

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 SAR Version 1 posted January 15, 2007.
2. Draft SAR Version 1 Comment Period ended February 14, 2007.
3. Draft SAR Version 2 and comment responses on SAR version 1 posted March 19, 2007.
4. Draft Version 2 SAR comment period ended April 17, 2007.
5. SAR version 2 and comment responses for SAR version 2 accepted by SC and SDT appointed in June 2007.
6. First posting of revised standards on August 5, 2008 with comment period closed on September 16, 2008.
7. Draft Version 2 of standards and response to comments September 16, 2008–May 26, 2009.
8. Second posting of revised standards on July 10, 2009 with comment period closed on August 9, 2009.
9. RC SDT coordinated with OPCP SDT and RTO SDT on definitions relating to directives and three part communication and Draft Version 3 of standards and response to comments August 9–November 20, 2009.
10. Third posting of revised standards on January 4, 2010 with comment period closed on February 18, 2010.
11. Fourth posting of revised standards on January 25, 2011 with comment period closed on March 7, 2011.
12. Initial ballot conducted February 25 through March 7, 2011.
13. Draft version 5 of the standard and response to comments March 7, 2011 – January 9, 2012.
14. Fifth posting of revised standards on January 9, 2012 with comment period closed on February 9, 2012.
15. Successive ballot conducted January 30 through February 9, 2012.
16. Draft version 6 of the standard and response to comments February 9, 2012 – June 7, 2012.
17. Sixth posting of revised standard on June 7, 2012 with comment period closed on July 6, 2012.
18. Successive ballot conducted June 27 through July 6, 2012.
19. Revised version 6 of the standard and response to comments July 6, 2012 – September 5 2012.

20. Recirculation ballot conducted September 5 through September 14, 2012.

Proposed Action Plan and Description of Current Draft:

The SDT began working on revisions to the standards in August 2007. The current posting contain revisions based on stakeholder comments on the initial ballot. The team is posting for a successive ballot.

Future Development Plan:

<u>Anticipated Actions</u>	<u>Anticipated Date</u>
<u>1. Post standards for a successive ballot.</u>	<u>January-February 2012</u>
<u>2. Respond to comments on successive ballot.</u>	<u>March - April 2012</u>
<u>3. Standard posted for second successive ballot.</u>	<u>June 2012</u>
<u>4. Standard posted for recirculation ballot.</u>	<u>September 2012</u>
<u>5. Standard to be sent to BOT for approval.</u>	<u>November 2012</u>
<u>6. Standard filed with regulatory authorities.</u>	<u>January 2013</u>

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.

The RC SDT proposes the following new definitions:

Interpersonal Communication: Any medium that allows two or more individuals to interact, consult, or exchange information.

Alternative Interpersonal Communication: Any Interpersonal Communication that is able to serve as a substitute for, and does not utilize the same infrastructure (medium) as, Interpersonal Communication used for day-to-day operation.

A. Introduction

1. **Title:** Telecommunications Communications
2. **Number:** COM-001-~~1.12~~
3. **Purpose:** ~~Each Reliability Coordinator, Transmission Operator and Balancing Authority needs adequate and reliable telecommunications facilities internally and with others for the exchange of Interconnection and operating information~~ To establish Interpersonal Communication capabilities necessary to maintain reliability.
4. **Applicability:**
 - 4.1. Transmission ~~Operators~~. Operator
 - 4.2. Balancing ~~Authorities~~. Authority
 - 4.3. Reliability ~~Coordinators~~. Coordinator
 - ~~4.4. NERC Net User Organizations.~~
- ~~5. Effective Date: May 13, 2009~~
 - ~~4.4. Distribution Provider~~
 - ~~4.5. Generator Operator~~
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, Transmission Operator and Balancing Authority shall provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information:~~
- ~~R1.1. Internally.~~
- R1. ~~Between~~ shall have Interpersonal Communication capability with the following entities (unless the Reliability Coordinator ~~and its~~ detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply): *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
- ~~R1.2. All Transmission Operators and Balancing Authorities.~~
- ~~R1.3. With other Reliability Coordinators, Transmission Operators, and Balancing Authorities as necessary to maintain reliability.~~
- ~~R1.4. Where applicable, these facilities shall be redundant and diversely routed.~~
- 1.1. Each ~~within its~~ Reliability Coordinator, Transmission Operator, and Balancing Authority shall manage, alarm, test and/or actively monitor vital telecommunications facilities. Special attention shall be given to emergency telecommunications facilities and equipment not used for routine communications Area.

