

## A. Introduction

1. **Title:** ~~Procedures, Processes, or Plans to Support~~ Coordination  
~~Between~~Among Reliability Coordinators
2. **Number:** IRO-014-~~12~~
3. **Purpose:** To ensure that each Reliability Coordinator's operations are coordinated such that they will not have an Adverse Reliability Impact on other Reliability Coordinator Areas and to preserve the reliability benefits of interconnected operations.
4. **Applicability:**
  - 4.1. Reliability Coordinators.
5. **Effective Date:** ~~November 1, 2006~~TBD

## B. Requirements

- ~~R1.~~—The Reliability Coordinator shall have Operating Procedures, Processes, or Plans ~~in place~~ for activities that require notification, exchange of information or coordination of actions with ~~one or more other~~impacted Reliability Coordinators to support Interconnection reliability. These Operating Procedures, Processes, or Plans shall ~~address Scenarios that affect other Reliability Coordinator Areas as well as those developed in coordination with other Reliability Coordinators.~~
- ~~R1.~~ ~~These Operating Procedures, Processes, or Plans shall~~ collectively address, as a minimum, the following: [Violation Risk Factor: Medium] [Time Horizon: Same Day Operations and Operations Planning]
- R1.1.** Communications and notifications, including the mutually agreed to conditions<sup>+</sup> under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators.
  - R1.2.** Energy and capacity shortages.
  - R1.3.** Planned or unplanned outage information.
  - R1.4.** Voltage control, including the coordination of reactive resources for voltage control.
  - R1.5.** Coordination of information exchange to support reliability assessments.
  - R1.6.** Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas.

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<sup>+</sup>~~Examples of conditions when one Reliability Coordinator may need to notify another Reliability Coordinator may include (but aren't limited to) sabotage events, Interconnection Reliability Operating Limit violations, voltage reductions, insufficient resources, arming of special protection systems, etc.~~

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**R2.** Each Reliability Coordinator’s Operating Procedure, Process, or Plan that requires one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) shall be: *[Violation Risk Factor: Lower] [Time Horizon: Real-time Operations and Operations Planning]*

**R2.1.** Agreed to by all the Reliability Coordinators required to take the indicated action(s).

**R2.2.** Distributed to all Reliability Coordinators that are required to take the indicated action(s).

~~**R3.A** Reliability Coordinator’s Operating Procedures, Processes, or Plans developed to support a Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan shall include:~~

~~**R3.1.**A reference to the associated Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan.~~

~~**R3.2.**The agreed-upon actions from the associated Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan.~~

~~**R4.**Each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO-014 Requirement 1 and Requirement 3 shall:~~

~~**R4.1.**Include version control number or date.~~

~~**R4.2.**Include a distribution list.~~

~~**R4.3.**Be reviewed, at least once every three years, and updated if needed.~~

**R3.** The Reliability Coordinator shall make notifications and exchange reliability-related information with impacted Reliability Coordinators using its predefined Operating Procedures, Processes, or Plans for conditions that may impact other Reliability Coordinator Areas or other means to accomplish the notifications and exchange of reliability-related information. [Violation Risk Factor: Medium][Time Horizon: Real-time Operations and Operations Planning]

**R4.** The Reliability Coordinator shall participate in agreed upon conference calls and other communication forums with impacted Reliability Coordinators. [Violation Risk Factor: Lower][Time Horizon: Real-time Operations]

**R4.1.** The frequency of these conference calls shall be agreed upon by all involved Reliability Coordinators and shall be at least weekly.

**R5.** When an expected or actual reliability issue is detected, the Reliability Coordinator shall confirm the existence of the issue with the

The RC SDT proposes retiring R3 and R4 and their subrequirements. Requirements R3 and R4 are administrative in nature describing the contents of the plans and should not be in a standard. The RC SDT proposes converting R3 and R4 and their subrequirements into a guideline document for use in developing the operating procedures, processes or plans.

The RC SDT moved R3 and R4 from IRO-015-1 into this standard.

