



# Procedure

## SERC Regional Reliability Standards Development

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## 1.0 Purpose

This procedure defines the process for development, revision, reaffirmation, and withdrawal of a regional reliability standard by the SERC Reliability Corporation (SERC). SERC is a regional entity authorized through an approved delegation agreement with the North American Electric Reliability Corporation (NERC) to propose regional reliability standards in accordance with Section 215 of the Federal Power Act (FPA), the U.S. Federal Energy Regulatory Commission (FERC) Order No. 672, and Section 39 of Title 18 of the U.S. Code of Federal Regulations (18 C.F.R. § 39).

SERC Regional Reliability Standards apply to the planning, operation, and critical infrastructure protection of the Bulk Electric System in the SERC Region. Proposed SERC Regional Reliability Standards shall be subject to approval by NERC, as the Electric Reliability Organization, and by FERC before becoming mandatory and enforceable under Section 215 of the FPA. No SERC Regional Reliability Standard shall be effective within the SERC Region unless filed by NERC with FERC and approved by FERC.

SERC Regional Reliability Standards shall provide for as much uniformity as possible with reliability standards across the interconnected Bulk Electric System of the North American continent. A SERC Regional Reliability Standard shall be more stringent than a continent-wide reliability standard, including a regional difference that addresses matters that the continent-wide reliability standard does not, or regional difference necessitated by a physical difference in the Bulk Electric System. A SERC Regional Reliability Standard that satisfies the statutory and regulatory criteria for approval of proposed North American reliability standards, and that is more stringent than a continent-wide reliability standard, would generally be acceptable.

SERC Regional Reliability Standards, when approved by FERC, shall be made part of the body of NERC reliability standards and shall be enforced upon all applicable Bulk Electric System owners, operators, and users within the SERC Region, regardless of membership in the Region.

## 2.0 Responsible SERC Group(s)

The SERC Standards Committee (SC) is responsible for issuing and maintaining this document.

## 3.0 Review and Re-approval Requirements

This document will be reviewed every five calendar years or as appropriate by the SC for possible revision. If the document is revised, the document will be re-approved by SERC Board of Directors (Board) and distributed to the SERC Technical Committees. In accordance with the NERC Rules of Procedure section 311, SERC shall forward any proposed revisions to this document to NERC for approval.

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#### 4.0 Regional Reliability Standard Development Procedure

The SERC Regional Standards Development Procedure is based on the *NERC Standard Processes Manual*.

#### 5.0 Process Roles

**Requester:** The Requester is the sponsor of the SERC Regional Reliability Standard request and may assist in the development of the standard. Any Member Company of SERC, or any group (or member of a group) within SERC (i.e., committee, subcommittee, working group, study group, task force, or SERC staff), shall be allowed to request that a SERC Regional Reliability Standard be developed, modified, or withdrawn. Additionally, any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System shall be allowed to request that a SERC Regional Reliability Standard be developed, modified, or withdrawn.

**SERC Board of Directors:** The SERC Board of Directors shall consider for approval as SERC Regional Reliability Standards, those Standards that have been developed and approved by this procedure. Once the Board approves a SERC Regional Reliability Standard, such Standard shall be submitted to NERC for approval. When approved by NERC, it shall be submitted to FERC for approval.

**SERC staff:** The SERC Program Manager of Standards is responsible for forwarding a request for the development, modification or withdrawal of SERC Regional Reliability Standards to the SERC Standards Committee. SERC staff shall facilitate all steps in this process.

**SERC Standards Committee:** The SERC Regional Reliability Standard Development Procedure shall be administered by the SERC Standards Committee (SC). The SERC SC is responsible for ensuring that the development, modification, or withdrawal of SERC Regional Reliability Standards is in accordance with the steps in this procedure. The SERC SC will ensure the integrity of the process and the consistency of quality and completeness of the SERC Regional Reliability Standards.

**SERC Technical Committees:** The SERC Technical Committees will perform a high level technical review of the Standard Authorization Request (SAR) to determine which requests for new or revised standards shall be assigned for development (or existing standards considered for deletion). The Technical Committees will appoint the Standard Drafting Team.

