

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.

Description of Current Draft:

This is the second 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. Drafting team considers comments, makes conforming changes, and requests SC approval to proceed to pre-ballot comment period.	March 2012
2. First ballot of standards.	June 2012
3. Successive Ballot of Standards	September 2012
4. Recirculation ballot of standards.	October 2012
5. Board adopts standards.	November 2012

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

Operating Communication — Communication of instruction to change or maintain the state, status, output, or input of an Element or Facility of the Bulk Electric System.

Reliability Directives are a type of Operating Communications, to the extent they change or maintain the state, status, output, or input of an Element or Facility of the Bulk Electric System.

A. Introduction

1. **Title:** Operating Personnel Communications Protocols
2. **Number:** COM-003-1
3. **Purpose:** To specify clear, formal and universally-applied communication protocols that reduce the possibility of miscommunication which could lead to action or inaction harmful to the reliability of BES.
4. **Applicability:**
 - 4.1. **Functional Entities**
 - 4.1.1 Reliability Coordinator
 - 4.1.2 Transmission Operator
 - 4.1.3 Balancing Authority
 - 4.1.4 Generator Operator
 - 4.1.5 Distribution Provider
5. **Effective Date:** First day of the first calendar quarter, six calendar months following applicable regulatory approval; or, in those jurisdictions where no regulatory approval is required, the first day of the first calendar quarter a year from the date of Board of Trustees adoption.

B. Requirements

- R1. Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator and Distribution Provider shall use the following communications protocols: [*Violation Risk Factor: Medium*] [*Time Horizon: Real-time Operations*]
 - 1.1. When participating in oral or written Operating Communications:
 - 1.1.1. Use the English language when communicating between functional entities, unless another language is mandated by law or regulation.
 - 1.1.2. Use the 24-hour clock format when referring to clock times.
 - 1.1.3. When the communication is between entities in different time zones, include the time and time zone and indicate whether the time is daylight saving time or standard time.
 - 1.1.4. When referring to a Transmission interface Element or a Transmission interface Facility, use the name specified by the owner(s) for that Transmission interface Element or Transmission interface Facility.
 - 1.2. When participating in oral Operating Communications and using alpha-numeric identifiers, use accurate alpha-numeric clarifiers.¹

¹The North Atlantic Treaty Organization (NATO) Spelling Alphabet is one example of a set of alpha-numeric clarifiers.

R2. Each Reliability Coordinator, Transmission Operator and Balancing Authority that issues an oral, two-party, person-to-person Operating Communication, excluding Reliability Directives shall:

2.1. Issue the Operating Communication and wait for a response from the receiver.

2.2. After the response is received, or if no response is received, do one of the following:

- Confirm the receiver's response, if the repeated information is correct (not necessarily verbatim).
- Reissue the Operating Communication if the repeated information is incorrect or if the receiver does not issue a response.
- Reissue the Operating Communication, if requested by the receiver.

[Violation Risk Factor Medium][Time Horizon: Real-Time]

R3. Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator and Distribution Provider that receives an oral two-party, person-to-person Operating Communication, excluding Reliability Directives, shall take one of the following actions:

- Repeat the Operating Communication (not necessarily verbatim) and wait for confirmation from the issuer that the repetition was correct.
- Request that the issuer reissue the Operating Communication.

[Violation Risk Factor: Medium][Time Horizon: Real-Time]

C. Measures

M1. Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall provide evidence that the communication protocols specified by the requirement were implemented during Operating Communications. For requirement R1, Part 1.1.1, provide a copy of the law or regulation that mandates use of a language other than English. Evidence may include, but is not limited to, voice recordings, transcripts of voice recordings, operating logs, on-site observations, or other equivalent evidence. (R1)

M2. Each Reliability Coordinator, Transmission Operator and Balancing Authority, shall provide evidence that the communication protocol specified by the requirement was implemented. Evidence may include, but is not limited to, voice recordings, transcripts of voice recordings, on-site observations, or other equivalent evidence. (R2)

M3. Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator and Distribution Provider shall provide evidence that the communication protocol specified by the requirement was implemented. Evidence may include, but is not limited to, voice recordings, transcripts of voice recordings, on-site observations, or other equivalent evidence. (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. 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, Transmission Operator, Balancing Authority, 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 Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator and Distribution Provider shall retain evidence for Requirement R1 Measure M1 for the most recent 365 calendar days.
- Each Reliability Coordinator, Transmission Operator and Balancing Authority shall retain evidence for Requirement R2, Measure M2, for the most recent 180 calendar days.
- Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator and Distribution Provider shall retain evidence for Requirement R3, Measure M3, for the most recent 180 calendar days.

If a Reliability Coordinator, Transmission Operator, Balancing Authority, Generator 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.

1.3. Compliance Monitoring and Assessment Processes

Compliance Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

1.4. Additional Compliance Information

None

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Real-time Operations	Medium	N/A	<p>The responsible entity did not correctly implement one (1) of the four (4) parts of Requirement R1, Part 1.1 when it was appropriate to use all four parts.</p> <p>OR</p> <p>The responsible entity did not correctly implement Part 1.2 of the requirement.</p>	<p>The responsible entity did not correctly implement two (2) of the four (4) parts of Requirement R1, Part 1.1 when it was appropriate to use all four parts.</p> <p>OR</p> <p>The responsible entity did not correctly implement one (1) of the four (4) parts of the requirement when it was appropriate to use three of the four parts.</p>	<p>The responsible entity did not correctly implement any of the parts of Requirement R1, Part 1.1 when it was appropriate to use all four parts.</p> <p>OR</p> <p>The responsible entity did not correctly implement three (3) or more of the four (4) parts of Requirement R1, Part 1.1 when it was appropriate to use all four parts.</p> <p>OR</p> <p>The responsible entity did not correctly implement two (2) of the four (4) parts of Requirement R1, Part 1.1 when it was appropriate to use three of the four parts.</p> <p>OR</p> <p>The responsible entity did not correctly</p>

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
						implement one (1) of the four (4) parts of Requirement R1, Part 1.1 when it was appropriate to use two of the four Parts of Requirement R1.
R2	Real-time Operations	Medium		The responsible entity issued a verbal person-to-person Operating Communication and did not confirm the receiver's response was correct. (Part 2.2, first bullet)	The responsible entity issued a verbal person-to-person Operating Communication and did not reissue the Operating Communication when requested by the receiver. (Part 2.2, third bullet)	The responsible entity issued a verbal person-to-person Operating Communication and did not wait for a response from the receiver. (Part 2.1) Or The responsible entity issued a verbal person-to-person Operating Communication and did not reissue the Operating Communication when the response was incorrect or when there was no response (Part 2.2, second bullet).
R3	Real-time Operations	Medium			The responsible entity received a verbal person-to-person Operating Communication and did not wait for confirmation that the repetition was	The responsible entity received a verbal person-to-person Operating Communication and did not repeat the Operating Communication and did

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
					correct. (R3, first bullet)	not request that the issuer reissue the Operating Communication. (R3)

E. Regional Variances

None.

F. Associated Documents

North Atlantic Treaty Organization (NATO) Phonetic Alphabet or International Radiotelephony Spelling Alphabet

Version History

Version	Date	Action	Change Tracking