~~R3. Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate telecommunications among their respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas.~~

~~1.2. Unless agreed to otherwise, each~~ Each adjacent Reliability Coordinator within the same Interconnection.

~~R2. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use English as the language for all communications between and among operating personnel responsible for the real time shall designate an Alternative Interpersonal Communication capability with the following entities: [Violation Risk Factor: High] [Time Horizon: Real-time generation control and operation of the intereconnected Bulk Electric System: Operations]~~

~~R4.2.1. All Transmission Operators and Balancing Authorities may use an alternate language for internal operations.~~

~~Each within its Reliability Coordinator, Area.~~

~~2.2. Each adjacent Reliability Coordinator within the same Interconnection.~~

~~R3. Each Transmission Operator shall have Interpersonal Communication capability with the following entities (unless the Transmission Operator detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply): [Violation Risk Factor: High] [Time Horizon: Real-time Operations]~~

~~3.1. Its Reliability Coordinator.~~

~~3.2. Each Balancing Authority within its Transmission Operator Area.~~

~~3.3. Each Distribution Provider within its Transmission Operator Area.~~

~~3.4. Each Generator Operator within its Transmission Operator Area.~~

~~3.5. Each adjacent Transmission Operator, and synchronously connected.~~

~~3.6. Each adjacent Transmission Operator asynchronously connected.~~

~~R4. Each Transmission Operator shall designate an Alternative Interpersonal Communication capability with the following entities: [Violation Risk Factor: High] [Time Horizon: Real-time Operations]~~

~~4.1. Its Reliability Coordinator.~~

~~4.2. Each Balancing Authority within its Transmission Operator Area.~~

~~4.3. Each adjacent Transmission Operator synchronously connected.~~

~~4.4. Each adjacent Transmission Operator asynchronously connected.~~

~~R5. Each Balancing Authority shall have Interpersonal Communication capability with the following entities (unless the Balancing Authority detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply): [Violation Risk Factor: High] [Time Horizon: Real-time Operations]~~

~~5.1. Its Reliability Coordinator.~~

- 5.2. Each Transmission Operator that operates Facilities within its Balancing Authority Area.
- 5.1.5.3. Each Distribution Provider within its Balancing Authority ~~shall have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities~~ Area.
- 5.4. Each ~~NERCNet User Organization~~ Generator Operator that operates Facilities within its Balancing Authority Area.
- 5.5. Each Adjacent Balancing Authority.
- R6.** Each Balancing Authority shall ~~adhere to~~ designate an Alternative Interpersonal Communication capability with the requirements following entities: *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
- 6.1. Its Reliability Coordinator.
- 6.2. Each Transmission Operator that operates Facilities within its Balancing Authority Area.
- 6.3. Each Adjacent Balancing Authority.
- R7.** Each Distribution Provider shall have Interpersonal Communication capability with the following entities (unless the Distribution Provider detects a failure of its Interpersonal Communication capability in Attachment which case Requirement R11 shall apply): *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*
- 7.1-COM-001, “NERCNet Security Policy.”. Its Balancing Authority.
- 7.2. Its Transmission Operator.
- R8.** Each Generator Operator shall have Interpersonal Communication capability with the following entities (unless the Generator Operator detects a failure of its Interpersonal Communication capability in which case Requirement R11 shall apply): *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
- 8.1. Its Balancing Authority.
- 8.2. Its Transmission Operator.
- R9.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall test its Alternative Interpersonal Communication capability at least once each calendar month. If the test is unsuccessful, the responsible entity shall initiate action to repair or designate a replacement Alternative Interpersonal Communication capability within 2 hours. *[Violation Risk Factor: Medium][Time Horizon: Real-time Operations, Same-day Operations]*
- R10.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall notify entities as identified in Requirements R1, R3, and R5, respectively within 60 minutes of the detection of a failure of its Interpersonal Communication capability that lasts 30 minutes or longer. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*
- R11.** Each Distribution Provider and Generator Operator that detects a failure of its Interpersonal Communication capability shall consult each entity affected by the

failure, as identified in Requirement R7 for a Distribution Provider or Requirement R8 for a Generator Operator, to determine a mutually agreeable action for the restoration of its Interpersonal Communication capability. [Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]

