

**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. Version 1 of SAR posted for comment from November 6, 2006 to December 5, 2006
2. Version 2 of the SAR posted for comment from February 15, 2007 to March 16, 2007
3. SAR approved on April 30, 2007
4. First posting of revised standard on February 7, 2008
5. Second posting of revised standard on August 26, 2008
6. Third posting of revised standard on March 17, 2009
7. Initial ballot posting on September 16, 2009
8. Standards Committee remanded to SDT on November 12, 2009
9. Fourth posting of revised standard on February 4, 2010
10. Initial ballot June 23, 2010 to July 6, 2010

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

The drafting team made some minor clarifying changes to the standard following the initial ballot. This is the sixth version of the standard and is being posted for a recirculation ballot.

**Future Development Plan:**

<b>Anticipated Actions</b>	<b>Anticipated Date</b>
1. Submit standard for recirculation balloting.	July 15-24, 2010
2. Submit standard to BOT.	August 4, 2010
3. Submit to regulatory authorities.	TBD

**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.*

**There are no new or revised definitions proposed in this standard revision.**

**A. Introduction**

- 1. Title:** Loss of Control Center Functionality
- 2. Number:** EOP-008-1
- 3. Purpose:** Ensure continued reliable operations of the Bulk Electric System (BES) in the event that a control center becomes inoperable.
- 4. Applicability:**
  - 4.1. Functional Entity**
    - 4.1.1.** Reliability Coordinator.
    - 4.1.2.** Transmission Operator.
    - 4.1.3.** Balancing Authority.
- 5. Effective Date:** The first day of the first calendar quarter twenty-four months after applicable regulatory approval. In those jurisdictions where no regulatory approval is required, the standard shall become effective on the first day of the first calendar quarter twenty-four months after Board of Trustees adoption.

**B. Requirements**

- R1.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have a current Operating Plan describing the manner in which it continues to meet its functional obligations with regard to the reliable operations of the BES in the event that its primary control center functionality is lost. This Operating Plan for backup functionality shall include the following, at a minimum: [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]
  - 1.1.** The location and method of implementation for providing backup functionality for the time it takes to restore the primary control center functionality.
  - 1.2.** A summary description of the elements required to support the backup functionality. These elements shall include, at a minimum:
    - 1.2.1.** Tools and applications to ensure that System Operators have situational awareness of the BES.
    - 1.2.2.** Data communications.
    - 1.2.3.** Voice communications.
    - 1.2.4.** Power source(s).
    - 1.2.5.** Physical and cyber security.
  - 1.3.** An Operating Process for keeping the backup functionality consistent with the primary control center.
  - 1.4.** Operating Procedures, including decision authority, for use in determining when to implement the Operating Plan for backup functionality.
  - 1.5.** A transition period between the loss of primary control center functionality and the time to fully implement the backup functionality that is less than or equal to two hours.
  - 1.6.** An Operating Process describing the actions to be taken during the transition period between the loss of primary control center functionality and the time to fully implement backup functionality elements identified in Requirement R1, Part 1.2. The Operating Process shall include at a minimum:

