

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 3, 2010.
11. Initial Ballot conducted February 25 through March 7, 2011.

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 initial ballot. The team is posting for a successive ballot.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Post Standards for a successive ballot.	January-February 2012
2. Respond to comments on Successive ballot	March - April 2012
3. Standards posted for recirculation ballot	May 2012

4. Standards to be sent to BOT for approval.	June 2012
5. Standards filed with regulatory authorities.	August 2012

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.

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 Communications used for day-to-day operation.

A. Introduction

1. **Title:** **Communications**
2. **Number:** COM-001-2
3. **Purpose:** To establish Interpersonal Communication capabilities for the exchange of Interconnection and operating information necessary to maintain reliability.
4. **Applicability:**
 - 4.1. Transmission Operator
 - 4.2. Balancing Authority
 - 4.3. Reliability Coordinator
 - 4.4. Distribution Provider
 - 4.5. Generator Operator
5. **Effective Date:** The first day of the second 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 shall have Interpersonal Communications capability with the following entities: *[Violation Risk Factor: High][Time Horizon: Real-time Operations]*
 - R1.1.** All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
 - R1.2.** Adjacent Reliability Coordinators within the same Interconnection.
- R2.** Each Reliability Coordinator shall designate an Alternative Interpersonal Communications capability with the following entities: *[Violation Risk Factor: High][Time Horizon: Real-time Operations]*
 - R2.1.** All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
 - R2.2.** Adjacent Reliability Coordinators within the same Interconnection.
- R3.** Each Transmission Operator shall have Interpersonal Communications capability with the following entities: *[Violation Risk Factor: High][Time Horizon: Real-time Operations]*
 - R3.1.** Its Reliability Coordinator.
 - R3.2.** Each Balancing Authority within its Transmission Operator Area.
 - R3.3.** Each Distribution Provider within its Transmission Operator Area.
 - R3.4.** Each Generator Operator within its Transmission Operator Area.
 - R3.5.** Adjacent Transmission Operators synchronously connected within the same Interconnection.

- R4.** Each Transmission Operator shall designate an Alternative Interpersonal Communications capability with the following entities: [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations*]
- R4.1.** Its Reliability Coordinator.
 - R4.2.** Each Balancing Authority within its Transmission Operator Area.
 - R4.3.** Adjacent Transmission Operators synchronously connected within the same Interconnection.
- R5.** Each Balancing Authority shall have Interpersonal Communications capability with the following entities: [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations*]
- R5.1.** Its Reliability Coordinator.
 - R5.2.** Each Transmission Operator that operates Facilities within its Balancing Authority Area.
 - R5.3.** Each Distribution Provider within its Balancing Authority Area.
 - R5.4.** Each Generator Operator that operates Facilities within its Balancing Authority Area.
 - R5.5.** Adjacent Balancing Authorities.
- R6.** Each Balancing Authority shall designate an Alternative Interpersonal Communications capability with the following entities: [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations*]
- R6.1.** Its Reliability Coordinator.
 - R6.2.** Each Transmission Operator that operates Facilities within its Balancing Authority Area).
 - R6.3.** Adjacent Balancing Authorities.
- R7.** Each Distribution Provider shall have Interpersonal Communications capability with the following entities: [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations*]
- R7.1.** Its Transmission Operator.
 - R7.2.** Its Balancing Authority.
- R8.** Each Generator Operator shall have Interpersonal Communications capability with the following entities: [*Violation Risk Factor: High*][*Time Horizon: Real-time Operations*]
- R8.1.** Its Balancing Authority.
 - R8.2.** Its Transmission Operator.
- R9.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall test its Alternative Interpersonal Communications capability at least once per calendar month. If the test is unsuccessful, the responsible entity shall initiate action to repair or

designate a replacement Alternative Interpersonal Communications capability within 2 hours. *[Violation Risk Factor: Medium][Time Horizon: Real-time Operations]*

R10. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall notify entities as identified in Requirements R1 through R6 within 60 minutes of the detection of a failure of its Interpersonal Communications capabilities that lasts 30 minutes or longer. *[Violation Risk Factor: Medium][Time Horizon: Real-time Operations]*

R11. Each Distribution Provider and Generator Operator that experiences a failure of any of its Interpersonal Communication capabilities shall consult with their Transmission Operator or Balancing Authority as applicable to determine a mutually agreeable time for the restoration of Interpersonal Communication capability. *[Violation Risk Factor: Medium][Time Horizon: Real-time Operations]*

C. Measures

M1. Each Reliability Coordinator shall have and provide upon request evidence that it has Interpersonal Communications capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with adjacent Reliability Coordinators within the same Interconnection. Evidence could include, but is not limited to:

- physical assets
- dated equipment specifications and installation documentation
- dated test records
- dated operator logs
- dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
- electronic communications
- or equivalent evidence. (R1.)

