

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. Draft proposed standard based on the IRO Five Year Review Team recommendations.

Proposed Action Plan and Description of Current Draft:

The Five Year Review Team (FYRT) began a comprehensive review of the IRO standards. The current posting contains revisions based on the work of the FYRT. The team is posting for 45-day informal comment period.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Post five year review template and proposed standards for a 45-day informal comment period.	August – September 2013
2. Respond to comments and develop final recommendation for the FYRT	September 2013
3. Present FYRT recommendation to NERC Standards Committee.	October 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.

No new or revised definitions are proposed for this standard.

A. Introduction

1. Title: Reliability Coordination – Responsibilities and Authorities

2. Number: IRO-001-~~43~~

3. Purpose: To establish the authority of Reliability Coordinators to direct other entities to prevent an Emergency or Adverse Reliability Impacts to the Bulk Electric System.

4. Applicability

4.1. Reliability Coordinator

4.2. Transmission Operator

4.3. Balancing Authority

4.4. Generator Operator

4.5. Distribution Provider

4.5.4.6. Transmission Service Provider

5. **Effective Date:** The first day of the second calendar quarter beyond the date that this standard is approved by applicable regulatory authorities, or in those jurisdictions where regulatory approval is not required, the standard becomes effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

R1. Each Reliability Coordinator shall have the authority to act or direct others to act (which could include issuing Reliability Directives) to prevent identified events or mitigate the magnitude or duration of actual events that result in an Emergency or Adverse Reliability Impact. [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations, Same Day Operations and Operations Planning*]

R2. Each Transmission Operator, Balancing Authority, Generator Operator, ~~and~~ Distribution Provider, and Transmission Service Provider shall comply with its Reliability Coordinator's direction (which could include a Reliability Directive) unless compliance with the direction cannot be physically implemented or unless such actions would violate safety, equipment, regulatory, or statutory requirements. [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations, Same Day Operations and Operations Planning*]

R3. Each Transmission Operator, Balancing Authority, Generator Operator, ~~and~~ Distribution Provider, and Transmission Service Provider shall inform its Reliability Coordinator upon recognition of its inability to perform as directed in accordance with Requirement R2. [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations, Same Day Operations and Operations Planning*]

C. Measures

- M1.** Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it had the authority to take action or direct action, which could have included issuing Reliability Directives, to prevent identified events or mitigate the magnitude or duration of actual events that resulted in an Emergency or Adverse Reliability Impact within its Reliability Coordinator Area. (R1.)
- M2.** Each Transmission Operator, Balancing Authority, Generator Operator, ~~and~~ Distribution Provider, and Transmission Service Provider shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it complied with its Reliability Coordinator's direction, which could include a Reliability Directive, unless the direction could not be physically implemented, or such actions would have violated safety, equipment, regulatory or statutory requirements. In such cases, the Transmission Operator, Balancing Authority, Generator Operator, or Distribution Provider shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Reliability Coordinator's direction. (R2.)
- M3.** Each Transmission Operator, Balancing Authority, Generator Operator, ~~and~~ Distribution Provider, and Transmission Service Provider shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it informed the Reliability Coordinator of its inability to perform as directed in accordance with Requirement R2. (R3.)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity shall serve as the Compliance Enforcement Authority (CEA) unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases, the ERO or a Regional Entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Compliance Monitoring and Enforcement Processes:

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.3. 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.

The Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, ~~or~~ Distribution Provider, or Transmission Service 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:

- The Reliability Coordinator for Requirement R1, Measure M1 shall retain voice recordings for the most recent 90 calendar days or documentation for the most recent 12 calendar months.
- The Transmission Operator, Balancing Authority, Generator Operator, ~~or~~ Distribution Provider, or Transmission Service Provider shall retain for Requirements R2 and R3, Measures M2 and M3 shall retain voice recordings for the most recent 90 calendar days or documentation for the most recent 12 calendar months.

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

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

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	N/A	N/A	<p>The Reliability Coordinator failed to take action or direct actions, to prevent an identified event that resulted in an Emergency or Adverse Reliability Impact.</p> <p>OR</p> <p>The Reliability Coordinator failed to take action or direct actions to mitigate the magnitude or duration of an event that resulted in an Emergency or Adverse Reliability Impact.</p>
R2	N/A	N/A	N/A	<p>The Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider, <u>or Transmission Service Provider</u> did not comply with the Reliability Coordinator’s direction, and compliance with the direction could have been physically implemented and such actions would not have violated safety, equipment, regulatory, or statutory requirements.</p>
R3	N/A	N/A	N/A	<p>The Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider, <u>or Transmission Service Provider</u> failed to inform its Reliability Coordinator upon recognition of its inability to perform as directed.</p>

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
1	May 19, 2011	Replaced Levels of Noncompliance with FERC-approved VSLs	VSL Order
2	To be determined	Retired Requirement R7 to eliminate redundancy with IRO-014-2, Requirement R1.	Project 2006-06
3	TBD	Revised in accordance with SAR for Project 2006-06, Reliability Coordination (RC SDT). Revised the standard and retired six requirements (R1, R2, R4, R5, R6, and R9). Requirement R3 becomes the new R1 and R8 becomes the new R2 and R3.	Project 2006-06
<u>4</u>	<u>TBD</u>	<u>Revised based on Five Year Review Team to include Transmission Service Provider as an applicable entity and to clarify language.</u>	<u>Project 2012-09</u>