

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. The Standards Committee approved the SAR for posting on July 12, 2007.
2. The SAR was posted for industry comment from July 17, 2007 through August 15, 2007.
3. Reply comments and a revised SAR were posted for a second industry comment period from January 2, 2008 through January 31, 2008.
4. Standards Committee approved moving the project into the standards development phase on April 10, 2008.
5. The Standards Committee appointed the Standard Drafting Team on June 13, 2008.

Proposed Action Plan and Description of Current Draft:

This is the first posting of the proposed standard and its associated implementation plan for a 45 day comment period, from October 21, 2009 to December 4, 2009.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on the first draft of the proposed standard, revise standard and post for a 30 day comment period	February 1, 2010
2. Respond to comments on the second draft of the proposed standard	May 1, 2010
3. Obtain the Standards Committee's approval to move the standard forward to balloting.	June, 2010
4. Post the standard and implementation plan for a 30-day pre-ballot review.	July 1, 2010
5. Conduct an initial ballot for ten days.	August 1, 2010
6. Respond to comments submitted with the initial ballot.	September 15, 2010
7. Conduct a recirculation ballot for ten days.	September 16, 2010
8. BOT adoption.	November. 2010

A. Introduction

1. **Title:** **Operating Personnel Credentials**
2. **Number:** **PER-003-1**
3. **Purpose:** To ensure that System Operators performing the reliability-related tasks of the Reliability Coordinator, Balancing Authority or Transmission Operator have demonstrated competency through the Certification Process when filling a real-time operating position responsible for control of the Bulk Electric System.
4. **Applicability:**
 - 4.1. Reliability Coordinator
 - 4.2. Transmission Operator
 - 4.3. Balancing Authority
5. **Effective Date:**
 - 5.1. In those jurisdictions where regulatory approval is required, this standard shall become effective the first calendar day of the first calendar quarter six months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, this standard shall become effective the first calendar day of the first calendar quarter six months after Board of Trustees adoption.

B. Requirements

- R1. Each Reliability Coordinator shall staff its real-time operating positions with System Operators who have demonstrated minimum competency in the areas listed to obtain and maintain a valid NERC Reliability Operator certificate: *[Risk Factor: High][Time Horizon: Real-time Operations]*
 - 1.1. Areas of Competency
 - 1.1.1. Resource and Demand Balancing
 - 1.1.2. Transmission Operations
 - 1.1.3. Emergency Preparedness and Operations
 - 1.1.4. System Operations
 - 1.1.5. Protection and Control
 - 1.1.6. Voltage and Reactive
 - 1.1.7. Interchange Scheduling and Coordination
 - 1.1.8. Interconnection Reliability Operations and Coordination
- R2. Each Transmission Operator shall staff its real-time operating positions with System Operators who have demonstrated minimum competency in the areas listed to obtain and maintain one of the following valid NERC certificates: *[Risk Factor: High][Time Horizon: Real-time Operations]*:
 - 2.1. Areas of Competency

- 2.1.1. Transmission Operations
- 2.1.2. Emergency Preparedness and Operations
- 2.1.3. System Operations
- 2.1.4. Protection and Control
- 2.1.5. Voltage and Reactive

2.2. Certificates

- Reliability Operator
- Balancing, Interchange and Transmission Operator
- Transmission Operator

R3. Each Balancing Authority shall staff its real-time operating positions with System Operators who have demonstrated minimum competency in the areas listed to obtain and maintain one of the following valid NERC certificates: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]:

3.1. Areas of Competency

- 3.1.1. Resources and Demand Balancing
- 3.1.2. Emergency Preparedness and Operations
- 3.1.3. System Operations
- 3.1.4. Interchange Scheduling and Coordination

3.2. Certificates

- Reliability Operator
- Balancing, Interchange and Transmission Operator
- Balancing and Interchange Operator

C. Measures

M1. Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have the following evidence to show that it staffed its real-time operating positions with System Operators that have an appropriate, valid NERC certificate (R1, R2, R3):

- M1.1** A list of real-time operating positions.
- M1.2** A list of real-time operating personnel assigned to its real-time operating positions.
- M1.3** A copy of each of its real-time operating personnel's NERC certificate.
- M1.4** Work schedules, work logs, or other equivalent evidence showing which real-time operating personnel were assigned to work in real-time operating positions.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Authority

For Reliability Coordinators and other functional entities that work for their Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

For entities that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.

1.2. Compliance Monitoring Period and Reset

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

Each Reliability Coordinator, Transmission Operator and Balancing Authority shall keep data or evidence to show compliance for three years or since its last compliance audit, whichever time frame is the greatest, unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Reliability Coordinator, Transmission Operator or Balancing Authority is found non-compliant, it shall keep information related to the non-compliance until found compliant.

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

1.5. Additional Compliance Information

None.

2.0 Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1				The Reliability Coordinator failed to staff each real-time operating position with an individual having a valid NERC certificate as defined in Requirement R1.
R2				The Transmission Operator failed to staff each real-time operating position with an individual having a valid NERC certificate as defined in

Standard PER-003-1 — Operating Personnel Credentials Standard

				Requirement R2, Part 2.2.
R3				The Balancing Authority failed to staff each real-time operating position with an individual having a valid NERC certificate as defined in Requirement R3, Part 3.2.

E. Regional Variances

None.

F. Associated Documents

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1		Complete revision under Project 2007-04	Revision