

## Results-based Reliability Standards Initiative Ad Hoc Group

Ad Hoc Team Work Plan and Schedule — Updated April 9, 2010

### Phase 1 — Concept Development — COMPLETE

Milestone/Deliverable	Assigned to	Date	Status
1. Kickoff meeting and discussion of scope and participation.	Cauley	8/7/09	Complete
2. Develop startup work plan.	Cauley	8/14/09	Complete
3. Distribute documents on related efforts to improve standards.	Li, Bilke, Taylor	8/14/09	Complete (Bibliography to be developed by Cauley – deferred to Phase 2)
4. Draft a <b>written design philosophy</b> for reliability standards.	Cauley	10/22/09	Complete – presented to Standards Committee, MRC and Board
5. Develop criteria/attributes for review of existing standards.	Bilke	8/28/09	Complete
6. Communicate to stakeholders <ul style="list-style-type: none"> <li>a. Standards Committee conf call briefing</li> <li>b. Standing committees joint presentation</li> <li>c. Standards three-year plan webinar</li> <li>d. WIRAB conference</li> </ul>	Taylor/Cauley Cauley/Taylor Taylor/Cauley Cauley	9/3/09 9/15/09 9/17/09 10/16/09	Complete Complete Complete Complete
7. Conduct a review and develop “scorecard” and assign “category” for each existing requirement based on criteria above.	All	9/11/09	Complete
8. Develop a <b>gap analysis report</b> on the existing standards compared to criteria.		9/30/09	Complete – based on 1360 board-approved requirements
9. Develop improved <b>construct/format of a reliability standard</b> , including supporting documents; reference SCPS’s prior effort.		10/22/09	Complete – preliminary outline in final report

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10. Develop several <b>examples of model performance-based standards</b> focused on reliability objectives.		10/16/09	Deferred to Phase 2
11. Develop a <b>roadmap and high-level work plan for implementing modified approach to standards development.</b>		10/16/09	Deferred to Phase 2
12. Develop a <b>communications plan.</b>		10/23/09	Deferred to Phase 2
13. Present deliverables to NERC Standards Committee for approval (meeting). Carmel IN	Adamski	10/7-8/09	Complete
14. Present deliverables to NERC MRC and board	Adamski	11/4-5/09	Complete
15. Sunset ad hoc group and transition ownership to Standards Committee (conference call 12/3/09).	Adamski	12/3/09	Deferred at request of NERC Board to continue Phase 2

**Phase 2 — Proof-of-Concept Demonstration**

Milestone/Deliverable	Assigned to	Date	Status
16. Develop Phase 2 work plan, deliverables and assignments.	Cauley	11/20/09	Draft reviewed 11/13/09 Complete
17. Obtain services of consultant with qualifications in results-based standards to assist team.	Cauley and Taylor	11/30/09	Potential candidate identified  Compliance Automation Inc was engaged to work with the standard drafting team for Project 2007-07 Vegetation Management  Complete

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<p>18. Validate rankings of existing, enforceable requirements: 1) priority on top 10 most violated standards to feed Task 19; 2) share final results with compliance program to inform priorities for audit and enforcement.</p>	<p>Cauley, Rollinson, Rueckert, Hajovsky</p>	<p>12/15/09</p>	<p>Final scorecard was delivered for 1/8/2010 meeting and was provided to NERC Compliance by Eric Rollinson.</p> <p>Complete</p>
<p>19. Perform gap analysis to determine highest priority standard(s) for near-term proof of concept demonstration (1 to 3 standards) based on: 1) reliability impact; 2) violation frequency; 3) political importance; and 4) ability to get done in 2010.</p>	<p>Edge</p>	<p>12/15/09</p>	<p>Industry survey was issued and summarized. Sub-team provided a list of standards to be considered by entire group on 12/18/09</p> <p>Results of Activity 18 above were incorporated into final recommendation and recommendation was provided to Ad Hoc group for the 01/08/2010 meeting.</p> <p>The Ad Hoc group agreed to use Project 2007-07 Transmission Vegetation Management (FAC-003-1 — Transmission Vegetation Management Program) as the proof-of-concept demonstration.</p> <p>The Standards Committee approved the use of Project 2007-07 Vegetation Management as the proof-of-concept demonstration for the Results-based Reliability Standard Initiative on January 14, 2010.</p> <p>Complete</p>
<p>20. Review concepts and plan with FERC staff and obtain feedback (repeat as needed). Alan Gerry and Gerry</p>	<p>Adamski and Cauley</p>	<p>12/15/09</p>	<p>Gerry Cauley met with FERC staff on 1/14/2010.</p> <p>Allen Mosher, Chris Hajovsky, Terry Bilke, Mike</p>

