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. 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. Fourth posting of revised standards for a comment period with an initial ballot from January 18, 2011 through March 7, 2011.

Proposed Action Plan and Description of Current Draft:

This is the third draft of this standard posted for a recirculation ballot. The standards that did not receive comments in the initial ballot will move forward for a recirculation ballot; standards needing significant revision will move forward to another comment period and a successive ballot. IRO-005-4 did not have any significant changes following the initial ballot and is being posted for a recirculation ballot.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Standard posted for recirculation ballots.	July 2011
2. Standard sent to BOT for approval.	August 2011
3. Standards filed with regulatory authorities.	September 2011

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.

None

Introduction

1. **Title:** **Reliability Coordination — Current Day Operations**

2. **Number:** IRO-005-4

3. **Purpose:** To ensure that entities are notified when an expected or actual event with Adverse Reliability Impacts is identified.

4. **Applicability:**

   4.1. Reliability Coordinators.

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.

A. Requirements

R1. When the results of an Operational Planning Analysis or Real-time Assessment indicate an anticipated or actual condition with Adverse Reliability Impacts within its Reliability Coordinator Area, each Reliability Coordinator 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]*

R2. Each Reliability Coordinator that identifies an anticipated or actual condition 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 problem has been mitigated. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations, Same Day Operations and Operations Planning]*

B. Measures

M1. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to dated operator logs, dated voice recordings or dated 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 an anticipated or actual condition with Adverse Reliability Impacts, within its Reliability Coordinator Area. (R1)

M2. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to dated operator logs, dated voice recordings or dated 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 an anticipated or actual condition with Adverse Reliability Impacts within its Reliability Coordinator Area had been mitigated. (R2)

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

The Regional Entity is the Compliance Enforcement Authority except where the Reliability Coordinator works for the Regional Entity. Where the Reliability Coordinator 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.

1.2. Compliance Monitoring and Enforcement Processes:

Compliance Audit

Self-Certification

Spot Checking

Compliance Violation Investigation

Self-Reporting

Complaint

1.3. Data Retention

The Reliability Coordinator 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 shall retain its evidence for the most recent 90 days for voice recordings or 12 months for other documentation for Requirements R1 and R2 and Measures M1 and M2.
- If a Reliability Coordinator 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 or for the time period specified above, whichever is longer.

1.4. Additional Compliance Information

None.

2. Violation Severity Levels

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Reliability Coordinator who identified an anticipated or actual condition 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 anticipated or actual condition 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 anticipated or actual condition with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to three, but not all, impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area.	The Reliability Coordinator who identified an anticipated or actual condition with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to more than three impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area. OR The Reliability Coordinator who identified an anticipated or actual condition with Adverse Reliability Impacts within its Reliability Coordinator Area failed to issue an alert to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area (in cases where there are less than three impacted entities).
R2	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, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.	The Reliability Coordinator failed to notify more than three impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated. OR The Reliability Coordinator failed to notify more all impacted

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated (in cases where there are less than three impacted entities).

D. **Regional Differences**

None identified.

E. **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	August 28, 2006	Added three items that were inadvertently left out to "Applicability" section: 4.5 Generator Operators. 4.6 Load-Serving Entities. 4.7 Purchasing-Selling Entities.	Errata
1	February 7, 2006	BOT Approval	Revised
1	April 4, 2007	Regulatory Approval — Effective Date	New
2	November 1, 2006	BOT Approval	Revised under Missing Measures & Compliance Elements Project
3a	October 17, 2008	Retired R2, R3, R5, R16, R17 and revised R9, R13, R14 to eliminate redundancy or conflicts with IRO standards IRO-009-1, and IRO-010-1	IROL Project – conforming changes and interpretation
4	To be determined	Retired R1-R11; revised R12	Project 2006-06