

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. Draft Version 3 of standards and response to comments August 9–September 25, 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 second draft. The team is seeking comments on the revised standards.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on third posting	March 2010
2. Post Standards for pre-ballot period.	April 2010
3. Standards posted for initial and recirculation ballots.	May 2010
4. Standards sent to BOT for approval.	July 2010
5. Standards filed with regulatory authorities.	September 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.

Reliability Directive: A communication initiated by a Reliability Coordinator, Transmission Operator or Balancing Authority where action by the recipient is necessary to address an actual or expected Emergency.

As a reference, we have included the existing definition of Emergency:

Emergency: Any abnormal system condition that requires automatic or immediate manual action to prevent or limit the failure of transmission facilities or generation supply that could adversely affect the reliability of the Bulk Electric System.

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.** When a Reliability Coordinator, Transmission Operator or Balancing Authority requires actions to be executed as a Reliability Directive, the Reliability Coordinator, Transmission Operator or Balancing Authority shall identify the action as a Reliability Directive to the recipient. *[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 Reliability Directive issued per Requirement R1, shall repeat the intent of the Reliability Directive back to the issuer of the Reliability Directive. *[Violation Risk Factor: High][Time Horizon: Real-Time]*
- R3.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority that identifies an action as a Reliability Directive shall acknowledge the response from the recipient of the Reliability Directive in R2 as correct or reissue the Reliability Directive to resolve any misunderstandings. *[Violation Risk Factor: High][Time Horizon: Real-Time]*

C. Measures

- M1.** When a Reliability Coordinator, Transmission Operator or Balancing Authority required actions to be executed as a Reliability Directive, the Reliability Coordinator, Transmission Operator or Balancing Authority shall have evidence which could include, but is not limited to, voice recordings, transcripts of voice recordings or operator logs to show that it identified the action as a Reliability Directive to the recipient. (R1)
- 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 Reliability Directive issued per Requirement R1 shall have evidence which could include, but is not limited to, such as voice recordings or

transcripts of voice recordings, or operator logs to show that it repeated the intent of the Reliability Directive back to the issuer of the Reliability Directive. (R2)

- M3.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority that identified an action as a Directive shall have evidence which could include, but is not limited to, such as voice recordings or transcripts of voice recordings or operator logs to show that it acknowledged the response from the recipient of the Reliability Directive in R2 as correct or reissued the Reliability Directive to resolve any misunderstandings. (R3)

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 Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity shall each 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 and Requirement 3, Measure 3 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	N/A	N/A	The responsible entity that required actions to be executed as a Reliability Directive failed to identify the action as a Reliability Directive to the recipient.
R2	N/A	N/A	N/A	The responsible entity that was the recipient of a Reliability Directive failed to repeat the intent of the Reliability Directive.
R3	N/A	N/A	<p>The responsible entity issued a Reliability Directive, but did not acknowledge that the recipient repeated the intent of the Reliability Directive correctly</p> <p>OR</p> <p>The responsible entity issued a Reliability Directive and failed to reissue the Reliability Directive to resolve any misunderstandings when the intent of the Reliability Directive was not repeated correctly by the recipient.</p>	The responsible entity issued a Reliability Directive, but did not acknowledge the recipient repeated the Reliability Directive correctly AND failed to reissue the Reliability Directive to resolve any misunderstandings

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