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			<p>Gildea, Gerry Adamski, and David Taylor met with Mark Hegerle (Division of Compliance) and his staff on April 5, 2010.</p> <p>This remains an ongoing activity.</p>
<p>21. Develop and implement a communications plan and communicate at all available opportunities.</p>	<p>Mosher, Rana, Streeter, and Gildea in coordination with NERC Standards Committee Communications and Planning Subcommittee</p>	<p>1/15/10</p>	<p>Draft communication plan was provided during 12/18/2009 meeting. Will be presented to the SC during their January meeting.</p> <p>Standards Committee endorsed the Plan on January 14, 2010</p> <p>Complete (implementation is an ongoing activity Mike Gildea to lead implementation of Communications Plan)</p> <p>Additional Activity:</p> <ul style="list-style-type: none"> <li>• NERC worked with the Utilities Arborist Association (UAA) and had <a href="#">an article posted on their website</a> pertaining to the proof-of-concept project FAC-003-2.</li> </ul>
<p>22. Communications – Provide MRC and BOT update on progress during February 15, 2010 MRC meeting.</p>	<p>Adamski, Hajovsky, and Mosher</p>	<p>2/15/10</p>	<p>Gerry Adamski and Chris Hajovsky provided a presentation to the MRC and BOT on February 15, 2010.</p> <p>Complete</p>
<p>23. Communications - Develop talking points and core messages that would be used in various levels of detail for all communications.</p>	<p>Heidrich in coordination with the</p>	<p>2/19/10</p>	<p>A draft set of talking points and criteria were prepared for the February 11 Standards Committee meeting.</p>

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	Standards Committee Process Subcommittee		<p>Pete Heidrich finalized the following documents:</p> <ul style="list-style-type: none"> <li>24. Results-Based Reliability Standard Development Guidance</li> <li>25. Acceptance Criteria of a Reliability Standard</li> </ul> <p>A common slide deck for a PowerPoint presentation was drafted by Pat Huntley and others.</p> <p>Pat Huntley finalized the slide deck on April 9, 2010.</p> <p>Complete</p>
26. Apply results-based criteria to FAC-003-2 Transmission Vegetation Management using the standard drafting team for Project 2007-07 Vegetation Management (see schedule in Attachment 1).	Tom leading standard drafting team for Project 2007-07 Vegetation Management	2/28/10	<p>The standard drafting team for Project 2007-07 Vegetation Management was provided training by Ivy Hooks of Compliance Automation during the January 26-29, 2010 meeting of the drafting team. This initiated the conversion of FAC-003-2 to results-based criteria. The initial draft of FAC_003-2 in results-based format was posted for informal comment March 1 thru 31, 2010.</p> <p>Implementation of Project 2007-07 Vegetation Management is ongoing according to the schedule in Attachment 1.</p>
27. Communications - Create web page for high-level updates (with links from home page and standards	Streeter in coordination with NERC	2/28/10	<p>A web page has been established for Project 2010-06 Results-based Reliability Standards: <a href="http://www.nerc.com/filez/standards/Project2010-">http://www.nerc.com/filez/standards/Project2010-</a></p>

