

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 approved the SAR for posting on July 12, 2007.
2. The SAR was posted for industry comment from July 17, 2007 through August 15, 2007.
3. Reply comments and a revised SAR were posted for a second industry comment period from January 2, 2008 through January 31, 2008.
4. Standards Committee approved moving the project into the standards development phase on April 10, 2008.
5. The Standards Committee appointed the Standard Drafting Team on June 13, 2008.
6. The draft Standard was posted for Industry comment on October 21, 2009.
7. The SDT responded to comments received on April 30, 2010.

Proposed Action Plan and Description of Current Draft:

This is the second posting of the proposed standard.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Obtain the Standards Committee’s approval to move the standard forward to balloting.	July, 2010
2. Post the standard and implementation plan for a 30-day pre-ballot review.	July, 2010
3. Conduct an initial ballot for ten days.	August, 2010
4. Respond to comments submitted with the initial ballot.	September, 2010
5. Conduct a recirculation ballot for ten days.	September, 2010
6. BOT adoption.	November, 2010

A. Introduction

1. **Title:** **Operating Personnel Credentials**
2. **Number:** **PER-003-1**
3. **Purpose:** To ensure that System Operators performing the reliability-related tasks of the Reliability Coordinator, Balancing Authority ~~or~~ and Transmission Operator ~~have~~ are certified ~~demonstrated competency~~ through the NERC System Operator Certification Program ~~Process~~ when filling a Rreal-time operating position responsible for control of the Bulk Electric System.
4. **Applicability:**
 - 4.1. Reliability Coordinator
 - 4.2. Transmission Operator
 - 4.3. Balancing Authority
5. **Effective Date:**
 - 5.1. In those jurisdictions where regulatory approval is required, this standard shall become effective the first calendar day of the first calendar quarter ~~twelve~~ six months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, this standard shall become effective the first calendar day of the first calendar quarter ~~twelve~~ six months after Board of Trustees adoption.

B. Requirements

- R1. Each Reliability Coordinator shall staff its Rreal-time operating positions performing Reliability Coordinator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed ~~by~~ to obtaining and maintaining a valid NERC Reliability Operator certificate ⁽¹⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]
 - 1.1. Areas of Competency
 - 1.1.1. Resource and ~~Demand~~ demand ~~Balancing~~ balancing
 - 1.1.2. Transmission ~~Operations~~ operations
 - 1.1.3. Emergency ~~Preparedness~~ preparedness and ~~Operations~~ operations
 - 1.1.4. System ~~Operations~~ operations
 - 1.1.5. Protection and ~~Control~~ control
 - 1.1.6. Voltage and ~~Reactive~~ reactive
 - 1.1.7. Interchange ~~Scheduling~~ scheduling and ~~Coordination~~ coordination
 - 1.1.8. Interconnection ~~Reliability~~ reliability ~~Operations~~ operations and ~~Coordination~~ coordination
- R2. Each Transmission Operator shall staff its Rreal-time operating positions performing Transmission Operator reliability-related tasks with System Operators who have demonstrated

¹ Non-NERC certified personnel learning or observing the tasks of a real-time operating position must be under the direct supervision of a NERC Certified System Operator at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks.

minimum competency in the areas listed ~~by~~ obtaining and maintaining one of the following valid NERC certificates ⁽¹⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]:

2.1. Areas of Competency

2.1.1. Transmission ~~Operations~~operations

2.1.2. Emergency ~~Preparedness~~preparedness and ~~Operations~~operations

2.1.3. System ~~Operations~~operations

2.1.4. Protection and ~~Control~~control

2.1.5. Voltage and ~~Reactive~~reactive

2.2. Certificates

- Reliability Operator
- Balancing, Interchange and Transmission Operator
- Transmission Operator

R3. Each Balancing Authority shall staff its ~~R~~real-time operating positions performing Balancing Authority reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed ~~by~~ obtaining and maintaining one of the following valid NERC certificates ⁽¹⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]:

3.1. Areas of Competency

3.1.1. Resources and ~~Demand~~demand ~~Balancing~~balancing

3.1.2. Emergency ~~Preparedness~~preparedness and ~~Operations~~operations

3.1.3. System ~~Operations~~operations

3.1.4. Interchange ~~Scheduling~~scheduling and ~~Coordination~~coordination

3.2. Certificates

- Reliability Operator
- Balancing, Interchange and Transmission Operator
- Balancing and Interchange Operator

C. Measures

M1. Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have the following evidence to show that it staffed its ~~R~~real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining~~that have the~~an appropriate, valid NERC certificate (R1, R2, R3):

M1.1 A list of ~~R~~real-time operating positions.

M1.2 A list of ~~Rreal-time operating personnel~~System Operators assigned to its ~~R~~real-time operating positions.

¹ Non-NERC certified personnel learning or observing the tasks of an operating position must be under the direct supervision of a NERC Certified System Operator at that operating position who has the sole responsibility for the performance of the reliability-related tasks.

- M1.3 A copy of each of its ~~R~~real-time operating personnel's System Operator's NERC certificate or NERC certificate number with expiration date.
- M1.4 Work schedules, work logs, or other equivalent evidence showing which ~~R~~real-time operating personnel System Operators were assigned to work in ~~R~~real-time operating positions.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Authority

For Reliability Coordinators and other functional entities that work for their 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.~~1.2. **Compliance Monitoring and Enforcement Processes:**

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

~~1.4.~~1.3. **Data Retention**

Each Reliability Coordinator, Transmission Operator and Balancing Authority shall keep data or evidence to show compliance for three years or since its last compliance audit, whichever time frame is the greatest, unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Reliability Coordinator, Transmission Operator or Balancing Authority is found non-compliant, it shall keep information related to the non-compliance until found compliant or the time period specified above, whichever is longer.

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

~~1.5.~~1.4. **Additional Compliance Information**

None.

2. Violation Severity Levels

R#	Lower VSL	Medium VSL	High VSL	Severe VSL
R1				The Reliability Coordinator failed to staff each R real-time operating position <u>performing Reliability</u>

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				Coordinator reliability-related tasks with a n-individual System Operator having a valid NERC certificate as defined in Requirement R1.
R2				The Transmission Operator failed to staff each R real-time operating position performing Transmission Operator reliability-related tasks with a System Operator n-individual having a valid NERC certificate as defined in Requirement R2, Part 2.2.
R3				The Balancing Authority failed to staff each R real-time operating position performing Balancing Authority reliability-related tasks with a System Operator n-individual having a valid NERC certificate as defined in Requirement R3, Part 3.2.

E. Regional Variances

None.

F. Associated Documents

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1		Complete revision under Project 2007-04	Revision