C. Measures

~~M1.~~ M1. Each Reliability Coordinator, ~~Transmission Operator and Balancing Authority~~ shall have and provide upon request evidence that it has Interpersonal Communication capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with each adjacent Reliability Coordinator within the same Interconnection, which could include, but is not limited to ~~communication facility test procedure documents, records of testing, and maintenance records for communication facilities;~~

- physical assets, or equivalent that will be used to confirm that it manages, alarms, tests and/or actively monitors vital telecommunications facilities. (Requirement 2 part 4)
- The Reliability Coordinator, Transmission Operator or Balancing Authority shall have and provide upon request dated evidence that could include, but is not limited to, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings or, transcripts of voice recordings, or electronic communications, or equivalent, that will be used to determine compliance to Requirement 4. (R1.)

~~M1, M2.~~ M2. Each Reliability Coordinator, ~~Transmission Operator and Balancing Authority~~ shall ~~have and provide upon request its current operating instructions and procedures, either electronic or hard copy that will be used to confirm that it meets Requirement 5.~~ shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with each adjacent Reliability Coordinator within the same Interconnection, which could include, but is not limited to:

- The NERCnet User Organization shall have and provide upon request evidence that could include, but is not limited to documented procedures physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings or, transcripts of voice recordings, or electronic communications. (R2.)

M3. Each Transmission Operator shall have and provide upon request evidence that it has Interpersonal Communication capability with its Reliability Coordinator, each Balancing Authority, Distribution Provider, and Generator Operator within its Transmission Operator Area, and each adjacent Transmission Operator asynchronously or synchronously connected, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, electronic communications, eteor electronic communication. (R3.)

M4. Each Transmission Operator shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with its Reliability Coordinator, each Balancing Authority within its Transmission Operator Area, and each adjacent Transmission Operator asynchronously and synchronously connected, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R4.)

M5. Each Balancing Authority shall have and provide upon request evidence that it has Interpersonal Communication capability with its Reliability Coordinator, each Transmission Operator and Generator Operator that operates Facilities within its Balancing Authority Area, each Distribution Provider within its Balancing Authority Area, and each adjacent Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R5.)

M6. Each Balancing Authority shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with its Reliability Coordinator, each Transmission Operator that operates Facilities within its Balancing Authority Area, and each adjacent Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R6.)

M7. Each Distribution Provider shall have and provide upon request evidence ~~that will be used~~ it has Interpersonal Communication capability with its Transmission Operator and its Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R7.)

M8. Each Generator Operator shall have and provide upon request evidence that it has Interpersonal Communication capability with its Balancing Authority and its Transmission Operator, which could include, but is not limited ~~to determine if it adhered:~~

- physical assets, or

- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R8.)

~~M2.~~M9. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it tested, at least once each calendar month, its Alternative Interpersonal Communication capability designated in Requirements R2, R4, or R6. If the test was unsuccessful, the entity shall have and provide upon request evidence that it initiated action to the (User Accountability and Compliance)-requirements in Attachment 1-COM-001. (Requirement 6)repair or designated a replacement Alternative Interpersonal Communication capability within 2 hours. Evidence could include, but is not limited to: dated and time-stamped test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R9.)

M10. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it notified entities as identified in Requirements R1, R3, and R5, respectively within 60 minutes of the detection of a failure of its Interpersonal Communication capability that lasted 30 minutes or longer. Evidence could include, but is not limited to: dated and time-stamped test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R10.)

M11. Each Distribution Provider and Generator Operator that detected a failure of its Interpersonal Communication capability shall have and provide upon request evidence that it consulted with each entity affected by the failure, as identified in Requirement R7 for a Distribution Provider or Requirement R8 for a Generator Operator, to determine mutually agreeable action to restore the Interpersonal Communication capability. Evidence could include, but is not limited to: dated operator logs, voice recordings, transcripts of voice recordings, or electronic communications. (R11.)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance ~~Monitoring Responsibility~~Enforcement Authority

~~NERC shall be responsible for compliance monitoring of the Regional Reliability Organizations~~

~~Regional Reliability Organizations shall be responsible for compliance monitoring of all other entities~~

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 ~~Reset Time Frame~~Enforcement Processes

~~One or more of the following methods will be used to assess compliance:~~

~~–Self certification (Conducted annually with submission according to schedule.)~~