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pages)	Standards Committee Communications and Planning Subcommittee		<a href="#">06_Results-based_Reliability_Standards.html</a>  Complete
28. Communications - Announce NERC-sponsored Webinar to discuss Project 2007-07 and the results-based standards initiative	Tom, Streeter and Dombek	2/28/2010	Announcement was issued March 10, 2010  Complete
29. Identify additional projects for which to convert associated standards using the results-based criteria.	Mosher, Taylor, and Long	3/1/10	The Standards Committee met on February 25 and identified Project 2007-17 Protection System Maintenance & Testing as the next project to use the Results-based criteria. All other projects will be provided a package of results-based related information to assist them in developing their standards.  Project 2009-01 Disturbance and Sabotage Reporting Will be the first project to be initiated as a results-based project from its inception.  Identification of additional results-based projects will take place as an ongoing initiative.
30. Communications - Conduct (and record) Webinar during informal comment period for FAC-003-02 and solicit feedback during Webinar	Tom, Streeter and Dombek	Before 4/1/10	Webinar held on March 18, 2010  Complete
31. Develop a plan for prioritized development of results-based standards and incorporate more fully into 3-year plan.	Taylor	4/30/10	On March 18, 2010 FERC issued several Orders that impact standards development. The full impact of these Orders on standards

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			development will impact prioritized development of results-based standards. More information will be know after the April 14-15 Standards Committee meeting.
32. Finalize format for results-based reliability standards.	Li in coordination with the Standards Committee Process Subcommittee	4/30/10	<p>A proposed template for future reliability standards was provided to the standard drafting team (STD) for Project 2007-07. The SDT used the template for the draft FAC-003-2 Transmission Vegetation Management and asked the industry to comment on the draft template.</p> <p>Ben Li will present proposed changes to the format, based on the comments received, to the Standards Committee Process Subcommittee on April 16, 2010.</p>
33. Develop a training/orientation program for drafting teams and job aids (including criteria) to assist in constructing results-based standards.	Sidor (NERC lead) and Ivy Hooks (Compliance Automation)	4/30/10	NERC has contracted with Compliance Automation to develop a "Train-the-Trainer" program Results-based Standards.
34. Communications - Distribute any updated materials for use in regional forums (outlined in more detail in regional contact list created by SCCPS)	Li in coordination with Regional Reliability Standards Working Group	4/30/10	Suggest follow up with Ben Li, RSWG members, and Stephanie Loose to see if the Regions are promoting results-based standards. What was presented to stakeholders? Are regions using a common slide deck?

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35. Communications - Announce NERC-sponsored Webinar to discuss Project 2007-07 and the results-based standards initiative. This Webinar is expected to take place during the posting of FAC-003-2 for informal comment, if this informal comment period is used.	Tom, Streeter, and Dombek	5/1/10	
36. Commence engaging additional drafting team(s) for converting associated standards using the results-based criteria, and in consultation with those team(s), develop expedited drafts of results-based standard(s). Can included but is not limited to conducting conference call(s) and e-mail messaging on expectations.	Cauley, Taylor, Bilke Selected Drafting Teams	5/3/10	
37. Commence delivering training and tools to drafting teams and initiate periodic review and refresher training program.	Sidor and Taylor	5/3/10	
38. Present final report to MRC, and BOT and transfer responsibility for implementing plan to the Standards Committee.	Hajovsky, Adamski, and Mosher	5/11/10	
39. Work with Standards Committee to institutionalize results-based approach and expanded role of committee in managing quality and timeliness of results.	Mosher and Long	5/13/10	The following item was added to the Standards Committee Charter and approved by the NERC BOT on February 16, 2010: "Ensures standards meet quality attributes without prejudice regarding the specific content of each standard. Quality attributes include such factors as clarity, completeness, sufficient detail, rational result, and compatibility with existing standards."
40. Communications - Conduct (and record) Webinar during informal comment period for FAC-003-02 (if	Tom, Streeter, and Dombek	Before 5/23/10	

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informal comments period is used as scheduled) and solicit feedback during Webinar			
41. Finalize schedules for converting standards for each of the additional projects to the new format.	Huntley and Li	5/28/10	
42. Prepare bibliography of resources.	Li	5/31/10	
43. Sunset ad hoc team.	NERC Board	5/31/10	

