

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.
12. Draft version 5 of the standard and response to comments March 7, 2011 – January 9, 2012.
13. Fifth posting of revised standards on January 9, 2012 with comment period closed on February 9, 2012.
14. Successive ballot conducted January 30 through February 9, 2011.
15. Draft version 6 of the standard and response to comments February 9, 2011 – June 5, 2012.
16. Recirculation ballot conducted June 27 through July 6, 2012.

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

Future Development Plan:

<u>Anticipated Actions</u>	<u>Anticipated Date</u>
<u>1. Post standards for a successive ballot.</u>	<u>January-February 2012</u>
<u>2. Respond to comments on successive ballot</u>	<u>March - April 2012</u>
<u>3. Standards posted for recirculation ballot</u>	<u>June 2012</u>
<u>4. Standards to be sent to BOT for approval.</u>	<u>August 2012</u>
<u>5. Standards filed with regulatory authorities.</u>	<u>October 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.

The RC SDT proposes the following new definition:

Reliability Directive: A communication initiated by a Reliability Coordinator, Transmission Operator, or Balancing Authority where action by the recipient is necessary to address an Emergency or Adverse Reliability Impact.

This defined term is contained in draft COM-002-3 and IRO-001-3.

As a reference, we have included the existing definition of Emergency and the BOT approved definition of Adverse Reliability Impact:¹

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.

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

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

A. Introduction

1. **Title:** Communication and Coordination

2. **Number:** COM-002-~~23~~

3. **Purpose:** To ensure ~~Balancing Authorities, Transmission Operators, and Generator Operators have adequate~~Emergency communications ~~and that these communications capabilities are staffed and available for addressing a real-time emergency condition.~~ ~~To ensure communications by~~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

~~5. **Effective Date:** January 1, 2007~~

~~4.5. Distribution Provider~~

~~5. **Effective Date:** The first day of the second calendar quarter beyond the date that this standard is approved by applicable regulatory authorities, or in those jurisdictions where regulatory approval is not required, the standard becomes effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.~~

B. Requirements

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

~~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~~Directive, 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 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, and Distribution Provider that is the recipient of a Reliability Directive shall repeat, restate, rephrase, or recapitulate the Reliability Directive. [Violation Risk Factor: High][Time Horizon: Real-Time]

R3. Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issues a Reliability Directive shall 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 a misunderstanding.

C. Measures

M1. ~~Each~~ When a Reliability Coordinator, Transmission Operator, or Balancing Authority ~~and~~ required actions to be executed as a Reliability Directive, the Reliability Coordinator, Transmission Operator, or Balancing Authority shall have evidence 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, time-stamped transcripts of voice recordings, or dated operator logs. (R1.)

~~M1.M2.~~ Each Balancing Authority, Transmission Operator, Generator Operator ~~shall have~~ communication facilities (voice, and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators ~~and~~ Distribution Provider that was the recipient of a Reliability Directive 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) ~~evidence to show that the recipient repeated, restated, rephrased, or recapitulated 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. (R2.)~~

~~M2.M3.~~ The Balancing Authority ~~and~~ Each Reliability Coordinator, Transmission Operator, ~~and~~ Balancing Authority that issued a Reliability Directive shall have ~~and provide upon request~~ evidence that the issuer either confirmed that the response from the recipient of the Reliability Directive was accurate or reissued the Reliability Directive to resolve a misunderstanding. Such evidence could include, but is not limited to, ~~operator logs, such as~~ dated and time-stamped voice recordings, or dated and time-stamped 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)~~ or dated operator logs to show. (R3.)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance ~~Monitoring Responsibility~~ Enforcement Authority

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

The Regional Entity shall serve as the Compliance Enforcement Authority (CEA) unless the applicable entity is owned, operated, or controlled by the Regional Entity. In such cases, the ERO or a Regional Entity approved by FERC or other applicable governmental authority shall serve as the CEA.

1.2. Compliance Monitoring and ~~Reset Time Frame~~ Enforcement Processes

~~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 Audit

Self-Certification

Spot Checking

Compliance 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.

Each Reliability Coordinator, Balancing Authority, Transmission Operator and Generator Operator, and Distribution Provider shall keep ~~evidence of compliance for the previous two calendar years plus the current year. (Measure 1)~~ 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 Balancing Authority and The Reliability Coordinator, Transmission Operator shall keep 90 days of historical data. (, and Balancing Authority shall retain evidence of Requirement R1 and R3, Measure M1 and M3 for the most recent 3 calendar months.
- The Balancing Authority, Transmission Operator, Generator Operator, and Distribution Provider shall retain evidence of Requirement R2, Measure 2)-M2 for the most recent 3 calendar months.

If an entity is a Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Distribution Provider is found non-compliant the entity, it shall keep information related to the none compliance non-compliance until found compliant mitigation is complete and approved or for two years plus the current year time specified above, 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.

~~2. Levels of Non-Compliance for Transmission Operator and Balancing Authority:~~

~~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. Level 4: Communication facilities are not provided to address a real-time emergency condition as specified in R1.~~

2. Violation Severity Levels:

<u>R#</u>	<u>Lower</u>	<u>Moderate</u>	<u>High</u>	<u>Severe</u>
<u>R1</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority that required actions to be executed as a Reliability Directive failed to identify the action as a Reliability Directive to the recipient.</u>
<u>R2</u>	<u>N/A</u>	<u>N/A</u>	<u>N/A</u>	<u>The Transmission Operator, Generator Operator, or Distribution Provider that was the recipient of a Reliability Directive failed to repeat, restate, rephrase, or recapitulate the Reliability Directive.</u>
<u>R3</u>	<u>N/A</u>	<u>N/A</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority issued a Reliability Directive, but did not confirm that the response from the recipient of the Reliability Directive (in accordance with Requirement R2) was accurate.</u>	<u>The Reliability Coordinator, Transmission Operator, or Balancing Authority issued a Reliability Directive and failed to reissue the Reliability Directive to resolve a misunderstanding when the recipient did not repeat the Reliability Directive accurately.</u>

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
1	February 7, 2006	Adopted by Board of Trustees <u>Added measures and compliance elements</u>	Revised <u>Revision</u>
2	November 1, 2006 <u>TBD</u>	Adopted by Board of Trustees <u>Revised in accordance with SAR for Project 2006-06, Reliability Coordination (RC SDT). Retired R1, R1.1, M1, M2 and updated the compliance monitoring information. Replaced R2 with new R1, R2 and R3.</u>	Revised <u>Revision</u>