~~–Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)~~

- ~~–Periodic Audit (Conducted once every three years according to schedule.)~~
- ~~–Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 calendar days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)~~

~~The Performance Reset Period shall be 12 months from the last finding of non-compliance.~~

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.3. Data Retention

~~For Measure 1 each~~The Reliability Coordinator, Transmission Operator, Balancing Authority, Distribution Provider, and Generator Operator shall keep data or evidence ~~to show compliance for the previous two calendar years plus the current year 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:~~

- ~~• For Measure 2 each~~The Reliability Coordinator, Transmission Operator for Requirements R1, R2, R9, and Balancing Authority R10, Measures M1, M2, M9, and M10 shall keepretain written documentation for the most recent twelve calendar months and voice recordings for the most recent 90 calendar days ~~of historical data (evidence).~~
- ~~• For Measure 3, each Reliability Coordinator, The Transmission Operator, for~~Requirements R3, R4, R9, and R10, Measures M3, M4, M9, and M10 shall retain written documentation for the most recent twelve calendar months and voice recordings for the most recent 90 calendar days.
- ~~• The Balancing Authority shall have its current operating instructions and procedures to confirm that it meets Requirement 5.~~for Requirements R5, R6, R9, and R10, Measures M5, M6, M9, and M10 shall retain written documentation for the most recent twelve calendar months and voice recordings for the most recent 90 calendar days.
- ~~• For Measure 4, each~~The Distribution Provider for Requirements R7 and R11, Measures M7 and M11 shall retain written documentation for the most recent twelve calendar months and voice recordings for the most recent 90 calendar days.
- ~~• The Generator Operator for Requirements R8 and R11, Measures M8 and~~M11 shall retain written documentation for the most recent twelve calendar months and voice recordings for the most recent 90 calendar days.

~~If a Reliability Coordinator, Transmission Operator, Balancing Authority and NERCnet User Organization shall keep 90 days of historical data (evidence).~~

~~If an entity, Distribution Provider, or Generator Operator is found non-compliant the entity, it shall keep information related to the ~~noncompliance~~ non-compliance until ~~found compliant~~ mitigation is complete and approved or for ~~two years plus the current year~~ time specified above, whichever is longer.~~

~~Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor.~~

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

1.4. Additional Compliance Information

~~Attachment 1 — COM-001 — NERCnet Security Policy~~

~~2. Levels of Non-Compliance for Transmission Operator, Balancing Authority or Reliability Coordinator~~

~~2.1. Level 1: Not applicable.~~

~~2.2. Level 2: Not applicable.~~

~~2.3. Level 3: There shall be a separate Level 3 non-compliance, for every one of the following requirements that is in violation:~~

~~2.3.1 The Transmission Operator, Balancing Authority or Reliability Coordinator used a language other than English without agreement as specified in R4.~~

~~2.3.2 There are no written operating instructions and procedures to enable continued operation of the system during the loss of telecommunication facilities as specified in R5.~~

~~2.4. Level 4: Telecommunication systems are not actively monitored, tested, managed or alarmed as specified in R2.~~

~~3. Levels of Non-Compliance — NERCnet User Organization~~

~~3.1. Level 1: Not applicable.~~

~~3.2. Level 2: Not applicable.~~

~~3.3. Level 3: Not applicable.~~

~~3.4. Level 4: Did not adhere to the requirements in Attachment 1 COM-001, NERCnet Security Policy.~~

None.

2. Violation Severity Levels

R#	Lower_VSL	Moderate_VSL	High_VSL	Severe_VSL
<u>R1</u>	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator failed to have Interpersonal Communication capability with one of the entities listed in Requirement R1, Parts 1.1 or 1.2, except when the Reliability Coordinator detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>	<u>The Reliability Coordinator failed to have Interpersonal Communication capability with two or more of the entities listed in Requirement R1, Parts 1.1 or 1.2, except when the Reliability Coordinator detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>
<u>R2</u>	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator failed to designate Alternative Interpersonal Communication capability with one of the entities listed in Requirement R2, Parts 2.1 or 2.2.</u>	<u>The Reliability Coordinator failed to designate Alternative Interpersonal Communication capability with two or more of the entities listed in Requirement R2, Parts 2.1 or 2.2.</u>
<u>R3</u>	<u>N/A</u>	<u>N/A</u>	<u>The Transmission Operator failed to have Interpersonal Communication capability with one of the entities listed in Requirement R3, Parts 3.1, 3.2, 3.3, 3.4, 3.5, or 3.6, except when the Transmission Operator detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>	<u>The Transmission Operator failed to have Interpersonal Communication capability with two or more of the entities listed in Requirement R3, Parts 3.1, 3.2, 3.3, 3.4, 3.5, or 3.6, except when the Transmission Operator detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>
<u>R4</u>	<u>N/A</u>	<u>N/A</u>	<u>The Transmission Operator failed to designate Alternative Interpersonal Communication capability with one of the entities listed in Requirement R4, Parts 4.1, 4.2, 4.3, or 4.4.</u>	<u>The Transmission Operator failed to designate Alternative Interpersonal Communication capability with two or more of the entities listed in Requirement R4, Parts 4.1, 4.2, 4.3, or 4.4.</u>

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
<u>R5</u>	N/A	N/A	<u>The Balancing Authority failed to have Interpersonal Communication capability with one of the entities listed in Requirement R5, Parts 5.1, 5.2, 5.3, 5.4, or 5.5, except when the Balancing Authority detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>	<u>The Balancing Authority failed to have Interpersonal Communication capability with two or more of the entities listed in Requirement R5, Parts 5.1, 5.2, 5.3, 5.4, or 5.5, except when the Balancing Authority detected a failure of its Interpersonal Communication capability in accordance with Requirement R10.</u>
<u>R6</u>	N/A	N/A	<u>The Balancing Authority failed to designate Alternative Interpersonal Communication capability with one of the entities listed in Requirement R6, Parts 6.1, 6.2, or 6.3.</u>	<u>The Balancing Authority failed to designate Alternative Interpersonal Communication capability with two or more of the entities listed in Requirement R6, Parts 6.1, 6.2, or 6.3.</u>
<u>R7</u>	N/A	N/A	<u>The Distribution Provider failed to have Interpersonal Communication capability with one of the entities listed in Requirement R7, Parts 7.1 or 7.2, except when the Distribution Provider detected a failure of its Interpersonal Communication capability in accordance with Requirement R11.</u>	<u>The Distribution Provider failed to have Interpersonal Communication capability with two or more of the entities listed in Requirement R7, Parts 7.1 or 7.2, except when the Distribution Provider detected a failure of its Interpersonal Communication capability in accordance with Requirement R11.</u>

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
<u>R8</u>	N/A	N/A	<u>The Generator Operator failed to have Interpersonal Communication capability with one of the entities listed in Requirement R8, Parts 8.1 or 8.2, except when a Generator Operator detected a failure of its Interpersonal Communication capability in accordance with Requirement R11.</u>	<u>The Generator Operator failed to have Interpersonal Communication capability with two or more of the entities listed in Requirement R8, Parts 8.1 or 8.2, except when a Generator Operator detected a failure of its Interpersonal Communication capability in accordance with Requirement R11.</u>
<u>R9</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority tested the Alternative Interpersonal Communication capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communication in more than 2 hours and less than or equal to 4 hours upon an unsuccessful test.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority tested the Alternative Interpersonal Communication capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communication in more than 4 hours and less than or equal to 6 hours upon an unsuccessful test.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority tested the Alternative Interpersonal Communication capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communication in more than 6 hours and less than or equal to 8 hours upon an unsuccessful test.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority failed to test the Alternative Interpersonal Communication capability once each calendar month.</u> <u>OR</u> <u>The Reliability Coordinator, Transmission Operator, or Balancing Authority tested the Alternative Interpersonal Communication capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communication in more than 8 hours upon an unsuccessful test.</u>
<u>R10</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority failed to notify the entities identified in Requirements R1, R3, and R5, respectively upon the detection of a failure of its Interpersonal Communication capability in more than 60 minutes but less than or equal to 70 minutes.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority failed to notify the entities identified in Requirements R1, R3, and R5, respectively upon the detection of a failure of its Interpersonal Communication capability in more than 70 minutes but less than or equal to 80 minutes.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority failed to notify the entities identified in Requirements R1, R3, and R5, respectively upon the detection of a failure of its Interpersonal Communication capability in more than 80 minutes but less than or equal to 90 minutes.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority failed to notify the entities identified in Requirements R1, R3, and R5, respectively upon the detection of a failure of its Interpersonal Communication capability in more than 90 minutes.</u>

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
<u>R11</u>	N/A	N/A	N/A	<p><u>The Distribution Provider or Generator Operator that detected a failure of its Interpersonal Communication capability failed to consult with each entity affected by the failure, as identified in Requirement R7 for a Distribution Provider or Requirement R8 for a Generator Operator, to determine a mutually agreeable action for the restoration of the Interpersonal Communication capability.</u></p>

E. Regional Differences

None ~~Identified~~identified.

F. Associated Documents

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
<u>1</u>	<u>April 4, 2007</u>	<u>Regulatory Approval — Effective Date</u>	<u>New</u>
1	April 6, 2007	Requirement 1, added the word “for” between “facilities” and “the exchange.”	Errata
<u>1.12</u>	<u>October 29, 2008</u> <u>TBD</u>	<u>BOT adopted errata changes; updated version number to “1.1”</u> <u>Revised in accordance with SAR for Project 2006-06, Reliability Coordination (RC SDT). Replaced R1 with R1-R8; R2 replaced by R9; R3 included within new R1; R4 remains enforce pending Project 2007-02; R5 redundant with EOP-008-0, retiring R5 as redundant with EOP-008-0, R1; retiring R6, relates to ERO procedures; R10 & R11, new.</u>	<u>Errata</u> <u>Revised</u>

Attachment 1 — COM-001 — NERCnet Security Policy

Policy Statement

The purpose of this NERCnet Security Policy is to establish responsibilities and minimum requirements for the protection of information assets, computer systems and facilities of NERC and other users of the NERC frame relay network known as “NERCnet.” The goal of this policy is to prevent misuse and loss of assets.

For the purpose of this document, information assets shall be defined as processed or unprocessed data using the NERCnet Telecommunications Facilities including network documentation. This policy shall also apply as appropriate to employees and agents of other corporations or organizations that may be directly or indirectly granted access to information associated with NERCnet.

The objectives of the NERCnet Security Policy are:

- To ensure that NERCnet information assets are adequately protected on a cost-effective basis and to a level that allows NERC to fulfill its mission.
- To establish connectivity guidelines for a minimum level of security for the network.
- To provide a mandate to all Users of NERCnet to properly handle and protect the information that they have access to in order for NERC to be able to properly conduct its business and provide services to its customers.

NERC’s Security Mission Statement

NERC recognizes its dependency on data, information, and the computer systems used to facilitate effective operation of its business and fulfillment of its mission. NERC also recognizes the value of the information maintained and provided to its members and others authorized to have access to NERCnet. It is, therefore, essential that this data, information, and computer systems, and the manual and technical infrastructure that supports it, are secure from destruction, corruption, unauthorized access, and accidental or deliberate breach of confidentiality.

Implementation and Responsibilities

— This section identifies the various roles and responsibilities related to the protection of NERCnet resources.

NERCnet User Organizations

Users of NERCnet who have received authorization from NERC to access the NERC network are considered users of NERCnet resources. To be granted access, users shall complete a User Application Form and submit this form to the NERC Telecommunications Manager.

Responsibilities

It is the responsibility of NERCnet User Organizations to:

- Use NERCnet facilities for NERC-authorized business purposes only.
- Comply with the NERCnet security policies, standards, and guidelines, as well as any procedures specified by the data owner.
- Prevent unauthorized disclosure of the data.
- Report security exposures, misuse, or non-compliance situations via Reliability Coordinator Information System or the NERC Telecommunications Manager.
- Protect the confidentiality of all user IDs and passwords.
- Maintain the data they own.
- Maintain documentation identifying the users who are granted access to NERCnet data or applications.
- Authorize users within their organizations to access NERCnet data and applications.

- ~~Advise staff on NERCnet Security Policy.~~
- ~~Ensure that all NERCnet users understand their obligation to protect these assets.~~
- ~~Conduct self assessments for compliance.~~

User Accountability and Compliance

~~All users of NERCnet shall be familiar and ensure compliance with the policies in this document.~~

~~Violations of the NERCnet Security Policy shall include, but not be limited to any act that:~~

- ~~Exposes NERC or any user of NERCnet to actual or potential monetary loss through the compromise of data security or damage.~~
- ~~Involves the disclosure of trade secrets, intellectual property, confidential information or the unauthorized use of data:
Involves the use of data for illicit purposes, which may include violation of any law, regulation or reporting requirement of any law enforcement or government body.~~