**Project 2007-07 Vegetation Management Schedule**

ID	Task Name	Duration	Start	Finish	1Q10												2Q10			3Q10			4Q10			1Q11			2Q11			3Q11								
					Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
1	<b>Results-Based Proof-of-Concept for Project 2007-07</b>	<b>178 days?</b>	<b>Tue 1/26/10</b>	<b>Thu 9/30/10</b>																																				
2	<b>Standard Development</b>	<b>103 days?</b>	<b>Tue 1/26/10</b>	<b>Thu 6/17/10</b>																																				
3	Introduce RBS criteria and train VMSDT	4 days	Tue 1/26/10	Fri 1/29/10																																				
4	Update draft standard in accordance with RBS criteria	15 days	Mon 2/1/10	Fri 2/19/10																																				
5	February Meeting in Tempe AZ	3 days	Wed 2/17/10	Fri 2/19/10																																				
6	Finalize documents for posting	6 days	Mon 2/22/10	Mon 3/1/10																																				
7	March Meeting	4 days?	Tue 3/16/10	Fri 3/19/10																																				
8	Informal 30-Day Comment Period	23 days	Tue 3/2/10	Thu 4/1/10																																				
9	Industry Webinar	5 days	Wed 3/17/10	Tue 3/23/10																																				
10	SDT Discussion with FERC Staff	1 day?	Thu 3/25/10	Thu 3/25/10																																				
11	April Meeting	4 days	Tue 4/6/10	Fri 4/9/10																																				
12	Update draft standard and finalize documents for posting	15 days	Fri 4/2/10	Thu 4/22/10																																				
13	Industry Webinar	5 days	Tue 5/18/10	Mon 5/24/10																																				
14	Informal 30-day Comment Period	22 days	Fri 4/23/10	Mon 5/24/10																																				
15	May Meeting	4 days	Tue 5/18/10	Fri 5/21/10																																				
16	Update draft standard and prepare documents for ballot	18 days	Tue 5/25/10	Thu 6/17/10																																				
17	June Meeting	4 days	Tue 6/8/10	Fri 6/11/10																																				
18	<b>Ballotting</b>	<b>59 days</b>	<b>Thu 6/10/10</b>	<b>Tue 8/31/10</b>																																				
19	Request SC for authorization to proceed to formal comment and ballo	1 day	Thu 6/10/10	Thu 6/10/10																																				
20	45-Day formal comment period	32 days	Fri 6/18/10	Mon 8/2/10																																				
21	10-Day initial ballot	8 days	Thu 7/22/10	Mon 8/2/10																																				
22	Consider and respond to stakeholder and ballotter comments	13 days	Tue 8/3/10	Thu 8/19/10																																				
23	August Meeting to consider and respond to comments	5 days	Mon 8/9/10	Fri 8/13/10																																				
24	Recirculation ballot	8 days	Fri 8/20/10	Tue 8/31/10																																				
25	<b>NERC BOT Approval</b>	<b>68 days</b>	<b>Fri 6/11/10</b>	<b>Tue 9/14/10</b>																																				
26	Meet to Discuss Document Preparation	10 days	Fri 6/11/10	Thu 6/24/10																																				
27	Prepare BOT Material (Coordinator)	15 days	Fri 6/25/10	Thu 7/15/10																																				
28	Finalize BOT Material (VP)	15 days	Fri 7/16/10	Thu 8/5/10																																				
29	Receive BOT Approval	10 days	Wed 8/11/10	Tue 9/14/10																																				
30	<b>Regulatory Filings</b>	<b>70 days</b>	<b>Fri 6/25/10</b>	<b>Thu 9/30/10</b>																																				
31	Develop Initial Draft of Regulatory Filings (Coordinator)	20 days	Fri 6/25/10	Thu 7/22/10																																				
32	Finalize Standards' Version of the Draft Regulatory Filings	20 days	Fri 7/23/10	Thu 8/19/10																																				
33	Legal and Management Review of Regulatory Filings	20 days	Fri 8/20/10	Thu 9/16/10																																				
34	File Documents with Appropriate Regulatory Authorities	10 days	Fri 9/17/10	Thu 9/30/10																																				
35	Project and Filing Complete	0 days	Thu 9/30/10	Thu 9/30/10																																				