

## 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	<p>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.</p>	<p>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.</p>	<p>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.</p>	<p>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.</p> <p>OR</p> <p>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).</p>
R2	<p>The Reliability Coordinator failed to notify one, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.</p>	<p>The Reliability Coordinator failed to notify two, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.</p>	<p>The Reliability Coordinator failed to notify three, but not all, impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.</p>	<p>The Reliability Coordinator failed to notify more than three impacted Transmission Operators, Balancing Authorities, when the transmission problem had been mitigated.</p> <p>OR</p> <p>The Reliability Coordinator failed to notify more all impacted</p>

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**

<b>Version</b>	<b>Date</b>	<b>Action</b>	<b>Change Tracking</b>
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
2a	November 5, 2009	Interpretation approved by the Board of Trustees	Interpretation
3	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
3	October 17, 2008	Adopted by the Board of Trustees	
3	March 23, 2011	Order issued by FERC approving IRO-005-3 (approval effective 5/23/11)	
3a	April 21, 2011	Added FERC approved Interpretation	
4	August 4, 2011	Retired R1-R11; revised R12	Project 2006-06
4	August 4, 2011	Adopted by the Board of Trustees	