Operating Instruction to repeat, restate, rephrase, or recapitulate the Operating Instruction, if requested by the issuer.
- 1.7. Instances where the issuer of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) is required to verbally or electronically confirm receipt from at least one receiving party.
- 1.8. Require the receiver of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) to request clarification from the issuer if the communication is not understood.
- 1.9. Coordination with affected Reliability Coordinators', Balancing Authorities', Transmission Operators', Distribution Providers', and Generator Operators' communication protocols.
- R2.** Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall develop method(s) to assess System Operators' communication practices and implement corrective actions necessary to meet the expectations in its documented communication protocols developed for Requirement R1. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning, Operations Assessment*]
- R3.** Each Distribution Provider and Generator Operator shall develop and implement documented communication protocols that outline the communications expectations of its operators. The documented communication protocols will address, where applicable, the following: [*Violation Risk Factor: Low*] [*Time Horizon: Long-term Planning*]
 - 3.1. Use of the English language when responding to an oral or written Operating Instruction or Reliability Directive, unless another language is mandated by law or regulation.
 - 3.2. Require the recipient of an oral two party, person-to-person Operating Instruction to repeat, restate, rephrase, or recapitulate the Operating Instruction, if requested by the issuer.
 - 3.3. Require the receiver of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) to request clarification from the issuer if the communication is not understood.
- R4.** Each Distribution Provider and Generator Operator shall develop method(s) to assess operators' communication practices and implement corrective actions necessary to

meet the expectations in its documented communication protocols developed for Requirement R3. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning /Operations Assessment*]

C. Measures

- M1.** Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall provide its documented communications protocols developed for Requirement R1. Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall provide evidence that it implemented its documented communication protocols that it developed for Requirement R1 which may include, but is not limited to, its policies, procedures, and or operator training.
- M2.** Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall provide the results of its periodic assessment and of any corrective actions (if any corrective actions were implemented) developed for Requirement R2.
- M3.** Each Distribution Provider and Generator Operator shall provide its documented communications protocols developed for Requirement R3. Each Distribution Provider, and Generator Operator shall provide evidence that it implemented its documented communication protocols that it developed for Requirement R3 which may include, but is not limited to, its policies, procedures, and or operator training.
- M4.** Each Distribution Provider and Generator Operator shall provide the results of its periodic assessment and of any corrective actions (if any corrective actions were implemented) developed for Requirement R4.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

As defined in the NERC Rules of Procedure, “Compliance Enforcement Authority” means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

1.2. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

Each Transmission Operator, Balancing Authority, Reliability Coordinator, Generator Operator, and Distribution Provider shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall retain evidence for Requirement R1 Measure M1 for the most recent 90 days.

Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall retain evidence for Requirement R2 Measure M2 for the most recent 180 days.

Each Distribution Provider and Generator Operator shall retain evidence for Requirement R3 Measure M3 for the most recent 90 days.

Each Distribution Provider and Generator Operator shall retain evidence for Requirement R4 Measure M4 for the most recent 180 days.

If a Transmission Operator, Balancing Authority, Reliability Coordinator, Generator Operator or Distribution Provider is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time period specified above, whichever is longer.

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

Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.3. Additional Compliance Information

None

COM-003-1 Operating Personnel Communications Protocols

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Long Term Planning	Low	<p>The Responsible Entity did not address one (1) of the nine(9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not implement one (1) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p>	<p>The Responsible Entity did not address two (2) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not implement two (2) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p>	<p>The Responsible Entity did not address three (3) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not implement three (3) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p>	<p>The Responsible Entity did not address four (4) or more of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not have any documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not implement any documented communication protocols as required in Requirement R1</p>

COM-003-1 Operating Personnel Communications Protocols

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R2	Operations Planning Operations Assessment	Medium	The Responsible Entity performed periodic assessments of its System Operators' communication practices and implemented 50 % or more but not all corrective action identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1.	The Responsible Entity performed periodic assessments of its System Operators' communication practices and implemented less than 50 % of the corrective actions identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1.	The Responsible Entity performed periodic assessments of its System Operators' communication practices but did not implement any corrective actions identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1.	The Responsible Entity did not perform periodic assessments of its System Operators' communication practices identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1.

COM-003-1 Operating Personnel Communications Protocols

<p>R3</p>	<p>Long Term Planning</p>	<p>Low</p>		<p>The Responsible Entity did not address one (1) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement one (1) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p>	<p>The Responsible Entity did not address two (2) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement two (2) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p>	<p>The Responsible Entity did not address three (3) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not develop any documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement any documented communication protocols as required in Requirement R3</p>
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COM-003-1 Operating Personnel Communications Protocols

<p>R4</p>	<p>Operations Planning Operations Assessment</p>	<p>Medium</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices and implemented 50 % or more but not all corrective action identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3.</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices and implemented less than 50 % of the corrective actions identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3.</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices but did not implement any corrective actions identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3</p>	<p>The Responsible Entity did not perform assessments of its operators' communication practices and did not meet the expectations in its documented communication protocols developed for Requirement R3.</p>
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E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking