

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.

Proposed Action Plan and Description of Current Draft:

The SDT began working on revisions to the standards in August 2007. The current posting contains revisions based on stakeholder comments on the first draft. The team is seeking comments on the revised standards.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Second Posting of draft standards,	July-August 2009
2. Respond to comments on second posting	August 2009
3. Post Standards for pre-ballot period.	September 2009
4. Standards posted for initial and recirculation ballots.	October 2009
5. Standards sent to BOT for approval.	December 2009
6. Standards filed with regulatory authorities.	January 2010

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.

None

A. Introduction

1. **Title:** **Communication and Coordination**
2. **Number:** COM-002-3
3. **Purpose:** To ensure emergency communications between operating personnel are effective.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - 4.4. Generator Operators.
 - 4.5. Transmission Service Providers.
 - 4.6. Load-Serving Entities.
 - 4.7. Distribution Providers.
 - 4.8. Purchasing-Selling Entities.
5. **Effective Date:** The first day of the first calendar quarter following applicable regulatory approval – or in those jurisdictions where no regulatory approval is required, the first day of the first calendar quarter following Board of Trustees adoption.

B. Requirements

- R1.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issues a verbal directive associated with real-time operational emergency conditions shall require the recipient of the verbal directive to repeat the intent of the directive back; and shall acknowledge the response as correct or repeat the original statement to resolve any misunderstandings. *[Violation Risk Factor: High][Time Horizon: Real-Time]*
- R2.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity that is the recipient of a verbal directive issued per Requirement R1, shall repeat the intent of the directive back to the issuer of the directive. *[Violation Risk Factor: High][Time Horizon: Real-Time]*

C. Measures

- M1.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issues a verbal directive associated with real-time operational emergency conditions shall have evidence such as voice recordings or transcripts of voice recordings to show that it required the recipient of the verbal directive to repeat the intent of the directive back; and acknowledged the response as correct or repeated the original statement to resolve any misunderstandings.
- M2.** Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity that is the recipient of a verbal directive issued per Requirement R1 shall have evidence such as voice recordings or transcripts of voice recordings to show that it repeated the intent of the directive back to the issuer of the directive.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity.

1.2. Compliance Monitoring and Reset Time Frame

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. Data Retention

The Balancing Authority, Transmission Operator and Generator Operator shall keep evidence as identified below to show compliance 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, Transmission Operator, and Balancing Authority shall retain evidence of Requirement 1, Measure 1 for the most recent 12 months.
- The Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity shall retain evidence of Requirement 2, Measure 2 for the most recent 12 months.

If an entity is found non-compliant, it shall keep information related to the noncompliance until found compliant. 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:

Requirement	Lower	Moderate	High	Severe
R1	N/A	The responsible entity issued a verbal directive associated with real-time operating emergency conditions and required the recipient to repeat the intent of the directive, but did not acknowledge the recipient was correct in the repeated directive OR failed to repeat the intent of the original statement to resolve any misunderstandings.	The responsible entity issued a verbal directive associated with real-time operating emergency conditions, but did not require the recipient to repeat the intent of the directive.	The responsible entity issued a verbal directive associated with real-time operating emergency conditions and required the recipient to repeat the intent of the directive, but did not acknowledge the recipient was correct in the repeated directive AND failed to repeat the intent of the original statement to resolve any misunderstandings.
R2	N/A	N/A	N/A	The responsible entity that is the recipient of a verbal directive issued per Requirement R1 failed to repeat the intent of the directive back to the issuer of the directive.

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		Added measures and compliance elements	Revision
2	TBD	Retired R1, R1.1, M1, M2 and updated the compliance monitoring information	Revision