The RC SDT moved R5 and R6 from IRO-016-1 into this standard.

impacted Reliability Coordinators. In the event that the issue cannot be confirmed, each Reliability Coordinator shall operate as though the problem exists. [Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same Day Operations and Real-time Operations]

- R6.** When an expected or actual reliability issue exists and the impacted Reliability Coordinators cannot agree on a mitigation plan, all impacted Reliability Coordinators shall implement the mitigation plan developed by the Reliability Coordinator who has the reliability issue. [Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same Day Operations and Real-time Operations]

When the RC SDT moved IRO-016-1 R1.3 into IRO-014-2 R6, the RC SDT replaced the phrase, "most conservative solution" because it cannot be measured. The RC SDT is proposing to use the mitigation plan of the RC that is experiencing the issue in cases where an agreed to mitigation plan can not be developed.

### **C. Measures**

- M1.** The Reliability Coordinator's System Operators shall have available for Real-time use, the latest approved version of Operating Procedures, Processes, or Plans that require notifications, information exchange or the coordination of actions among impacted Reliability Coordinators.
- M1.1** These Operating Procedures, Processes, or Plans shall address:
- M1.1.1** Communications and notifications, including the mutually agreed to conditions under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators.
  - M1.1.2** Energy and capacity shortages.
  - M1.1.3** Planned or unplanned outage information.
  - M1.1.4** Voltage control, including the coordination of reactive resources for voltage control.
  - M1.1.5** Coordination of information exchange to support reliability assessments.
  - M1.1.6** Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas.
- M2.** The Reliability Coordinator shall have evidence that the Operating Procedures, Processes, or Plans that require one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) were:
- M2.1** Agreed to by all the Reliability Coordinators required to take the indicated action(s).

**M2.2** Distributed to all Reliability Coordinators that are required to take the indicated action(s).

~~R5. A Reliability Coordinator's Operating Procedures, Processes, or Plans developed to support a Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan shall include:~~

~~R5.1. A reference to the associated Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan.~~

~~R5.2. The agreed-upon actions from the associated Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan.~~

~~R6. Each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO-014 Requirement 1 and Requirement 3 shall:~~

~~R6.1. Include version control number or date.~~

~~R6.2. Include a distribution list.~~

~~R6.3. Be reviewed, at least once every three years, and updated if needed.~~

### **C. Measures**

~~M2. The Reliability Coordinator's System Operators shall have available for Real-time use, the latest approved version of Operating Procedures, Processes, or Plans that require notifications, information exchange or the coordination of actions between Reliability Coordinators.~~

~~M2.1 These Operating Procedures, Processes, or Plans shall address:~~

~~M2.1.1 Communications and notifications, including the conditions under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators.~~

~~M1.1.2 Energy and capacity shortages.~~

~~M1.1.3 Planned or unplanned outage information.~~

~~M1.1.4 Voltage control, including the coordination of reactive resources for voltage control.~~

~~M1.1.5 Coordination of information exchange to support reliability assessments.~~

~~M1.1.6 Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas.~~

~~M3. The Reliability Coordinator shall have evidence that these Operating Procedures, Processes, or Plans were:~~

~~M3.1 Agreed to by all the Reliability Coordinators required to take the indicated action(s).~~

