

A. Introduction

1. **Title:** Reliability Coordination — Responsibilities and Authorities
2. **Number:** IRO-001-2
3. **Purpose:** To establish requirements for issuance of and complying with Reliability Coordinator directives or notification within the Reliability Coordinator Areas.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Transmission Operator.
 - 4.3. Balancing Authorities.
 - 4.4. Generator Operators.
 - 4.5. Transmission Service Providers.
 - 4.6. Load-Serving Entities.
 - 4.7. Distribution Providers.
 - 4.8. Purchasing-Selling Entities.
5. **(Proposed) Effective Date:** To be determined.

B. Requirements

- R1.** The Reliability Coordinator shall act or direct actions to be taken by Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, Distribution Providers and Purchasing-Selling Entities within its Reliability Coordinator Area to prevent or mitigate the magnitude or duration of events that result in Adverse Reliability Impacts. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations and Same Day Operations]*
- R2.** Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, Distribution Providers, and Purchasing-Selling Entities shall act without intentional delay to comply with Reliability Coordinator directives unless such actions would violate safety, equipment, or regulatory or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations and Same Day Operations]*
- R3.** The Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider or Purchasing-Selling Entity shall immediately confirm the ability to comply with the directive or inform the Reliability Coordinator upon recognition of the inability to perform the directive. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations and Same Day Operations]*
- R4.** Each Reliability Coordinator that identifies an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area shall notify, without intentional delay, all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*
- R5.** Each Reliability Coordinator who identifies an expected or actual threat with Adverse Reliability Impacts, within its Reliability Coordinator Area shall notify, without intentional delay, all impacted Transmission Operators and Balancing Authorities in its Reliability

Coordinator Area when the transmission problem has been mitigated. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*

C. Measures

- M1.** Each Reliability Coordinator shall have evidence that it acted, or issued directives, to prevent or mitigate the magnitude or duration of Adverse Reliability Impacts within its Reliability Coordinator Area.
- M2.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall have evidence that it acted without delay to comply with the Reliability Coordinator's directives.
- M3.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall have evidence that it confirmed its ability to comply with the Reliability Coordinator's directives, or if for safety, equipment, regulatory or statutory requirements it could not comply, informed the Reliability Coordinator upon recognition of the inability to comply.
- M4.** Each Reliability Coordinator shall have evidence that it notified, without intentional delay, all impacted Transmission Operators and balancing Authorities in its Reliability Coordinator Area when it identified a real or potential threat with Adverse Reliability Impacts, within its Reliability Coordinator Area.
- M5.** Each Reliability Coordinator shall have evidence that it notified, without intentional delay, all impacted Transmission Operators and balancing Authorities in its Reliability Coordinator Area when the real or potential threat with Adverse Reliability Impacts within its Reliability Coordinator Area has been mitigated.

D. Compliance

- 1.** Compliance Monitoring Process
 - 1.1.** Compliance Enforcement Authority

NERC shall be responsible for compliance monitoring of the Regional Entity.

Regional Entities shall be responsible for compliance monitoring of the Reliability Coordinators, Transmission Operators, Generator Operators, Distribution Providers, and Load Serving Entities.
 - 1.2.** Compliance Monitoring Period and Reset Time Frame

Not applicable.
 - 1.3. Compliance Monitoring and Enforcement Processes:**
 - Compliance Audits
 - Self-Certifications
 - Spot Checking
 - Compliance Violation Investigations
 - Self-Reporting
 - Complaints
 - 1.4. Data Retention**

Each applicable entity shall retain data and evidence for a rolling 12 months unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

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

1.5. Additional Compliance Information

None.

2. Violation Severity Levels

Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	N/A	The Reliability Coordinator failed to act to prevent or mitigate the magnitude or duration of Adverse Reliability Impacts.	The Reliability Coordinator failed to act and direct actions to prevent or mitigate the magnitude or duration of Adverse Reliability Impacts
R2	N/A	The responsible entity followed the Reliability Coordinators directive with a delay not caused by equipment problems.	The responsible entity followed the majority of the Reliability Coordinators directive but did not fully follow the directive because it would violate safety, equipment, statutory or regulatory requirements.	The responsible entity did not follow the Reliability Coordinators directive.
R3	The responsible entity failed to immediately confirm the ability to comply with the directive issued by the Reliability Coordinator.	N/A	N/A	The responsible entity failed to inform the Reliability Coordinator upon recognition of the inability to perform the directive.
R4	N/A	N/A	N/A	The Reliability Coordinator who identified an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to all impacted Transmission Operators

Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				and Balancing Authorities in its Reliability Coordinator Area.
R5	N/A	N/A	N/A	The Reliability Coordinator failed to notify all impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.

E. Regional Variances

None identified.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1	November 1, 2006	Adopted by Board of Trustees	Revised
1	April 4, 2007	Approved by FERC — Effective Date	New
2	TBD	Revised per SAR for project 2006-6, reliability Coordination; added VRFs and VSLs as approved from VRF and VSL projects	Revised