M2. Each Reliability Coordinator shall have and provide upon request evidence that it designated an Alternative Interpersonal Communications capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with adjacent Reliability Coordinators within the same Interconnection. Evidence could include, but is not limited to

- physical assets
- dated equipment specifications and installation documentation
- dated test records
- dated operator logs
- dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
- electronic communications

- or equivalent evidence. (R2.)
- M3.** Each Transmission Operator shall have and provide upon request evidence that it has Interpersonal Communications capability with its Reliability Coordinator, and within its Transmission Operator Area each Balancing Authority, Distribution Provider and Generator Operator. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs
 - dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings,
 - electronic communications
 - or equivalent evidence. (R3.)
- M4.** Each Transmission Operator shall have and provide upon request evidence that it designated an Alternative Interpersonal Communications capability with its Reliability Coordinator and with each Balancing Authority within its Transmission Operator Area and adjacent Transmission Operators synchronously connected within the same Interconnection. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs
 - dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
 - electronic communications
 - or equivalent evidence. (R4.)
- M5.** Each Balancing Authority shall have and provide upon request evidence that it has Interpersonal Communications capability with its Reliability Coordinator, each Transmission Operator that operates Facilities within its Balancing Authority Area, each Distribution Provider within its Balancing Authority Area, each Generator Operator that operates Facilities within its Balancing Authority Area, and each adjacent Balancing Authority. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs

- dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
 - electronic communications
 - or equivalent evidence . (R5)
- M6.** Each Balancing Authority shall have and provide upon request evidence that it designated an Alternative Interpersonal Communications capability with its Reliability Coordinator, each Transmission Operator that operates Facilities within its Balancing Authority Area, and adjacent Balancing Authorities. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs
 - dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
 - electronic communications
 - or equivalent evidence (R6)
- M7.** Each Distribution Provider shall have and provide upon request evidence that that it has Interpersonal Communications capability with its Transmission Operator and its Balancing Authority. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs
 - dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
 - electronic communications
 - or equivalent evidence (R7)
- M8.** Each Generator Operator shall have and provide upon request evidence that that it has Interpersonal Communications capability with its Balancing Authority and its Transmission Operator. Evidence could include, but is not limited to
- physical assets
 - dated equipment specifications and installation documentation
 - dated test records
 - dated operator logs

- dated and time-stamped voice recordings or dated and time-stamped transcripts of voice recordings
 - electronic communications
 - or equivalent evidence (R8)
- M9.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it tested, at least on a monthly basis, its Alternative Interpersonal Communications capabilities designated in R2, R4 or R6. If the test was unsuccessful, the entity shall have and provide upon request evidence that it initiated action to repair or designated a replacement Alternative Interpersonal Communications capability within 2 hours. Evidence could include, but is not limited to dated test records, dated operator logs, dated voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent evidence. (R9.)
- M10.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it notified impacted entities within 60 minutes of the detection of a failure of its Interpersonal Communications capabilities that lasted 30 minutes or longer. Evidence could include, but is not limited to dated operator logs, dated voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent evidence. (R10.)
- M11.** Each Distribution Provider and Generator Operator shall have and provide upon request evidence that it consulted with their Transmission Operator or Balancing Authority as applicable to determine a mutually agreeable time to restore the Interpersonal Communication capability. Evidence could include, but is not limited to dated operator logs, dated voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent evidence. (R11.)

M12.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

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

For Reliability Coordinators that work for their Regional Entity, the ERO or a Regional Entity approved by the ERO and FERC or other applicable governmental authorities shall serve as the Compliance Enforcement Authority.

