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 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. Fourth Successive Ballot of Standard	June 2013
2. Recirculation ballot of standard.	July 2013
3. Board adopts standard.	August 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.
A discussion of general information and of potential options or alternatives to resolve Bulk Electric System operating concerns is not a command and is not considered an 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 strengthen communications for the issuance of Operating Instructions with predefined communications protocols that reduce the possibility of miscommunication that could adversely impact the reliability of the 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 develop, subject to the Reliability Coordinator's approval, documented communication protocols for the issuance of Operating Instructions in that Reliability Coordinator's area.

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

1.1. The use of the English language when issuing or responding to an oral or written Operating Instruction, unless another language is mandated by law or regulation.

1.2. The instances, if any, that require time identification when issuing an oral or written Operating Instruction and the format for that time identification.

1.3. The nomenclature for Transmission interface Elements and Transmission interface Facilities when issuing an oral or written Operating Instruction.

1.4. The instances, if any, where alpha-numeric clarifiers are necessary when issuing an oral Operating Instruction and the format for those clarifiers.

1.5. The instances where the issuer of an oral two party, person-to-person Operating Instruction 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.

R2. Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall implement its communication protocols developed 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*]

R3. Each Balancing Authority, Transmission Operator, Generator Operator and Distribution Provider shall 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 so that the failure to repeat, restate, rephrase, or recapitulate the 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*]

C. Measures

M1. Each Balancing Authority, Reliability Coordinator, and Transmission Operator in each Reliability Coordinator area, shall provide its documented communications protocols developed for Requirement R1.

M2. Each Balancing Authority, Reliability Coordinator, and Transmission Operator shall provide evidence that it 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.

M3. Each Balancing Authority, Generator Operator, Distribution Provider, and Transmission Operator shall provide evidence that it did not experience a failure to repeat, restate, rephrase, or 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, 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 90 days.

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

If a Balancing Authority, Distribution Provider, Generator Operator, Reliability Coordinator or Transmission Operator 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	The Responsible Entity did not develop one (1) of the five (5) parts of Requirement R1in their documented communication protocols as required in Requirement R1. Parts of Requirement R1, (1.1 to 1.5) not applicable to the Responsible Entity are excluded	The Responsible Entity did not develop two (2) of the five (5) parts of Requirement R1 in their documented communication protocols as required in Requirement R1. Parts of Requirement R1, (1.1 to 1.5) not applicable to the Responsible Entity are excluded	The Responsible Entity did not develop three (3) of the five (5) parts of Requirement R1 in their documented communication protocols as required in Requirement R1. Parts of Requirement R1, (1.1 to 1.5) not applicable to the Responsible Entity are excluded	The Responsible Entity did not develop four (4) or more of the five (5) parts of Requirement R1 in their documented communication protocols as required in Requirement R1. Parts of Requirement R1, (1.1 to 1.5) not applicable to the Responsible Entity are excluded
R2	Real Time Operations	Medium	N/A	N/A	N/A	The Responsible Entity failed to use the 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 by another Balancing Authority, Reliability Coordinator, or Transmission Operator.

R3	Real Time Operations	Medium	N/A	N/A	N/A	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.

E. Regional Variances

None.

Version History

Version	Date	Action	Change Tracking