

A. Introduction

1. **Title:** Communication and Coordination
2. **Number:** COM-002-~~2~~3
3. **Purpose:** To ensure Balancing Authorities, Transmission Operators, and Generator Operators have adequate communications and that these communications capabilities are staffed and available for addressing a real-time emergency condition. To ensure communications by operating personnel are effective.
4. **Applicability**
 - 4.1. Reliability Coordinators.
 - 4.2. Balancing Authorities.
 - 4.3. Transmission Operators.
 - ~~4.4. Generator Operators.~~
5. **Effective Date:** ~~TBD~~ To be determined. June 4, 2007

Revisions to this standard were included in both this project (2006-06) and the Operations Communications Protocols Project (2007-02).

B. Requirements

~~**R1.** Each Transmission Operator, Balancing Authority, and Generator Operator shall have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. Such communications shall be staffed and available for addressing a real-time emergency condition.~~

The RC SDT contends that COM-002-1, R1 and its subrequirements are low level facilitating requirements that are more appropriately and inherently monitored under various higher level performance-based reliability requirements for each entity throughout the body of standards and recommends their retirement.

~~**R1.1**— Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding is anticipated.~~

~~**R2-R1.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall issue directives in a clear, concise, and definitive manner; shall ensure the recipient of the directive repeats the information back correctly; and shall acknowledge the response as correct or repeat the original statement to resolve any misunderstandings. [Violation Risk Factor: High][Time Horizon: Real-Time]~~

The Operations Communications Protocols SDT is addressing R2 (now R1). They plan to modify the requirement and place the modified requirement in a new standard, COM-003-1. Requirement R2 (now R1) will remain in place until COM-003-1 is approved.

C. Measures

~~**M1.** Each Transmission Operator, Balancing Authority and Generator Operator shall have communication facilities (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators and shall have and provide as evidence, a list of communication facilities or other equivalent evidence that confirms that the communications have been provided to address a real-time emergency condition. (Requirement 1, part 1)~~

~~M2. The Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to determine if it notified its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators of a condition that could threaten the reliability of its area or when firm load shedding was anticipated. (Requirement 1.1)~~

M3.M1. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have evidence such as voice recordings or transcripts of voice recordings to show that it issued directives in a clear, concise, and definitive manner; ensured the recipient of the directive repeated the information back correctly; and acknowledged the response as correct or repeated the original statement to resolve any misunderstanding~~complied with Requirement R3.~~

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance ~~Monitoring Responsibility~~Enforcement Authority

~~Regional Reliability Organizations shall be responsible for compliance monitoring~~Regional Entity.

1.2. Compliance Monitoring and Reset Time Frame

Not applicable.

~~One or more of the following methods will be used to assess compliance:~~

- ~~–Self certification (Conducted annually with submission according to schedule.)~~
- ~~–Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)~~
- ~~–Periodic Audit (Conducted once every three years according to schedule.)~~
- ~~–Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)~~

~~The Performance Reset Period shall be 12 months from the last finding of non-compliance.~~

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. Data Retention

~~Each Balancing Authority, Transmission Operator and Generator Operator shall keep evidence of compliance for the previous two calendar years plus the current year. (Measure 1)~~

~~The Balancing Authority, Transmission Operator and Generator Operator shall 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.~~

Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall retain evidence for Requirement 3, Measure 3 for 90 calendar days.

~~Each Balancing Authority and Transmission Operator shall keep 90 days of historical data. (Measure 2).~~

If an entity is found non-compliant, it ~~the entity~~ shall keep information related to the noncompliance until found compliant,

~~or for two years plus the current year, whichever is longer.~~

~~Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor.~~

The Compliance ~~Monitor~~ Enforcement Authority shall keep the last ~~periodic~~ audit ~~report~~ records and all requested and submitted subsequent ~~compliance~~ audit records.

1.4. Additional Compliance Information

None.

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2. Violation Severity Levels:

Requirement	Lower	Moderate	High	Severe
	N/A	The responsible entity did not have data links with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators.	The responsible entity did not staff the communications (voice and data links) on a 24 hour basis.	The responsible entity failed to have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators.
R1.1	N/A	N/A	The responsible entity failed to notify all other potentially affected Balancing Authorities and Transmission Operators through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding is anticipated.	The responsible entity failed to notify its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding is anticipated.
R2 <u>R1</u>	N/A	The responsible entity provided a clear directive in a clear, concise and definitive manner and required the recipient to repeat the directive, but did not acknowledge the recipient was correct in the repeated directive.	The responsible entity provided a clear directive in a clear, concise and definitive manner, but did not require the recipient to repeat the directive.	The responsible entity failed to provide a clear directive in a clear, concise and definitive manner when required.

- ~~2.1.Level 1: Not applicable.~~
- ~~2.2.Level 2: Not applicable.~~
- ~~2.3.Level 3: Not applicable.~~
- ~~2.4.Level 4: Communication did not occur as specified in R1.1.~~

3.Levels of Non-Compliance for Generator Operator:

- ~~3.1.Level 1: Not applicable.~~
- ~~3.2.Level 2: Not applicable.~~
- ~~3.3.Level 3: Not applicable.~~
- ~~3.4.2.1. Level 4: Communication facilities are not provided to address a real-time emergency condition as specified in R1.~~

E. Regional DifferencesVariances

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
<u>1</u>		<u>Added measures and compliance elements</u>	<u>Revision</u>
<u>2</u>		<u>Retired R1, R1.12, M1, M2 and updated the compliance monitoring information</u>	<u>Revision</u>