The current SERC Technical Committees are the Engineering Committee (EC), Operating Committee (OC), and Critical Infrastructure Protection Committee (CIPC). The Technical Committees are balanced stakeholder committees, inclusive of all stakeholder interests that provide for or are materially impacted by the reliability of the Bulk Electric System.

**Standard Drafting Team (SDT):** Standard Drafting Teams are teams responsible for drafting the standard. The SDT may include technical experts and be adjunct to a permanent SERC Technical Committee subgroup. An SDT is established expressly to draft the standard. Membership on an SDT will be assigned by the SERC EC, OC, and/or CIPC. The Requester

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may act as the SDT, serve on the SDT, or otherwise assist the SDT. SERC membership is not a prerequisite for serving on an SDT. The SDT will:

- Develop the details of the SERC Regional Reliability Standard,
- Consider and respond to industry comments,
- Participate in forums to help build consensus on draft SERC Regional Reliability Standards,
- Assist in the implementation of approved SERC Regional Reliability Standards,
- Provide technical oversight in response to changing industry conditions, and
- Assist in the identification of the need for new SERC Regional Reliability Standards.

**Registered Ballot Body (RBB):** The RBB votes to approve standards. The RBB is open to entities or individuals that qualify for one of the SERC industry Sectors, and are registered with SERC as potential ballot participants in the voting on standards. SERC membership is not a prerequisite for registering with SERC as a potential ballot participant. Any entity that is directly and materially affected by the reliability of the Bulk Power System within the SERC Region shall be allowed to register as a potential ballot participant.

Each member of the RBB is eligible to vote on standards. Each standard action has its own ballot pool formed of interested members of the RBB.

**Ballot Pool:** Each standard action has its own ballot pool formed of interested members of the RBB. The ballot pool comprises those members of the RBB that respond to a pre-ballot survey for that particular standard action. The ballot pool will ensure, through its vote, the need for and technical merits of a proposed standard action and the appropriate consideration of views and objections received during the development process. The ballot pool votes to approve each standards action.

## 6.0 Process Steps

### Step 1: Request for a new SERC Regional Reliability Standard or modification to, or withdrawal of an existing SERC Regional Reliability Standard

A request to develop, modify, or withdraw a SERC Regional Reliability Standard shall be submitted, using the SERC Regional Reliability SAR Form (see Appendix C), to the SERC Program Manager of Standards (via e-mail to [regstd@serc1.org](mailto:regstd@serc1.org)) by any Member Company of SERC, or any group (or member of a group) within SERC (i.e., committee, subcommittee, working group, study group, task force, or SERC staff), or any entity that is directly and materially affected by reliability of the Bulk Power System within the SERC Region. The SERC SAR Form can be downloaded from the SERC website ([www.serc1.org](http://www.serc1.org)).

An acceptable SAR shall contain a description of the proposed regional reliability standard subject matter with sufficient descriptive detail of the proposed standard to clearly define the

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purpose, scope, impacted parties, and other relevant information. **The Requester must verify in the Justification section of the SAR that the request meets one of the following criteria:**

- The proposed standard covers a topic addressed in a continent-wide standard, but the proposed standard will include requirements more stringent than those in the continent-wide standard.
- The proposed standard addresses matters that the continent-wide reliability standards do not.
- The proposed standard is necessitated by a physical difference in the Bulk Electric System.

SERC staff shall verify that the SAR Form has been adequately completed. Within 15 calendar days of receiving the SAR, the SERC Program Manager of Standards or his designee will electronically acknowledge receipt of the SAR, and will forward the SAR to the SERC Standards Committee. The SERC Program Manager of Standards may offer the Requester suggestions regarding changes or improvements to enhance the clarity of the proposed standards work and to assist the SERC Standards Committee in understanding the Requester's intent and objectives. The Requester is free to accept or reject these suggestions.

