

Standard Development Timeline

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

SAR posted for comment February 21, 2014 – March 24, 2014

First posting May 19, 2014 - July 2, 2014

Second posting August 6, 2014 – September 19, 2014

Description of Current Draft

This is the third posting of the revised standard under Project 2014-03 Revisions to the TOP/IRO Reliability Standards. The SDT is working under a deadline for filing the revised standards with FERC of January 31, 2015.

Anticipated Actions	Anticipated Date
Final ballot	October 2014
BOT	November 2014

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	November 19, 2006	Changes "Distribution Provider" to "Transmission Service provider"	Errata
1.1	October 29, 2008	Removed "proposed" from effective date BOT adopted errata changes: updated version number to "1.1"	Errata
1.1	May 13, 2009	FERC Approval	Revised
2	July 25, 2011	Revisions under Project 2006-06 to remove Requirement R7 to avoid duplication with IRO-014-2	Revised
3	July 6, 2012	Revisions to complete scope of revisions under Project 2006-06	Revised
3	August 4, 2011	Adopted by Board of Trustees	Revised
4	TBD	Revisions as per Project 2014-03	

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.

There are no new or revised definitions proposed in this standard revision.

When this standard has received ballot approval, the text boxes will be moved to the Application Guidelines Section of the Standard.

A. Introduction

1. **Title:** Reliability Coordination – Responsibilities
2. **Number:** IRO-001-4
3. **Purpose:** To establish the responsibility of Reliability Coordinators to act or direct other entities to act.
4. **Applicability**

Rationale: Purchasing-Selling Entity and Load-Serving Entity have been deleted from the approved IRO-001-1.1 as they are not listed as entities that the Reliability Coordinator directs in Functional Model v5.

- 4.1. Reliability Coordinator
- 4.2. Transmission Operator
- 4.3. Balancing Authority
- 4.4. Generator Operator
- 4.5. Distribution Provider
5. **Effective Date:**
See Implementation Plan.
6. **Background:**
See the Project 2014-03 [project page](#).

B. Requirements and Measures

Rationale: The change from Reliability Directive to Operating Instruction throughout the standard is in response to NOPR paragraph 64 (...*"We believe that directives from a reliability coordinator or transmission operator should be mandatory at all times, and not just during emergencies (unless contrary to safety, equipment, regulatory or statutory requirements). For example, mandatory compliance with directives in non-emergency situations is important when a decision is made to alter or maintain the state of an element on the interconnected transmission network..."*) This change is also consistent with the proposed COM-002-4.

- R1. Each Reliability Coordinator shall act to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions. [*Violation Risk Factor: High*][*Time Horizon: Same-Day Operations, Real-time Operations*]

- 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 acted to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions.

Rationale for Requirements R2 and R3: The Transmission Service Provider has been removed from Requirements R2 and R3 as the Transmission Service Provider is not listed in the Functional Model as a recipient of corrective actions issued by the Reliability Coordinator. This allows for the retirement of IRO-004-2.

- R2.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall comply with its Reliability Coordinator's Operating Instructions unless compliance with the Operating Instructions cannot be physically implemented or unless such actions would violate safety, equipment, regulatory, or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Same-Day Operations, Real-time Operations]*
- M2.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution 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 Operating Instructions, unless the instruction 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 Operating Instructions. If such a situation has not occurred, the Transmission Operator, Balancing Authority, Generator Operator, or Distribution Provider may provide an attestation.
- R3.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall inform its Reliability Coordinator of its inability to perform the Operating Instruction issued by its Reliability Coordinator in Requirement R1. *[Violation Risk Factor: High] [Time Horizon: Same-Day Operations, Real-time Operations]*
- M3.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution 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 its Reliability Coordinator of its inability to perform an Operating Instruction issued by its Reliability Coordinator in Requirement R1.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

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

1.2. Compliance Monitoring and Assessment Processes:

As defined in the NERC Rules of Procedure, “Compliance Monitoring and Assessment Processes” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated reliability standard.

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, 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:

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

If a Reliability Coordinator, Transmission Operator, Balancing Authority, 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 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.

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The Reliability Coordinator failed to act to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions.
R2	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The responsible entity did not comply with the Reliability Coordinator’s Operating Instructions, and compliance with the Operating Instructions could have been physically implemented and such actions would not have violated safety, equipment, regulatory, or statutory requirements.
R3	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The responsible entity failed to inform its Reliability Coordinator upon recognition of its inability to perform an Operating Instruction issued by its Reliability Coordinator in Requirement R1 .

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

None.