

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. Standards Committee approves SAR for posting on December 1, 2004.
2. SAR Drafting Team posted SAR for comments on December 7, 2004.
3. SAR Drafting Team responds to comments, revises SAR, and posts revised SAR for comments on February 17, 2006.
4. SAR Drafting Team responds to comments and revises SAR on May 15, 2006.
5. Standards Committee approves development of Standard on May 15, 2006.
6. The Standards Authorization Committee appointed the Standard Drafting Team on June 21, 2006.
7. Standards Drafting Team posted draft standard for comment on September 27, 2006.
8. Standards Drafting Team responded to comments and posted the revised standard on August 15, 2007.
9. Standard Drafting Team responded to comments and posted the revised standard for comment on February 15, 2008.

Proposed Action Plan and Description of Current Draft:

This is the third posting of the proposed standard and its associated implementation plan for a 45-day comment period, from February 25, 2008 to April 9, 2008.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Respond to comments on the third draft of the proposed standard.	May 15, 2008
2. Obtain the Standards Committee's approval to move the standard forward to balloting.	June 15, 2008
3. Post the standard and implementation plan for a 30-day pre-ballot review.	July 1–July 31, 2008
4. Conduct an initial ballot for ten days.	August 1–August 10, 2008
5. Respond to comments submitted with the initial ballot.	September 1, 2008
6. Conduct a recirculation ballot for ten days.	September 1–September 10, 2008
7. Post for a 30-day preview for board.	October 1–October 31, 2008

8. BOT adoption.	November 15, 2008
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A. Introduction

1. **Title:** System Personnel Training
2. **Number:** PER-005-1
3. **Purpose:** To ensure that System Operators performing real-time, reliability-related tasks on the North American Bulk Electric System (BES) are competent to perform those reliability-related tasks. The competency of System Operators is critical to the reliability of the North American Bulk Electric System.
4. **Applicability:**
 - 4.1. **Functional Entities:**
 - 4.1.1 Reliability Coordinator.
 - 4.1.2 Balancing Authority.
 - 4.1.3 Transmission Operator.
5. **Proposed Effective Date:**

Effective 36 months after the first day of the first calendar quarter following applicable regulatory approval, or in those jurisdictions where no regulatory approval is required, the Reliability Standard becomes effective 36 months after the first day of the first calendar quarter after Board of Trustee adoption.

B. Requirements

- R1. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall use a systematic approach to training to establish a new or modify an existing training program(s) for the BES company-specific reliability-related tasks performed by its System Operators. *[Risk Factor: Medium] [Time Horizon: Long-term Planning]*
 - R1.1. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall create a list of BES company-specific reliability-related tasks performed by its System Operators.
 - R1.1.1. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall update its list of BES company-specific reliability-related tasks performed by its System Operators at least annually to identify new or modified tasks for inclusion in training.
 - R1.2. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall design and develop learning objectives and training materials based on the task list created in R1.1.
 - R1.3. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall deliver the training established in R1.2.
 - R1.4. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall conduct an evaluation of the training program established in R1, to identify any needed changes to the training program.
- R2. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall verify each or its System Operator's capabilities to perform each assigned task identified in R1.1 at least one time. *[Risk Factor: High] [Time Horizon: Long-term Planning]*
 - R2.1. Within six months of a modification of the BES company-specific reliability-related tasks, each Reliability Coordinator, Balancing Authority, and Transmission Operator

shall verify each of its System Operator's capabilities to perform the new or modified tasks.

- R3.** At least every 12 months each Reliability Coordinator, Balancing Authority, and Transmission Operator shall provide each of its System Operators with at least 32 hours of emergency operations training applicable to its organization that reflects emergency operations topics (which includes system restoration) using training, drills, exercises, and hands on training using simulators. *[Risk Factor: Medium] [Time Horizon: Long-term Planning]*

C. Measures

- M1.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection evidence of using a systematic approach to training to establish a new or modify an existing training program(s), as specified in R1.

M1.1 Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection its company-specific task list, with the date of the last revision, as specified in R1.1.

M1.2 Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection its learning objectives and training materials, as specified in R1.2.

M1.3 Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection System Operator training records showing the names of the people trained, the title of the training delivered and the dates of delivery to show that it delivered the training, as specified in R1.3.

M1.4 Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection evidence (such as instructor observations, trainee feedback, supervisor feedback, course evaluations, learning assessments, or audit results) that it performed a training program evaluation, as specified in R1.4

- M2.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection evidence to show that it verified that each of its System Operators is capable of performing each assigned task identified in R1.1, as specified in R2. This evidence can be documents such as training records showing successful completion of tasks with the employee name and date; supervisor check sheets showing the employee name, date, and task completed; or the results of learning assessments.

- M3.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have available for inspection training records that provide evidence that each System Operator has obtained 32 hours of emergency operations training, as specified in R3.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

For Reliability Coordinators and other functional entities that work for the Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

For entities that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.

1.2. Compliance Monitoring Period and Reset

Not Applicable.

1.3. Compliance Monitoring and Enforcement Processes:

- Compliance Audits
- Self-Certifications
- Spot Checking
- Compliance Violation Investigations
- Self-Reporting
- Complaints

1.4. Data Retention

Each Reliability Coordinator, Balancing Authority, and Transmission Operator 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:

- 1.4.1 Each Reliability Coordinator, Balancing Authority and Transmission Operator shall retain its current company-specific task list and any supporting learning objectives and course outlines, training records, and evaluation records since its last compliance audit for Requirement 1, Measure 1.
- 1.4.2 Each Reliability Coordinator, Balancing Authority and Transmission Operator shall retain training records for each of its System Operators since the last compliance audit for Requirement 2, Measure 2.
- 1.4.3 Each Reliability Coordinator, Balancing Authority and Transmission Operator shall retain training records for each of its System Operators since the last compliance audit for Requirement 3, Measure 3.
- 1.4.4 If a Reliability Coordinator, Balancing Authority and Transmission Operator 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.

1.5. Additional Compliance Information

None.

2. Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1	None	The responsible entity failed to provide evidence of evaluating its training program effectiveness to identify needed changes to its training program(s).	The responsible entity failed to design and develop learning objectives and training materials based on the BES company specific reliability related task list (when developing a new	When developing a new or modifying an existing training program, the responsible entity failed to prepare a company-specific reliability-related task list

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
			or modifying an existing training program).	OR When developing a new or modifying an existing training, the responsible entity failed to deliver training based on the BES company specific reliability related task list.
R2	None	The responsible entity verified at least 90% but less than 100% of its System Operators' capabilities to perform each assigned task from its list of BES company-specific reliability-related tasks.	The responsible entity verified at least 70% but less than 90% of its System Operators' capabilities to perform each assigned task from its list of BES company-specific reliability-related tasks OR The responsible entity failed to verify its system operators' capabilities to perform each new or modified task within six months of making a modification to its BES company-specific reliability related task list.	The responsible entity verified less than 70% of its System Operators' capabilities to perform each assigned task from its list of BES company-specific reliability-related tasks.
R3	None	The responsible entity provided at least 32 hours of emergency operations	The responsible entity provided at least 32 hours of emergency	The responsible entity provided 32 hours of emergency

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
		training to at least 90% but less than 100% of its System Operators.	operations training to at least 70% but less than 90% of its System Operators.	operations training to less than 70% of its System Operators OR The responsible entity did not include in its emergency training, the use of drills, exercises, and hands on training using simulators.

E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking