

### **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. Draft SAR Version 1 posted January 15, 2007
2. Draft SAR Version 1 Comment Period ended February 14, 2007
3. Draft SAR Version 2 and comment responses on SAR version 1 posted March 19, 2007
4. Draft Version 2 SAR comment period ended April 17, 2007
5. SAR version 2 and comment responses for SAR version 2 accepted by SC and SDT appointed in June 2007.
6. First posting of revised standards on August 5, 2008 with comment period closed on September 16, 2008.
7. Draft Version 2 of standards and response to comments September 16, 2008–May 26, 2009.
8. Second posting of revised standards on July 10, 2009 with comment period closed on August 9, 2009.
9. RC SDT coordinated with OPCP SDT and RTO SDT on definitions relating to directives and three part communication and Draft Version 3 of standards and response to comments August 9–November 20, 2009.

#### **Proposed Action Plan and Description of Current Draft:**

The SDT began working on revisions to the standards in August 2007. The current posting contains revisions based on stakeholder comments on the first draft. The team is seeking comments on the revised standards.

#### **Future Development Plan:**

<b>Anticipated Actions</b>	<b>Anticipated Date</b>
1. Respond to comments on third posting	March 2010
2. Post Standards for pre-ballot period.	April 2010
3. Standards posted for initial and recirculation ballots.	May 2010
4. Standards sent to BOT for approval.	July 2010
5. Standards filed with regulatory authorities.	September 2010

### 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.*

**Interpersonal Communication:** Any method that allows two or more individuals to interact, consult, or exchange information.

**Alternative Interpersonal Communication:** Any method that is able to serve as a substitute for and is redundant to normal Interpersonal Communication and does not utilize the same infrastructure (medium) as normal Interpersonal Communications.

## A. Introduction

1. **Title:** Communications
2. **Number:** COM-001-2
3. **Purpose:** To ensure that operating entities have adequate Interpersonal Communication capabilities.
4. **Applicability:**
  - 4.1. Transmission Operators.
  - 4.2. Balancing Authorities.
  - 4.3. Reliability Coordinators.
  - 4.4. Distribution Providers.
  - 4.5. Generator Operators.
  - 4.6. Transmission Service Providers.
  - 4.7. Load-Serving Entities.
  - 4.8. Purchasing-Selling Entities.
5. **Effective Date:** The first day of the first calendar quarter following applicable regulatory approval – or in those jurisdictions where no regulatory approval is required, the first day of the first calendar quarter following Board of Trustees adoption.

## B. Requirements

- R1.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall identify and test, on a quarterly basis, its Alternative Interpersonal Communications capability used for communicating real-time operating information. If the test is unsuccessful, the entity shall take action within 60 minutes to restore the identified alternative or identify a substitute Alternative Interpersonal Communications capability. *[Violation Risk Factor: High][Time Horizon: Real-time Operations]*
- R2.** Each Reliability Coordinator, Transmission Operator and Balancing Authority shall notify impacted entities within 60 minutes of the detection of a failure of its normal Interpersonal Communications capabilities that lasts 30 minutes or longer. *[Violation Risk Factor: Medium][Time Horizon: Real-time Operations]*
- R3.** Unless dictated by law or otherwise agreed to, each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Purchasing-Selling Entity and Distribution Provider shall use English as the language for all inter-entity Bulk Electric System (BES) reliability communications between and among operating personnel responsible for the real-time generation control or operation of the interconnected BES. *[Violation Risk Factor: Medium] [Time Horizon: Real-time Operations]*
- R4.** Each Distribution Provider and Generator Operator shall have Interpersonal Communications capability with its Transmission Operator and Balancing Authority

for the exchange of Interconnection and operating information. *[Violation Risk Factor: High][Time Horizon: Real-time Operations]*