### **Step 2: Assignment of SERC Regional Reliability Standard Request**

The SERC Standards Committee will review the SAR to ensure it is not in conflict with or duplication of a current standard or a standards drafting effort already proposed or in progress. Within 15 calendar days after receiving the SAR from the SERC Program Manager of Standards, the SERC Standards Committee will take one of the two following actions:

- Assign the SAR to the appropriate SERC Technical Committee(s). SERC staff will forward the SAR to the Chair(s) and Executive Committee(s) of the appropriate SERC Technical Committee(s).
- Remand the SAR to the Requester for additional work. The SERC Program Manager of Standards will make reasonable efforts to assist the Requester in addressing the deficiencies identified by the SERC Standards Committee. The Requester may then resubmit the modified SAR using the process defined in Step 1 above. The Requester may choose to withdraw the SAR from further consideration.

### **Step 3: Acceptance of a SERC Regional Reliability Standard Request**

Within 60 calendar days of them receiving the completed SAR, the Executive Committee(s) of the assigned SERC Technical Committee(s) shall determine the disposition of the SAR. The committee(s) shall verify that the SAR Requester has provided information to justify that the request meets one of the following criteria:

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- The proposed standard covers a topic addressed in a continent-wide standard, but the proposed standard will include requirements more stringent than those in the continent-wide standard.
- The proposed standard addresses matters that the continent-wide reliability standards do not.
- The proposed standard is necessitated by a physical difference in the Bulk Electric System.

The committee(s) will take one of the two following actions and notify the SC and SERC Program Manager of Standards:

- Accept the SAR as a candidate for development of a new standard, revision of an existing standard, or deletion of an existing standard. The committee(s) may, at (their) discretion, expand or narrow the scope of the SAR under consideration. The committee(s) shall prioritize the development of the standard in relation to other proposed standards, as may be required based on the volume of requests and resources.
- Reject the SAR. If the committee(s) rejects a SAR, they will deliver a written explanation for rejection to the Requester within 30 calendar days of the decision.

Deliberations and decisions of the Executive Committee(s) of the assigned SERC Technical Committee(s) concerning requests shall be made and documented in accordance with the SERC Technical Committee rules and procedures then in effect.

#### **Step 4: Posting of SERC Regional Reliability Standard Request**

Any SAR that is accepted by the Executive Committee(s) of the assigned SERC Technical Committee(s) for development of a standard (or modification or deletion of an existing standard) shall be posted for public viewing on the SERC website within 30 calendar days of acceptance by the committee. A comments form and a nomination form to serve on the SDT will be included in the posting. A notice of the posting for a comment period of 30 calendar days will be sent to all SERC Technical Committees representatives and alternates. In addition, the notice will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities, individuals listed as entity contacts in the SERC Compliance Registry, and the SERC Registered Ballot Body representatives to seek input on the proposed SAR. SERC staff will post this on the SERC website and coordinate or send correspondences described in this and other steps of the process. SERC staff will assist in developing a response to any comments received. Any accompanying revision to the SAR based on comments received must be approved by the Executive Committee(s) of the assigned SERC Technical Committee(s).

#### **Step 5: Formation of a Standard Drafting Team**

Within 60 calendar days of accepting a SAR for development, the Executive Committee(s) of the assigned SERC Technical Committee(s) shall assign and direct the proposal to the

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appropriate Standard Drafting Team to develop the draft Regional Reliability Standard. The SDT may be a permanent Technical Committee subgroup (augmented by other persons as may be appropriate to address the subject matter of the proposed standard), or a task force established expressly by the Executive Committee(s) for drafting the standard. SERC membership is not a prerequisite for serving on an SDT.

After consulting with the Executive Committee(s) of the assigned SERC Technical Committee(s) as necessary, the SERC Standards Committee (SC) will assign a preliminary date on which the SDT is expected to have a completed draft Standard and associated supporting documentation available for consideration.

### **Step 6: Drafting of a SERC Regional Reliability Standard**

The SDT shall develop a work plan for completing the regional reliability standard, including the establishment of a milestone schedule for completing critical elements of the work in sufficient detail to ensure that the SDT will meet the objectives established by the SC. The SDT shall submit its work plan to the SC for its concurrence. Any subsequent revision to the plan by the SDT which delays balloting the draft standard by 60 calendar days or longer will be presented to the SC for its concurrence.

