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 2of 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. RCSDT 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.

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 second draft. The team is seeking comments on the revised standards.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on third posting	March 2010
2. Post Standards for pre-ballot period.	April 2010
3. Standards posted for initial and recirculation ballots.	May 2010
4. Standards sent to BOT for approval.	July 2010
5. Standards filed with regulatory authorities.	September 2010

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 modifying the following approved definition:

Adverse Reliability Impact – The impact of an event that results in Bulk Electric System ~~frequency-related~~ instability; ~~unplanned tripping of load or generation; or~~ uncontrolled separation or C~~c~~ascading~~.~~ ~~outages that affects a widespread area of the Interconnection~~.

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.

This defined term is contained in draft COM-002-2 and IRO-001-2.

As a reference, we have included the existing definition of Emergency:

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.

A. Introduction

1. **Title:** **Reliability Coordination – Responsibilities and Authorities**

2. **Number:** IRO-001-2

3. **Purpose:** To establish requirements for issuance of and compliance~~ying~~ with Reliability Coordinator Reliability D~~d~~irectives or notification within the Reliability Coordinator Areas.

4. **Applicability**

   4.1. Reliability Coordinators.

   4.2. Transmission Operators.

   4.3. Balancing Authorities.

   4.4. Generator Operators.

   4.5. Transmission Service Providers.

   4.6. Load-Serving Entities.

   4.7. Distribution Providers.

   4.8. Purchasing-Selling Entities.

5. **Effective Date:** In those jurisdictions where regulatory approval is required, this standard shall become effective on the first day of the first calendar quarter after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, this standard shall become effective on the first day of the first calendar quarter after Board of Trustees approval.

B. Requirements

R1. Each Reliability Coordinator shall act or issue Reliability Directives for ~~direct~~ actions to be taken by Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, Distribution Providers and Purchasing-Selling Entities within its Reliability Coordinator Area to prevent or mitigate the magnitude or duration of events that result in Adverse Reliability Impacts. *[Violation Risk Factor: High][Time Horizon: Real-time Operations and Same Day Operations]*

R2. Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity shall comply with its Reliability Coordinator's Reliability D~~d~~irectives unless such actions would violate safety, equipment, or regulatory or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations and Same Day Operations]*

R3. Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider, and Purchasing-Selling Entity shall inform its Reliability Coordinator upon recognition of its inability to perform an issued Reliability D~~d~~irective. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations and Same Day Operations]*

R4. Each Reliability Coordinator that identifies an expected or actual threat with Adverse Reliability Impacts, within its Reliability Coordinator Area shall notify all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area. *[Violation Risk Factor: High] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*

R5. Each Reliability Coordinator that identifies an expected or actual threat with Adverse Reliability Impacts, within its Reliability Coordinator Area shall notify all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area when the transmission problem has been mitigated. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*

R6. Each Reliability Coordinator shall provide its Operating Personnel with the authority to veto planned outages to its own analysis tools. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*

C. Measures

M1. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it has acted, or issued Reliability D~~d~~irective(s), to prevent or mitigate the magnitude or duration of Adverse Reliability Impacts within its Reliability Coordinator Area. (R1)

M2. Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider and Purchasing-Selling Entity shall have and provide evidence which may include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it complied with its Reliability Coordinator's Reliability D~~d~~irective(s) unless such actions would have violated safety, equipment, or regulatory or statutory requirements. (R2)

M3. Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Distribution Provider or Purchasing-Selling Entity shall have and provide evidence which may include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it that it informed the Reliability Coordinator of its inability to comply with its Reliability Coordinator's issued Reliability D~~d~~irective(s). (R3)

M4. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it notified all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area when it identified a real or potential threat with Adverse Reliability Impacts, within its Reliability Coordinator Area. (R4)

M5. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it notified all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area when a real or potential threat with Adverse Reliability Impacts within its Reliability Coordinator Area had been mitigated. (R5)

M6. Each Reliability Coordinator shall have and provide upon request evidence that could include, but is not limited to, a documented procedure or equivalent evidence that will be used to confirm that the Reliability Coordinator has provided its Operating Personnel with the authority to veto planned outages of its own analysis tools. (R6)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

Regional Entity

1.2. Compliance Monitoring and Enforcement Processes:

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. Data Retention

The Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Distribution Provider, Transmission Service Provider, Purchasing-Selling Entity or Load Serving Entity 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:

- The Reliability Coordinator, Transmission Operator, Balancing Authority, Generator operator, Distribution Provider, Transmission Service Provider, Purchasing-Selling Entity or Load Serving Entity shall retain its current, in force document and any documents in force since the last compliance audit for applicable~~all~~ Requirements and Measures.
- If a Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Distribution Provider, Transmission Service Provider, Purchasing-Selling Entity or Load Serving Entity 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 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	The Reliability Coordinator failed to act or issue Reliability Directive(s) for actions to be taken to prevent Adverse Reliability Impacts.~~N/A~~	The Reliability Coordinator failed to act or issue Reliability D~~d~~irective(s) for actions to be taken to ~~prevent or~~ mitigate the magnitude or duration of Adverse Reliability Impacts.
R2	N/A	N/A	N/A	The responsible entity did not follow the Reliability Coordinator's Reliability D~~d~~irective. ~~per requirement 2.~~
R3	N/A	N/A	N/A	The responsible entity failed to inform ~~the~~ its Reliability Coordinator upon recognition of the inability to perform the issued Reliability D~~d~~irective.
R4	The Reliability Coordinator who identified an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to one, but not all, impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area.	The Reliability Coordinator who identified an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to two, but not all, impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area.	The Reliability Coordinator who identified an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to three ~~or more~~, but not all, impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area.	The Reliability Coordinator who identified an expected or actual threat with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to any or more than three~~all~~ impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area.

Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
R5	The Reliability Coordinator failed to notify one, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.	The Reliability Coordinator failed to notify two, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.	The Reliability Coordinator failed to notify three ~~or more~~, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.	The Reliability Coordinator failed to notify any or more than three ~~all~~ impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.
R6	N/A	N/A	N/A	The Reliability Coordinator failed to provide its Operating Personnel with the authority to veto planned outages of its own analysis tools.

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	November 1, 2006	Adopted by Board of Trustees	Revised
1	April 4, 2007	Approved by FERC — Effective Date	New
2	TBD	Revised per SAR for project 2006-6, reliability Coordination; added VRFs and VSLs as approved from VRF and VSL projects	Revised