1.2. Compliance Monitoring and Enforcement Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Violation Investigation

Self-Reporting

Complaint

1.3. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

The Reliability Coordinator, Transmission Operator, Balancing Authority, Distribution Provider and Generator Operator shall keep data or evidence to show compliance 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:

- Each Reliability Coordinator shall keep the most recent twelve months of historical data (evidence) for Requirements R1, R2, R9 and R10, Measures M1, M2, M9, and M10.
- Each Transmission Operator shall keep the most recent twelve months of historical data (evidence) for Requirements R3, R4, R9 and R10, Measures M3, M4, M9 and M10.
- Each Balancing Authority shall keep the most recent twelve months of historical data (evidence) for Requirements R5, R6, R9, and R10, Measures M5, M6, M9, and M10.
- Each Distribution Provider shall keep the most recent twelve months of historical data (evidence) for Requirements R7 and R11, Measures M7 and M11.
- Each Generator Operator shall keep the most recent twelve months of historical data (evidence) for Requirements R8 and R11, Measures M8 and M11.

If a Reliability Coordinator, Transmission Operator, Balancing Authority, Distribution Provider or Generator Operator is found non-compliant with a requirement, it shall keep information related to the noncompliance until the Compliance Enforcement Authority finds it compliant or for the time period specified above, whichever is longer.

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

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	N/A	N/A	The Reliability Coordinator failed to have Interpersonal Communications capability with one or more of the entities listed in Parts 1.1 or 1.2.
R2	N/A	N/A	N/A	The Reliability Coordinator failed to designate Alternative Interpersonal Communications capability with one or more of the entities listed in Parts 2.1 or 2.2.
R3	N/A	N/A	N/A	The Transmission Operator failed to have Interpersonal Communications capability with one or more of the entities listed in Parts 3.1, 3.2, 3.3, 3.4, or 3.5.
R4	N/A	N/A	N/A	The Transmission Operator failed to designate Alternative Interpersonal Communications capability with one or more of the entities listed in Parts 4.1 or 4.2.
R5	N/A	N/A	N/A	The Balancing Authority failed to have Interpersonal Communications capability with one or more of the entities listed in Parts 5.1, 5.2, 5.3, 5.4 or 5.5.
R6	N/A	N/A	N/A	The Balancing Authority failed to designate Alternative Interpersonal Communications capability with one or more of the entities listed in Parts

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
				6.1, 6.2 or 6.3.
R7	N/A	N/A	N/A	The Distribution Provider failed to have Interpersonal Communications capability with one or more of the entities listed in Parts 7.1 or 7.2.
R8	N/A	N/A	N/A	The Generator Operator failed to have Interpersonal Communications capability with one or more of the entities listed in Parts 8.1 or 8.2.
R9	The responsible entity tested the Alternative Interpersonal Communications capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communications in more than 2 hours and less than or equal to 4 hours.	The responsible entity tested the Alternative Interpersonal Communications capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communications in more than 4 hours and less than or equal to 6 hours.	The responsible entity tested the Alternative Interpersonal Communications capability but failed to initiate action to repair or designate a replacement Alternative Interpersonal Communications in more than 6 hours and less than or equal to 8 hours.	The responsible entity failed to test the Alternative Interpersonal Communications capability on at least a monthly basis. OR The responsible entity tested the Alternative Interpersonal Communications capability and identified a problem but didn't initiate action to repair or designate a replacement Alternative Interpersonal Communications in more than 8 hours.
R10	The responsible entity failed to notify the impacted entities in more than 60 minutes but less than or equal to 70 minutes.	The responsible entity failed to notify the impacted entities in more than 70 minutes but less than or equal to 80 minutes. OR The responsible entity notified at least one, but not all, impacted entities of the failure of its	The responsible entity failed to notify the impacted entities in more than 80 minutes but less than or equal to 90 minutes.	The responsible entity failed to notify the impacted entities in more than 90 minutes. OR The responsible entity failed to notify any impacted entities of the failure of its Interpersonal Communications capabilities.

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Interpersonal Communications capabilities within 60 minutes.		
R11	N/A	N/A	N/A	The responsible entity failed to consult with their Transmission Operator or Balancing Authority as applicable to determine a mutually agreeable time to restore the Interpersonal Communication capability.

E. Regional Differences

None 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
1	April 4, 2007	Regulatory Approval — Effective Date	New
1	April 6, 2007	Requirement 1, added the word “for” between “facilities” and “the exchange.”	Errata
2	TBD	Revised per SAR for Project 2006-06, RC SDT	Revised