

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. The Standards Committee (SC) approved the Standard Authorization Request (SAR) for posting on March 1, 2007.
2. The SAR was posted for comment from March 19 through April 17, 2007.
3. The SC sought SAR drafting team nominations April 18 through May 2, 2007.
4. The SAR drafting team posted reply comments to industry comments received on the first posting SAR on June 8, 2007
5. Standard drafting team appointed by SC Executive Committee on June 28, 2007
6. Version 1 draft of Standard posted November 2009 for Informal Comments closed January 15 2010.
7. Version 2 draft of Standard posted May 2012 for Formal Comments, Initial Ballot closed June 20 2012.
8. Version 3 draft of Standard posted August 2012 for Formal Comments, Ballot closed September 22, 2012.
9. Version 4 draft of Standard posted November 2012 for Formal Comments, Ballot closed December 13, 2012.
10. Version 5 draft of Standard posted March 2013 for Formal Comments, Ballot closed April 5, 2013.

Description of Current Draft:

This is the ~~fifth~~sixth draft of a new standard requiring the use of standardized communication protocols during normal and emergency operations to improve situational awareness and shorten response time. The drafting team requests posting for a 30-day concurrent Formal Comment period and Ballot.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Third <u>Fourth</u> Successive Ballot of Standards <u>Standard</u>	March <u>June</u> 2013
2. Recirculation ballot of standards <u>standard</u> .	April <u>July</u> 2013
3. Board adopts standards <u>standard</u> .	May <u>August</u> 2013

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.

When using terms or phrases contained in the Reliability Standards Glossary of Terms for communications it should be cited as the source. When used in written communications, terms or phrases contained in the Reliability Standards Glossary of Terms are capitalized.

Operating Instruction —A command, other than a Reliability Directive, by a System Operator of a Reliability Coordinator, or of a Transmission Operator, or of a Balancing Authority, where the recipient of the command is expected to act; to change or preserve the state, status, output, or input of an Element of the Bulk Electric System or Facility of the Bulk Electric System.

Discussions

A discussion of general information and of potential options or alternatives to resolve Bulk Electric System operating concerns are-is not a commands and are-is not considered Operating Instructionsan Operating Instruction. An Operating Instruction is exclusive and distinct from a Reliability Directive. There is no overlap between an Operating Instruction and Reliability Directive.

A. Introduction

1. **Title:** Operating Personnel Communications Protocols
2. **Number:** COM-003-1
3. **Purpose:** To ~~provide System Operators~~ strengthen communications for the issuance of Operating Instructions with predefined communications protocols that reduce the possibility of miscommunication that could ~~lead to action or inaction harmful to~~ adversely impact the reliability of ~~the BES~~ Bulk Electric System.
4. **Applicability:**
 - 4.1. **Functional Entities**
 - 4.1.1 Balancing Authority
 - 4.1.2 Distribution Provider
 - 4.1.3 Generator Operator
 - 4.1.4 Reliability Coordinator
 - 4.1.5 Transmission Operator
5. **(Proposed) Effective Date:** First day of first calendar quarter, twelve (12) calendar months following applicable regulatory approval; or, in those jurisdictions where no regulatory approval is required, the first day of the first calendar quarter twelve (12) calendar months from the date of Board of Trustee adoption.

B. Requirements

- R1.** Each Balancing Authority, Reliability Coordinator, and Transmission Operator, in each Reliability Coordinator area, shall ~~jointly~~ develop and implement, subject to the Reliability Coordinator's approval, documented, documented communication protocols for the issuance of Operating Instructions in that outline the communications expectations of its System Operators. Reliability Coordinator's area.

~~Implementation means (in R1, R2, R3 and R4) incorporating the communication protocols into processes, policies, procedures, training programs and assessment programs to support setting and attaining the communication expectations of operators (R3) and System Operators (R1).~~

The documented communication protocols will address, where applicable, the following: [*Violation Risk Factor: Low*] [*Time Horizon: Long-term Planning*]

- 1.1. ~~Use~~ The use of the English language when issuing or responding to an oral or written Operating Instruction ~~or Reliability Directive~~, unless another language is mandated by law or regulation.
- 1.2. ~~Instances~~ The instances, if any, that ~~require~~ require time identification when issuing an oral or written Operating Instruction ~~or Reliability Directive~~, and the format for that time identification.

- 1.3. ~~Nomenclature~~The nomenclature for Transmission interface Elements and Transmission interface Facilities when issuing an oral or written Operating Instruction ~~or Reliability Directive.~~
- 1.4. ~~Instances~~The instances, if any, where alpha-numeric clarifiers are necessary when issuing an oral Operating Instruction ~~or Reliability Directive,~~ and the format for those clarifiers.
- 1.5. ~~Instances~~The instances where the issuer of an oral two party, person-to-person Operating Instruction ~~is required~~requires the receiver to repeat, restate, rephrase, or recapitulate the Operating Instruction and the issuer to:
 - Confirm that the response from the recipient of the Operating Instruction was accurate;~~;~~ or
 - Reissue the Operating Instruction to resolve a misunderstanding.