- ~~M3.2~~— Distributed to all Reliability Coordinators that are required to take the indicated action(s).
- ~~M4.~~ The Reliability Coordinator’s Operating Procedures, Processes, or Plans developed (for its System Operators’ internal use) to support a Reliability Coordinator to Reliability Coordinator Operating Procedure, Process, or Plan received from another Reliability Coordinator shall:
- ~~M4.1~~— Be available to the Reliability Coordinator’s System Operators for Real-time use,
- ~~M4.2~~— Include a reference to the associated source document, and
- ~~M4.3~~— Support the agreed-upon actions from the source document.
- ~~M5.~~ The Reliability Coordinator’s Operating Procedures, Processes, or Plans that addresses Reliability Coordinator to Reliability Coordinator coordination shall each include a version control number or date and a distribution list. The Reliability Coordinator shall have evidence that these Operating Procedures, Processes, or Plans were reviewed within the last three years.
- ~~M3.~~ The Reliability Coordinator shall have evidence it made notifications and exchanged reliability-related information with impacted Reliability Coordinators using its predefined Operating Procedures, Processes, or Plans for conditions that may impact other Reliability Coordinator Areas or other means to accomplish the notifications and exchange of reliability-related information.
- ~~M4.~~ The Reliability Coordinator shall have evidence it participated in agreed upon (at least weekly) conference calls and other communication forums with impacted Reliability Coordinators.
- ~~M5.~~ The Reliability Coordinator shall have evidence that, in cases when an expected or actual reliability issue was detected, it has confirmed the existence of the issue with the impacted Reliability Coordinators.
- ~~M6.~~ The affected Reliability Coordinators shall have evidence that, in cases when an expected or actual reliability issue existed and the impacted Reliability Coordinators could not agree on a mitigation plan, they implemented the mitigation plan developed by the Reliability Coordinator who has the reliability issue.

## D. Compliance

### 1. Compliance Monitoring Process

#### ~~1.1.~~ **Compliance ~~Monitoring~~ Responsibility**

##### 1.1. Enforcement Authority

Regional ~~Reliability Organization~~Entity

##### 1.2. **Compliance Monitoring Period and Reset Time Frame**

~~The Performance Reset Period shall be one calendar year.~~

Not Applicable

**1.3. Compliance Monitoring and Enforcement Processes:**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

**1.4. Data Retention**

The Reliability Coordinator shall keep documentation for the prior calendar year and the current calendar year. ~~The Compliance Monitor shall keep or evidence to show compliance data~~ as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a minimum of three years or until the Reliability Coordinator has achieved full compliance, whichever is longer period of time as part of an investigation.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

**1.5. Additional Compliance Information**

~~The Reliability Coordinator shall demonstrate compliance through self-certification submitted to its Compliance Monitor annually. The Compliance Monitor shall also use a scheduled on-site review at least once every three years and investigations upon complaint. The Compliance Monitor shall conduct an investigation upon a complaint within 30 days of the alleged infraction's discovery date. The Compliance Monitor shall complete the investigation within 45 days after the start of the investigation. As part of an audit or investigation, the Compliance Monitor shall interview other Reliability Coordinators to identify Operating Procedures, Processes or Plans that were distributed to the Reliability Coordinator being audited to verify that these documents are available for Real-time use by the receiving Reliability Coordinator's System Operators.~~

~~The Reliability Coordinator shall have the following documents available for inspection during an on-site audit or within five business days of a request as part of an investigation upon a complaint:~~

~~1.4.1 The latest version of its Operating Procedures, Processes, or Plans that require notification, exchange of information, or coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability.~~

~~1.4.2 Evidence of distribution of Operating Procedures, Processes, or Plans.~~

**~~2. Levels of Non-Compliance~~**

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~~2.1. Level 1: There shall be a level one non-compliance if either of the following conditions is present:~~

~~2.1.1 The latest versions of Operating Procedures, Processes, or Plans (identified through self-certification) that require notification, exchange of information, or coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability do not include a version control number or date, and a distribution list.~~

~~2.1.2 The latest versions of Reliability Coordinator internal documents developed to support action(s) required as a result of other Reliability Coordinators do not include both a reference to the source Operating Procedure, Process, or Plan and the agreed-upon actions from the source Operating Procedure, Process, or Plan.~~

~~2.2. Level 2: There shall be a level two non-compliance if any of the following conditions is present:~~

~~2.2.1 Documents required by this standard were not distributed to all entities on the distribution list.~~

~~2.2.2 Documents required by this standard were not available for System Operators' Real-time use.~~

~~2.2.3 Documents required by this standard do not address all required topics.~~

~~2.3. Level 3: Documents required by this standard do not address any of the six required topics in Reliability Standard IRO-014 R1.~~

~~2.4. Level 4: Not Applicable.~~

**E. Regional Differences**

~~None Identified.~~

None.