The SDT shall convene periodically, either in person or by electronic means as necessary, establish work teams (made up of members of the SDT) as necessary, and perform other activities to complete the proposed standard within the milestone date(s) agreed upon by the SC. All in-person SDT meetings or portions of meetings associated with development of the draft standard shall be open and publicly noticed on the SERC website for a minimum of 21 calendar days prior to the meeting. All conference call and video conference SDT meetings or portions of meetings associated with development of the draft standard shall be open and publicly noticed on the SERC website for a minimum of seven calendar days prior to the meeting. All SDT meeting attendees are required to register via the SERC website.

The SDT shall consider all comments received on the posting of the SAR and shall develop a draft SERC Regional Reliability Standard that will address the accepted SAR. The SDT shall use the most current version of the approved NERC Reliability Standard template and its associated elements posted on the NERC website as the format for the draft standard.

The work product of the SDT will be completed before taking the draft standard to ballot (Steps 9 and 10). Each item of the work product will be included as background information for at least one comments posting period (Step 7). The work product will consist of the following:

- A draft Standard consistent with the SAR upon which it is based.
- An assessment of the reliability impact of the standard request within the Region and in neighboring regions, including appropriate input from the neighboring regions if the standard request is likely to impact any neighboring region. Communications between neighboring regions may be through the regional reliability standard drafting teams, the regional reliability standards development staff, or other means as appropriate.

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- An implementation plan, including the nature, extent, and duration of field-testing, if any.
- Identification of any existing Standard that will be deleted, in part or whole, or otherwise impacted by the implementation of the draft Standard.
- Technical reports, white papers, and/or work papers that provide technical support for the draft Standard under consideration.
- Documentation of the perceived reliability impact should the Standard be approved.

The SDT shall regularly inform the SC, at a frequency determined by the SC, of its progress in meeting a timely completion of the draft standard. At a minimum, the SDT shall deliver a status report at every SC meeting. The SDT may, with justification, request of the SC scope changes from the SAR at any point in the standard development process.

The SDT shall submit the draft SERC Regional Reliability Standard and supporting documentation to the SC for review. The SDT will send any revised SERC Regional Reliability Standard to the SC in both “Clean” and “Tracking” formats. The SDT shall also send the SC an accompanying Comments Form which may include specific questions addressing the major issues associated with the new or revised standard. In any event, the Comments Form must also allow for general comments on the standard (see Appendix E for sample form). The SC will verify that the proposed standard is consistent with the SAR on which it was based. The SERC Regional Reliability Draft Standards Comments Form can be downloaded from the SERC website ([www.serc1.org](http://www.serc1.org)).

### **Step 7: Posting of a Draft SERC Regional Reliability Standard**

The SERC Standards Committee shall send to the SERC Program Manager of Standards the draft SERC Regional Reliability Standard, along with a draft implementation plan and supporting documents, for comments. SERC staff will post these documents on the SERC website for thirty (30) calendar days. A notice of the posting for comment will be sent to all SERC Technical Committees representatives and alternates. In addition, the request will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities, individuals listed as entity contacts in the SERC Compliance Registry, and the SERC Registered Ballot Body representatives to seek input on the draft SERC Regional Reliability Standard. Comments shall be submitted electronically (via e-mail) to [regstd@serc1.org](mailto:regstd@serc1.org). All comments are due by the close of business on the 30<sup>th</sup> calendar day after posting. If the comment due date falls on a weekend or nationally recognized holiday, the comments shall be due by the close of business on the next regularly scheduled business day.

### **Step 8: Standard Drafting Team Review of Comments**

SERC staff shall forward all comments received to the SDT. The SDT shall review the comments received and revise the draft SERC Regional Reliability Standard as needed. The SDT shall develop a written response to each comment received using the Consideration of

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Comments Form template (see Appendix F). Users can download the SERC Consideration of Comments Form template from the SERC website ([www.serc1.org](http://www.serc1.org)). SERC staff will post the completed Consideration of Comments Form on the SERC website.

The SDT shall summarize comments that the SDT rejected, and the reason(s) for rejection, in part or whole. The SDT shall submit to the SC the summary of comments rejected, the completed Consideration of Comments Form, and any resulting revisions to the draft SERC Regional Reliability Standard.