- ~~1.6. Require the recipient of an oral two party, person-to-person Operating Instruction to repeat, restate, rephrase, or recapitulate the Operating Instruction, if requested by the issuer.~~
- ~~1.7. Instances where the issuer of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) is required to verbally or electronically confirm receipt from at least one receiving party.~~
- ~~1.8. Require the receiver of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) to request clarification from the initiator if the communication is not understood.~~
- ~~1.9. Coordination with affected Reliability Coordinators', Balancing Authorities', Transmission Operators', Distribution Providers', and Generator Operators' communication protocols.~~

R2. Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall ~~develop method(s) to assess System Operators' communication practices and implement corrective actions necessary to meet the expectations in its documented-its~~ communication protocols developed ~~for~~in Requirement R1 so that the failure to use the protocols by the issuer of an Operating Instruction does not result in an operating condition that requires the issuance of a Reliability Directive by the original issuer of the Operating Instruction or by another Balancing Authority, Reliability Coordinator, or Transmission Operator.
[Violation Risk Factor: Medium+][Time Horizon: Real Time Operations Planning, Operations Assessment]

R1.

R2.—Each Balancing Authority, Transmission Operator, Generator Operator and Distribution Provider ~~and Generator Operator~~ shall ~~develop and implement documented communication protocols that outline the communications expectations of its operators. The documented communication protocols will address, where~~

applicable, the following: [*Violation Risk Factor: Low*] [*Time Horizon: Long-term Planning*]

- ~~3.1. Use of the English language repeat, restate, rephrase, or recapitulate an Operating Instruction when responding to required by the issuer of an oral or written Operating Instruction or Reliability Directive, unless another language is mandated by law or regulation.~~
 - ~~3.2. Require the recipient of an oral two party, person-to-person Operating Instruction in its communication protocols developed in Requirement R1 so that the failure to repeat, restate, rephrase, or recapitulate the Operating Instruction, if requested by the issuer.~~
 - ~~3.3. Require the receiver of an oral Operating Instruction or Reliability Directive using a one-way burst messaging system to communicate a common message to multiple parties in a short time period (e.g. an All Call system) to request clarification from the initiator if the communication is does not understood, if required by the issuer.~~
- ~~R3. Each Distribution Provider and Generator Operator shall develop method(s) to assess operators' communication practices and implement corrective actions necessary to meet the expectations result in its documented communication protocols developed for Requirement R3 an operating condition that requires the issuance of a Reliability Directive by the original issuer of the Operating Instruction or by another Balancing Authority, Reliability Coordinator, or Transmission Operator. [*Violation Risk Factor: Medium*] [*Time Horizon: Real Time Operations-Planning /Operations Assessment*]~~

C. Measures

- ~~M1.~~ Each Balancing Authority, Reliability Coordinator, and Transmission Operator in each Reliability Coordinator area, shall provide its jointly developed documented communications protocols developed for Requirement R1.
- ~~M1.~~M2. Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall provide evidence that it implemented its documented communication protocols that it developed for Requirement R1 which may include, but is not limited to, its policies, procedures, and or operator training, did not issue an Operating Instruction that resulted in an operating condition that required the issuance of a Reliability Directive by the issuer or another Balancing Authority, Reliability Coordinator, or Transmission Operator due to the failure to use documented communications protocols developed for Requirement R1. A Balancing Authority, Reliability Coordinator, and Transmission Operator may need to coordinate with another Reliability Coordinator, Balancing Authority and Transmission Operator to provide this evidence.
- ~~M2.~~ Each Balancing Authority, Reliability Coordinator, Generator Operator, Distribution Provider, and Transmission Operator shall provide the results of its periodic assessment and of any corrective actions (if any corrective actions were implemented) developed for Requirement R2.

~~M3. Each Distribution Provider and Generator Operator shall provide its documented communications protocols developed for Requirement R3. Each Distribution Provider, and Generator Operator shall provide evidence that it implemented its documented communication protocols that it developed for Requirement R3 which may include, but is did not limited experience a failure to, its policies, procedures, and repeat, restate, rephrase, or operator training.~~

~~M4.M3. Each Distribution Provider and recapitulate an Operating Instruction, when required, that resulted in an operating condition that required the issuance of a Reliability Directive by the issuer or by another Balancing Authority, Reliability Coordinator, or Transmission Operator due to the failure to use the protocols. A Balancing Authority, Generator Operator shall provide the results of its periodic assessment and of any corrective actions (if any corrective actions were implemented) developed for Requirement R4., Distribution Provider, and Transmission Operator may need to coordinate with a Reliability Coordinator, Balancing Authority and Transmission Operator to provide this evidence.~~

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

As defined in the NERC Rules of Procedure, “Compliance Enforcement Authority” means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

1.2. 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 Transmission Operator, Balancing Authority, Reliability Coordinator, 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:

Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall retain evidence for Requirement R1 Measure M1 for the most recent 90 days.

Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall retain evidence for Requirement R2 Measure M2 for the most recent ~~180~~90 days.