**C. Measures**

- M1.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that could include, but is not limited to dated test records, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent, that it identified and tested, on a quarterly basis, alternative Interpersonal Communications capabilities used for communicating real-time operating information. If the test was unsuccessful, the entity shall have and provide upon request evidence that it took action within 60 minutes to restore the identified alternative or identified a substitute Interpersonal Communications capability. (R1.)
- M2.** Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent, it notified impacted entities within 60 minutes of the detection of a failure of its normal communications capabilities that lasted 30 minutes or longer. (R2.)
- M3.** Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Purchasing-Selling Entity, and Distribution Provider shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent, that will be used to determine that its personnel used English as the language for all inter-entity BES reliability communications between and among operating personnel responsible for the real-time generation control or operation of the interconnected BES. If a language other than English is used, each party shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent, of agreement to use the alternate language or the law that requires the use of an alternate language. (R3.)
- M4.** Each Distribution Provider and Generator Operator shall have and provide upon request evidence that could include, but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent that it had Interpersonal Communications capabilities with its Transmission Operator and Balancing Authority for the exchange of Interconnection and operating information. (R4.)

**D. Compliance**

- 1. Compliance Monitoring Process**
  - 1.1. Compliance Enforcement Authority**
    - Regional Entity
  - 1.2. Compliance Monitoring and Enforcement Processes**
    - Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

### **1.3. Data Retention**

The Reliability Coordinator, Transmission Operator, Balancing Authority, Distribution Provider and Generator 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:

Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall keep the most recent three years of historical data (evidence) for Requirement R1, Measure M1.

Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall keep the most recent twelve months of historical data (evidence) for Requirement R2, Measure M2.

Each Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, Purchasing-Selling Entity, and Distribution Provider shall keep evidence for Requirement R3, Measure M3 for the most recent 3 months. If a Reliability Coordinator, Transmission Operator, Balancing Authority, Distribution Provider or Generator Operator is found non-compliant with a requirement, it shall keep information related to the noncompliance until the Compliance Enforcement Authority finds it compliant.

Each Distribution Provider and Generator Operator shall keep the most recent three years of historical data (evidence) for Requirement R4, Measure M4.

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

### **1.4. Additional Compliance Information**

None

2. Violation Severity Levels

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	<p>The responsible entity tested Alternative Interpersonal Communications capability but failed to take action within 60 minutes to restore the identified alternative</p> <p>OR</p> <p>Failed to identify a substitute Alternative Interpersonal Communications capability</p>	N/A	N/A	<p>The responsible entity failed to test its Alternative Interpersonal Communications capability on a quarterly basis.</p>
R2	<p>The responsible entity failed to notify the impacted entities in more than 60 minutes but less than or equal to 70 minutes.</p>	<p>The responsible entity notified at least one, but not all, impacted entities of the failure of its normal Interpersonal Communications capabilities within 60 minutes.</p> <p>OR</p> <p>The responsible entity failed to notify the impacted entities in more than 70 minutes but less than or equal to 80 minutes.</p>	<p>The responsible entity failed to notify the impacted entities in more than 80 minutes but less than or equal to 90 minutes.</p>	<p>The responsible entity failed to notify any impacted entities of the failure of its normal Interpersonal Communications capabilities within 60 minutes.</p> <p>OR</p> <p>The responsible entity failed to notify the impacted entities in more than 90 minutes.</p>
R3	N/A	N/A	N/A	<p>The responsible entity failed to provide evidence of legal requirements or concurrence to use a language other than English for communications between and among operating personnel responsible for the real-time generation control or operation of the interconnected BES when a language other than English was used.</p>

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R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R4	N/A	N/A	The responsible entity failed to have Interpersonal Communications capability with its Transmission Operator <b>or</b> Balancing Authority.	The responsible entity failed to have Interpersonal Communications capability with its Transmission Operator <b>and</b> Balancing Authority.

**E. Regional Differences**

None identified.

**F. Associated Documents**

**Version History**

<b>Version</b>	<b>Date</b>	<b>Action</b>	<b>Change Tracking</b>
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed “Proposed” from Effective Date	Errata
1	November 1, 2006	Adopted by Board of Trustees	Revised
1	April 4, 2007	Regulatory Approval — Effective Date	New
1	April 6, 2007	Requirement 1, added the word “for” between “facilities” and “the exchange.”	Errata
2	TBD	Revised per SAR for Project 2006-06, RC SDT	Revised