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- 1.6.1. A list of all entities to notify when there is a change in operating locations.
  - 1.6.2. Actions to manage the risk to the BES during the transition from primary to backup functionality as well as during outages of the primary or backup functionality.
  - 1.6.3. Identification of the roles for personnel involved during the initiation and implementation of the Operating Plan for backup functionality.
- R2. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have a copy of its current Operating Plan for backup functionality available at its primary control center and at the location providing backup functionality. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*
- R3. Each Reliability Coordinator shall have a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) that provides the functionality required for maintaining compliance with all Reliability Standards that depend on primary control center functionality. To avoid requiring a tertiary facility, a backup facility is not required during: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
  - Planned outages of the primary or backup facilities of two weeks or less
  - Unplanned outages of the primary or backup facilities
- R4. Each Balancing Authority and Transmission Operator shall have backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) that includes monitoring, control, logging, and alarming sufficient for maintaining compliance with all Reliability Standards that depend on a Balancing Authority and Transmission Operator's primary control center functionality respectively. To avoid requiring tertiary functionality, backup functionality is not required during: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
  - Planned outages of the primary or backup functionality of two weeks or less
  - Unplanned outages of the primary or backup functionality
- R5. Each Reliability Coordinator, Balancing Authority, and Transmission Operator, shall annually review and approve its Operating Plan for backup functionality. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*
  - 5.1. An update and approval of the Operating Plan for backup functionality shall take place within sixty calendar days of any changes to any part of the Operating Plan described in Requirement R1.
- R6. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have primary and backup functionality that do not depend on each other for the control center functionality required to maintain compliance with Reliability Standards. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
- R7. Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall conduct and document results of an annual test of its Operating Plan that demonstrates: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
  - 7.1. The transition time between the simulated loss of primary control center functionality and the time to fully implement the backup functionality.
  - 7.2. The backup functionality for a minimum of two continuous hours.

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- R8.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator that has experienced a loss of its primary or backup functionality and that anticipates that the loss of primary or backup functionality will last for more than six calendar months shall provide a plan to its Regional Entity within six calendar months of the date when the functionality is lost, showing how it will re-establish [primary or](#) backup functionality. [*Violation Risk Factor = Medium*] [*Time Horizon = Operations Planning*]

### C. Measures

- M1.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have a dated, current, in force Operating Plan for backup functionality in accordance with Requirement R1, in electronic or hardcopy format.
- M2.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have a dated, current, in force copy of its Operating Plan for backup functionality in accordance with Requirement R2, in electronic or hardcopy format, available at its primary control center and at the location providing backup functionality.
- M3.** Each Reliability Coordinator shall provide dated evidence that it has a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) that provides the functionality required for maintaining compliance with all Reliability Standards that depend on primary control center functionality in accordance with Requirement R3.
- M4.** Each Balancing Authority and Transmission Operator shall provide dated evidence that its backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) includes monitoring, control, logging, and alarming sufficient for maintaining compliance with all Reliability Standards that depend on a Balancing Authority or Transmission Operator's primary control center functionality respectively in accordance with Requirement R4.
- M5.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator, shall have evidence that its dated, current, in force Operating Plan for backup functionality, in electronic or hardcopy format, has been reviewed and approved annually and that it has been updated within sixty calendar days of any changes to any part of the Operating Plan described in Requirement R1 in accordance with Requirement R5.
- M6.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall have dated evidence that its primary and backup functionality do not depend on each other for the control center functionality required to maintain compliance with Reliability Standards in accordance with Requirement R6.
- M7.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall provide evidence such as dated records, that it has completed and documented its annual test of its Operating Plan for backup functionality, in accordance with Requirement R7.
- M8.** Each Reliability Coordinator, Balancing Authority, and Transmission Operator that has experienced a loss of their primary or backup functionality and that anticipates that the loss of primary or backup functionality will last for more than six calendar months shall provide evidence that a plan has been submitted to its Regional Entity within six calendar months of the date when the functionality is lost showing how it will re-establish [primary or](#) backup functionality in accordance with Requirement R8.

### 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, Balancing Authority, and Transmission Operator shall retain data or evidence to show compliance as identified 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, Balancing Authority, and Transmission Operator shall retain its dated, current, in force Operating Plan for backup functionality ~~for the time period~~ plus all issuances of the Operating Plan for backup functionality since its last compliance audit in accordance with Measurement M1.
- Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall retain a dated, current, in force copy of its Operating Plan for backup functionality, with evidence of its last issue, available at its primary control center and at the location providing backup functionality, for the current year, in accordance with Measurement M2.
- Each Reliability Coordinator shall retain dated evidence for the time period since its last compliance audit, that it has demonstrated that it has a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) in accordance with Requirement R3 that provides the functionality required for maintaining compliance with all Reliability Standards that depend on primary control center functionality in accordance with Measurement M3.
- Each Balancing Authority and Transmission Operator shall retain dated evidence for the time period since its last compliance audit, that it has demonstrated that its backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) in accordance with Requirement R4 includes monitoring, control, logging, and alarming sufficient for maintaining compliance with all Reliability Standards that depend on a Balancing Authority and Transmission Operator's primary control center functionality respectively in accordance with Measurement M4.
- Each Reliability Coordinator, Balancing Authority, and Transmission Operator, shall retain evidence for the time period since its last compliance audit, that its dated, current, in force Operating Plan for backup functionality, has been reviewed and approved annually and that it has been updated within sixty calendar days of any changes to any part of the Operating Plan described in Requirement R1 in accordance with Measurement M5.