Each Balancing Authority, Distribution Provider ~~and~~, Generator Operator, and Transmission Operator shall retain evidence for Requirement R3 Measure M3 for the most recent 90 days.

~~Each~~

~~If a Balancing Authority, Distribution Provider ~~and~~, Generator Operator ~~shall retain evidence for Requirement R4 Measure M4 for the most recent 180 days.~~~~

~~If a Transmission Operator, Balancing Authority, Reliability Coordinator, Generator or Transmission Operator ~~or 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 period specified above, whichever is longer.~~

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.3. Additional Compliance Information

None

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Long Term Planning	Low	<p>The Responsible Entity did not address-develop one (1) of the nine-five (59) parts of <u>Requirement R1</u> in their documented communication protocols -as required in Requirement R1. <u>Parts of Requirement R1, (1.1 to 1.5) justifiably-not applicable to the Responsible Entity are excluded</u></p> <p>OR</p> <p>The Responsible Entity did not implement one (1) of the nine (9) parts of Requirement R1 in their documented communication protocols -as required in Requirement R1</p>	<p>The Responsible Entity did not address-develop two (2) of the nine-five (59) parts of Requirement R1 in their documented communication protocols as required in Requirement R1. <u>Parts of Requirement R1, (1.1 to 1.5) justifiably-not applicable to the Responsible Entity are excluded</u></p> <p>OR</p> <p>The Responsible Entity did not implement two (2) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p>	<p>The Responsible Entity did not address <u>develop</u> three (3) of the nine-five (59) parts of Requirement R1 in their documented communication protocols as required in Requirement R1. <u>Parts of Requirement R1, (1.1 to 1.5) justifiably-not applicable to the Responsible Entity are excluded</u></p> <p>OR</p> <p>The Responsible Entity did not implement three (3) of the nine (9) parts of Requirement R1 in their documented communication protocols as required in Requirement R1</p>	<p>The Responsible Entity did not address-develop four (4) or more of the-the nine-five (95)-parts parts of <u>Requirement of Requirement R1</u> in their documented communication protocols as required in Requirement R1. <u>Parts of Requirement R1, (1.1 to 1.5) justifiably-not applicable to the Responsible Entity are excluded</u></p> <p>OR</p> <p>The Responsible Entity did not have any documented communication protocols as required in Requirement R1</p> <p>OR</p> <p>The Responsible Entity did not implement any documented communication protocols as required in Requirement R1</p>

<p>R2</p>	<p><u>Operations Planning</u> <u>Operations Assessment</u> <u>Real Time Operations</u></p>	<p>Medium</p>	<p>The Responsible Entity performed periodic assessments of its System Operators' communication practices and implemented 50% or more but not all corrective action identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1. <u>N/A</u></p>	<p>The Responsible Entity performed periodic assessments of its System Operators' communication practices and implemented less than 50% of the corrective actions identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1. <u>N/A</u></p>	<p>The Responsible Entity performed periodic assessments of its System Operators' communication practices but did not implement any corrective actions identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1. <u>N/A</u></p>	<p>The Responsible Entity failed to use the protocols developed in Requirement R1 which resulted in an operating condition that required the issuance of a <u>Reliability Directive</u> by the <u>original issuer of the Operating Instruction</u> or by <u>another Balancing Authority, Reliability Coordinator, or Transmission Operator.</u> The Responsible Entity did not perform periodic assessments of its System Operators' communication practices identified in Requirement R2 necessary to meet the expectations in its documented communication protocols developed for Requirement R1.</p>
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<p>R3</p>	<p><u>Long Term Planning Real Time Operations</u></p>	<p><u>Low/Medium</u></p>	<p><u>N/A</u></p>	<p>N/A The Responsible Entity did not address one (1) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement one (1) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p>	<p>N/A The Responsible Entity did not address two (2) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement two (2) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p>	<p>The Responsible Entity failed repeat, restate, rephrase, or recapitulate an Operating Instruction when required by the issuer of an Operating Instruction in its communication protocols developed in Requirement R1, which resulted in an operating condition that required the issuance of a Reliability Directive by the original issuer of the Operating Instruction or another Balancing Authority, Reliability Coordinator, or Transmission Operator. The Responsible Entity did not address three (3) of the three(3) parts of Requirement R3 in their documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not develop any documented communication protocols as required in Requirement R3</p> <p>OR</p> <p>The Responsible Entity did not implement any documented communication protocols as required in Requirement R3</p>
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<p>R4</p>	<p>Operations Planning Operations Assessment</p>	<p>Medium</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices and implemented 50 % or more but not all corrective action identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3.</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices and implemented less than 50 % of the corrective actions identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3.</p>	<p>The Responsible Entity performed periodic assessments of its operators' communication practices but did not implement any corrective actions identified in Requirement R4 necessary to meet the expectations in its documented communication protocols developed for Requirement R3.</p>	<p>The Responsible Entity did not perform assessments of its operators' communication practices and did not meet the expectations in its documented communication protocols developed for Requirement R3.</p>
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E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking