

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
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 ~~third draft~~initial ballot. The team is posting for a ~~30 day pre-successive~~ ballot ~~review~~.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on third posting <u>Post Standards for a successive ballot.</u>	March 2010 <u>January-February 2012</u>
2. Post Standards for pre- <u>Respond to comments on Successive</u> ballot period.	January 2011 <u>March - April 2012</u>
3. Standards posted for initial and recirculation ballots <u>ballot</u>	February 2011 <u>May 2012</u>
4. Standards <u>to be</u> sent to BOT for approval.	March 2010 <u>June 2012</u>
5. Standards filed with regulatory authorities.	June 2011 <u>August 2012</u>

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 or Adverse Reliability Impact.

As a reference, we have included the existing definition of Emergency and the BOT approved definition of Adverse Reliability Impact¹:

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.

¹ This definition was approved by the NERC Board of Trustees on August 4, 2011. Filing with regulatory authorities is pending.

Adverse Reliability Impact: The impact of an event that results in Bulk Electric System instability or Cascading.

A. Introduction

1. **Title:** Communication and Coordination
2. **Number:** COM-002-3
3. **Purpose:** To ensure ~~emergency~~Emergency communications between operating personnel are effective.
4. **Applicability**
 - 4.1. Reliability ~~Coordinators~~Coordinator
 - 4.2. Balancing ~~Authorities~~Authority
 - 4.3. Transmission ~~Operators~~Operator
 - 4.4. Generator ~~Operators~~Operator
 - ~~4.5. Transmission Service Providers.~~
 - ~~4.6. Load Serving Entities.~~
 - ~~4.7~~4.5. ~~_____~~ Distribution ~~Providers~~Provider
 - ~~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 Balancing Authority, Transmission Operator, Generator Operator, ~~Transmission Service Provider, Load Serving Entity, and~~ Distribution Provider, ~~and Purchasing Selling Entity~~ that is the recipient of a Reliability Directive ~~issued per Requirement R1~~, shall repeat, restate, rephrase or recapitulate the Reliability Directive ~~with enough details that the accuracy of the message has been confirmed~~. *[Violation Risk Factor: High][Time Horizon: Real-Time]*
- R3. Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issues a Reliability Directive shall ~~state or respond that the response from the recipient of the Reliability Directive as per Requirement R2 as correct or reissue the Reliability Directive to resolve any misunderstandings either~~ *[Violation Risk Factor: High][Time Horizon: Real-Time]*:
 - ~~_____~~ Confirm that the response from the recipient of the Reliability Directive (in accordance with Requirement R2) was accurate, or
 - ~~_____~~ Reissue the Reliability Directive to resolve any misunderstandings.

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~~to show that it identified the action

~~as a Reliability Directive to the recipient. Such evidence~~ could include, but is not limited to, dated and time-stamped voice recordings, ~~dated and time-stamped transcripts of voice recordings or dated operator logs to show that it identified the action as a Reliability Directive to the recipient.~~ (R1)

M2. Each Balancing Authority, Transmission Operator, Generator Operator, ~~Transmission Service Provider, Load Serving Entity, and~~ Distribution Provider, ~~and Purchasing-Selling Entity~~ that ~~is~~was the recipient of a Reliability Directive ~~issued per Requirement R1~~ shall have evidence ~~which to show that the recipient repeated the Reliability Directive to the issuer of the Reliability Directive. Such evidence~~ could include, but is not limited to, dated and time-stamped -voice recordings or transcripts of voice recordings, or dated operator logs ~~to show that it repeated the intent of the Reliability Directive to the issuer of the Reliability Directive.~~ (R2)

M3. Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issued a Reliability Directive shall have evidence ~~which that the issuer either confirmed that the response from the recipient of the Reliability Directive was accurate or reissued the Reliability Directive to resolve any misunderstandings. Such evidence~~ could include, but is not limited to, such as dated and time-stamped voice recordings, or dated and time-stamped transcripts of voice recordings or dated operator logs to show ~~that it stated or responded that the response from the recipient of the Reliability Directive per Requirement R2 was 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~~

~~The Regional Entity is the Compliance Enforcement Authority except where the responsible works for the Regional Entity. Where the responsible entity works for the Regional Entity, the Regional Entity will establish an agreement with the ERO or another entity approved by the ERO and FERC (i.e. another Regional Entity), to be responsible for compliance enforcement.~~

~~Regional Entity~~

1.2. Compliance Monitoring and Enforcement Processes

Compliance Audit

~~Self-Certifications~~Certification

Spot Checking

Compliance Violation ~~Investigations~~Investigation

Self-Reporting

~~Complaints~~

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, Balancing Authority, Transmission Operator, Generator Operator, ~~Transmission Service Provider, Load Serving Entity, and~~ 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 ~~1R1~~, Measure ~~1M1~~ and Requirement ~~3R3~~, Measure ~~3M3~~ for the most recent 3 months.
- The Balancing Authority, Transmission Operator, Generator Operator, ~~Transmission Service Provider, Load Serving Entity, and~~ Distribution Provider, ~~and Purchasing Selling Entity~~ shall retain evidence of Requirement ~~2R2~~, Measure ~~2M2~~ for the most recent 3 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, restate, rephrase or recapitulate the Reliability Directive with enough details that the accuracy of the message was confirmed.
R3	N/A	N/A	N/A	The responsible entity issued a Reliability Directive, but did not state or respond that the recipient repeated the intent of the Reliability Directive correctly <u>accurately</u> . OR 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 <u>accurately</u> by the recipient.

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