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- Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall retain dated evidence for the current year and for any Operating Plan for backup functionality in force since its last compliance audit, that its primary and backup functionality do not depend on each other for the control center functionality required to maintain compliance with Reliability Standards in accordance with Measurement M6.
- Each Reliability Coordinator, Balancing Authority, and Transmission Operator shall retain evidence for the current year and one previous year, such as dated records, that it has tested its Operating Plan for backup functionality, in accordance with Measurement M7.
- Each Reliability Coordinator, Balancing Authority, and Transmission Operator that has experienced a loss of their primary or backup functionality and that anticipates that the loss of primary or backup functionality would last for more than six calendar months shall retain evidence for the current in force document and any such documents in force since its last compliance audit that a plan has been submitted to its Regional Entity within six calendar months of the date when the functionality is lost showing how it will re-establish [primary or](#) backup functionality in accordance with Measurement M8.

### 1.4. Additional Compliance Information

None.

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### 2. Violation Severity Levels

R#	Lower	Moderate	High	Severe
R1.	The responsible entity had a current Operating Plan for backup functionality but the plan was missing one of the requirement's <u>six</u> Parts (1.1 through 1.6).	The responsible entity had a current Operating Plan for backup functionality but the plan was missing two of the requirement's <u>six</u> Parts (1.1 through 1.6).	The responsible entity had a current Operating Plan for backup functionality but the plan was missing three or more of the requirement's <u>six</u> Parts (1.1 through 1.6).	The responsible entity did not have a current Operating Plan for backup functionality.
R2	N/A	The responsible entity did not have a copy of its current Operating Plan for backup functionality available in at least one of its control locations.	N/A	The responsible entity did not have a copy of its current Operating Plan for backup functionality at any of its locations.
R3.	The Reliability Coordinator has a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) in accordance with Requirement R3 but it did not provide the functionality required for maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the Reliability Coordinator that depend on the primary control center functionality and which have a Lower VRF.	The Reliability Coordinator has a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) in accordance with Requirement R3 but it did not provide the functionality required for maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the Reliability Coordinator that depend on the primary control center functionality and which have a Medium VRF.	The Reliability Coordinator has a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) in accordance with Requirement R3 but it did not provide the functionality required for maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the Reliability Coordinator that depend on the primary control center functionality and which have a High VRF.	The Reliability Coordinator does not have a backup control center facility (provided through its own dedicated backup facility or at another entity's control center staffed with certified Reliability Coordinator operators when control has been transferred to the backup facility) in accordance with Requirement R3.
R4.	The responsible entity has backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) in accordance with Requirement R4 but it did not include monitoring, control, logging, and alarming sufficient for	The responsible entity has backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) in accordance with Requirement R4 but it did not include monitoring, control, logging, and alarming sufficient for	The responsible entity has backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) in accordance with Requirement R4 but it did not include monitoring, control, logging, and alarming sufficient for	The responsible entity <del>does not</del> have backup functionality (provided either through a facility or contracted services staffed by applicable certified operators when control has been transferred to the backup functionality location) in accordance with Requirement R4.



