

A. Introduction

1. **Title: Communication and Coordination**
2. **Number:** COM-002-3
3. **Purpose:** To ensure Emergency communications between operating personnel are effective.
4. **Applicability**
 - 4.1. Reliability Coordinator
 - 4.2. Balancing Authority
 - 4.3. Transmission Operator
 - 4.4. Generator Operator
 - 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.** 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, 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.** 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 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.)

- M2.** Each Balancing Authority, Transmission Operator, Generator Operator, and Distribution Provider that was the recipient of a Reliability Directive shall have 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.)
- M3.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority that issued a Reliability Directive shall have 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, such as dated and time-stamped voice recordings, or dated and time-stamped transcripts of voice recordings, or dated operator logs to show. (R3.)

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

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 Enforcement Processes

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, Generator Operator, and Distribution Provider 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, 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 M2 for the most recent 3 calendar months.

If a Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Distribution Provider is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.

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	Moderate	High	Severe
R1	N/A	N/A	N/A	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.
R2	N/A	N/A	N/A	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.
R3	N/A	N/A	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.	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.

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	February 7, 2006	Adopted by Board of Trustees	Added measures and compliance elements
2	November 1, 2006	Adopted by Board of Trustees	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.
2a	February 9, 2012	Interpretation of R2 adopted by Board of Trustees	Project 2009-22
3	November 7, 2012	Adopted by Board of Trustees	