**2. Violation Severity Levels**

<u>R#</u>	<u>Lower VSL</u>	<u>Moderate VSL</u>	<u>High VSL</u>	<u>Severe VSL</u>

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<p>R1</p>	<p><u>The Reliability Coordinator has Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with impacted Reliability Coordinators to support Interconnection reliability but failed to address one or two of the subrequirements.</u></p>	<p><u>The Reliability Coordinator has Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with impacted Reliability Coordinators to support Interconnection reliability but failed to address three or four of the subrequirements.</u></p>	<p><u>The Reliability Coordinator has Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with impacted Reliability Coordinators to support Interconnection reliability but failed to address five of the subrequirements.</u></p>	<p><u>The Reliability Coordinator failed to have Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with impacted Reliability Coordinators to support Interconnection reliability.</u></p>
<p>R2</p>	<p><u>N/A</u></p>	<p><u>The Reliability Coordinator failed to have evidence that the Operating Procedures, Processes, or Plans that require one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) were distributed to all Reliability Coordinators that are required to take action.</u></p>	<p><u>The Reliability Coordinator failed to have evidence that the Operating Procedures, Processes, or Plans that require one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) were not agreed to by all Reliability Coordinators that are required to take action</u></p>	<p><u>The Reliability Coordinator failed to have evidence that the Operating Procedures, Processes, or Plans that require one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) were not agreed to by all Reliability Coordinators that are required to take action and were not distributed to all Reliability Coordinators that are required to take action</u></p>



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R3	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator failed to make notifications or exchange reliability-related information with impacted Reliability Coordinators.</u>	<u>The Reliability Coordinator failed to make notifications and exchange reliability-related information with impacted Reliability Coordinators.</u>
R4	<u>The Reliability Coordinator failed to participate in agreed upon (at least weekly) conference calls and other communication forums with impacted Reliability Coordinators.</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>
R5	<u>The Reliability Coordinator that detected an expected or actual reliability issue contacted the other Reliability Coordinator(s) to confirm that there was a problem but could not confirm that the problem existed and failed to operate as though the problem existed.</u>	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator that detected an expected or actual reliability issue failed to contact the other Reliability Coordinator(s) to confirm that there was a problem.</u>

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R6	<p><u>The Reliability Coordinator did not agree on a mitigation plan and implemented a plan other than the one developed by the Reliability Coordinator who had the reliability issue.</u></p>	N/A	N/A	<p><u>The Reliability Coordinator did not agree on a mitigation plan and did not implement a mitigation plan.</u></p>
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**E. Regional Differences**

None identified.

**F. Associated Documents**

**Version History**

Version	Date	Action	Change Tracking
<del>Version</del> 1	<del>08/August 10</del> , <u>2005</u>	1. Changed incorrect use of certain hyphens (-) to “en dash (–).” 2. Hyphenated “30-day” when used as adjective. 3. Changed standard header to be consistent with standard “Title.” 4. Initial capped heading “Definitions of Terms Used in Standard.” 5. Added “periods” to items where appropriate. 6. Changed “Timeframe” to “Time Frame” in item D, 1.2. 7. Lower cased all words that are not “defined” terms — drafting team, self-certification. 8. Changed apostrophes to “smart” symbols. 9. Added comma in all word strings “Procedures, Processes, or Plans,” etc. 10. Added hyphens to “Reliability Coordinator-to-Reliability Coordinator” where used as adjective. 11. Removed comma in item 2.1.2. 12. Removed extra spaces between words where appropriate.	<del>01/January 20</del> , <u>2006</u>
<u>1</u>	<u>February 7, 2006</u>	<u>Approved by BOT</u>	<u>Revised</u>
<u>1</u>	<u>April 4, 2007</u>	<u>Regulatory Approval — Effective Date</u>	<u>New</u>
<u>2</u>	<u>TBD</u>	<u>Revised per SAR for Project 2006-6, RCSDT</u>	<u>Revised</u>

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