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R#	Lower	Moderate	High	Severe
	maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the responsible entity that depend on the primary control center functionality and which have a Lower VRF.	maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the responsible entity that depend on the primary control center functionality and which have a Medium VRF.	maintaining compliance with one or more of the Requirements in the Reliability Standards applicable to the responsible entity that depend on the primary control center functionality and which have a High VRF.	
R5.	The responsible entity did not update and approve its -Operating Plan for backup functionality for more than 60 calendar days and less than or equal to 70 calendar days after a change to any part of the Operating Plan described in Requirement R1.	The responsible entity did not update and approve its -Operating Plan for backup functionality for more than 70 calendar days and less than or equal to 80 calendar days after a change to any part of the Operating Plan described in Requirement R1.	The responsible entity did not update and approve its -Operating Plan for backup functionality for more than 80 calendar days and less than or equal to 90 calendar days after a change to any part of the Operating Plan described in Requirement R1.	The responsible entity did not have evidence that its dated, current, in force Operating Plan for backup functionality was annually reviewed and approved. OR, The responsible entity did not update and approve its -Operating Plan for backup functionality for more than 90 calendar days after a change to any part of the Operating Plan described in Requirement R1.
R6.	N/A	The responsible entity has primary and backup functionality that do depend on each other for the control center functionality required to maintain compliance with Reliability Standards applicable for the entity that have a Lower VRF.	The responsible entity has primary and backup functionality that do depend on each other for the control center functionality required to maintain compliance with Reliability Standards applicable for the entity that have a Medium VRF.	The responsible entity has primary and backup functionality that do depend on each other for the control center functionality required to maintain compliance with Reliability Standards applicable for the entity that have a High VRF.
R7.	The responsible entity conducted an annual test of its Operating Plan for backup functionality but it did not document the results. OR, The responsible entity conducted an annual test of its Operating Plan for backup functionality but the test was for less than two continuous hours but more than or equal to 1.5 continuous hours.	The responsible entity conducted an annual test of its Operating Plan for backup functionality but the test was for less than 1.5 continuous hours but more than or equal to 1 continuous hour.	The responsible entity conducted an annual test of its Operating Plan for backup functionality but the test did not assess the transition time between the simulated loss of its primary control center and the time to fully implement the backup functionality OR, The responsible entity conducted an annual test of its Operating Plan for backup functionality but the test was	The responsible entity did not conduct an annual test of its Operating Plan for backup functionality. OR, The responsible entity conducted an annual test of its Operating Plan for backup functionality but the test was for less than 0.5 continuous hours.

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R#	Lower	Moderate	High	Severe
			for less than 1 continuous hour but more than or equal to 0.5 continuous hours.	
R8.	The responsible entity experienced a loss of its primary or backup functionality and anticipated that the loss of primary or backup functionality would last for more than six calendar months and provided a plan to its Regional Entity showing how it will re-establish <a href="#">primary or backup</a> functionality but the plan was submitted more than six calendar months but less than or equal to seven calendar months after the date when the functionality was lost.	The responsible entity experienced a loss of its primary or backup functionality and anticipated that the loss of primary or backup functionality would last for more than six calendar months provided a plan to its Regional Entity showing how it will re-establish <a href="#">primary or backup</a> functionality but the plan was submitted in more than seven calendar months but less than or equal to eight calendar months after the date when the functionality was lost.	The responsible entity experienced a loss of its primary or backup functionality and anticipated that the loss of primary or backup functionality would last for more than six calendar months provided a plan to its Regional Entity showing how it will re-establish <a href="#">primary or backup</a> functionality but the plan was submitted in more than eight calendar months but less than or equal to nine calendar months after the date when the functionality was lost.	The responsible entity experienced a loss of its primary or backup functionality and anticipated that the loss of primary or backup functionality would last for more than six calendar months, but did not submit a plan to its Regional Entity showing how it will re-establish <a href="#">primary or backup</a> functionality for more than nine calendar months after the date when the functionality was lost.

**E. Regional Variances**

None.

**Version History**

Version	Date	Action	Change Tracking
1	TBD	Revisions for Project 2006-04	Major re-write to accommodate changes noted in project file