If needed, SERC staff will post a second draft of the SERC Regional Reliability Standard (along with the summary of comments rejected and the Consideration of Comments from the previous posting) for another comment period. Such comment period shall be for thirty (30) calendar days. A notice of the posting for comment will be sent to all SERC Technical Committees representatives and alternates. In addition, the notice will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities, individuals listed as entity contacts in the SERC Compliance Registry, and the SERC Registered Ballot Body representatives to seek input on the revised draft SERC Regional Reliability Standard.

Based on comments received to the posting, Step 7 will repeat as necessary until the SDT and the SC agree that no additional comments posting periods are warranted.

The SERC Program Manager of Standards will then request the NERC regional reliability standards staff to make arrangements for a formal quality review of the draft standard. The SDT will develop responses to any recommendations from that review, including developing revisions to the draft standard if appropriate. The SDT and SC must agree on those responses prior to taking one of the two following actions:

- Submit the draft standard for an additional comment posting period (Step 7); or
- Submit the draft standard to the SERC Ballot Body for approval (Step 9).

The SC will determine whether to request an additional NERC formal quality review for a draft standard which has been revised, based on responses to an additional comment posting period.

### **Step 9: Notice of Vote to Approve a SERC Regional Reliability Standard**

The Standard Drafting Team shall submit the summary of comments rejected and the Consideration of Comments document, along with the final draft of the proposed SERC Regional Reliability Standard (both "Tracking" and "Clean" versions for standard revisions) to the SERC Program Manager of Standards for posting on the SERC website at least 15 calendar days prior to requesting approval of the standard.

The SERC Program Manager of Standards shall post the proposed standard and implementation plan for ballot, then announce the vote to approve the standard, including when the vote will be conducted and the method for voting. Once the notice for a vote has been issued, no substantive modifications may be made to the proposed standard unless the revisions are posted and a new notice of the vote is issued.

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**Ballot pool:** The SERC Program Manager of Standards shall establish a ballot pool for a standard action at least 15 calendar days prior to the start of a ballot. The SERC Program Manager of Standards shall send a notice to every entity in the Registered Ballot Body. The purpose of this notice is to establish a ballot pool to participate in the ballot of the proposed standards action.

Any member of the Registered Ballot Body may join or drop out of a ballot pool until the ballot period begins (Step 10). No Registered Ballot Body member may join or leave the ballot pool once the first ballot starts. The SERC Program Manager of Standards shall coordinate changes to the membership of the ballot pool and publicly post the standard ballot pool for each standard action.

The SERC Program Manager of Standards shall schedule a vote by the ballot pool for approval. The vote shall commence no sooner than 15 calendar days and no later than 30 calendar days following the issuance of the notice for the vote.

### **Step 10: SERC Ballot Pool of Registered Ballot Body Approval**

The ballot pool shall have a minimum of ten (10) calendar days to vote on a standards action. The ballot pool should give due consideration to the work of the SDT, as well as the comments of stakeholders and minority objections, in approving a proposed regional reliability standard. The ballot pool may vote to approve or not approve the standard. The ballot will include provisions for comments. The SDT shall develop a written response to each ballot comment received.

If the new or revised standard does not pass balloting, the Technical Committee(s) will determine whether to send the draft SERC Regional Reliability Standard back to the SDT to repeat Step 8 to incorporate any ballot or SERC Technical Committee(s) comments, form a new SDT for that purpose, or to withdraw the proposed SERC Regional Reliability Standard.

If the standard is withdrawn, the reason will be posted on the SERC website. A notice of the posting will be sent to all SERC Technical Committee representatives and alternates. In addition, the notice will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities, individuals listed as entity contacts in the SERC Compliance Registry, and the SERC Registered Ballot Body representatives.

### **Step 11: Submission of SERC Regional Reliability Standards to NERC to post for comments**

Once the SERC RBB approves the SERC Regional Reliability Standard, the SERC Program Manager of Standards will forward it to NERC and request that they post it for comments in accordance with the NERC Regional Reliability Standards Evaluation Procedure.

The Standard Drafting Team will develop a response to any comments received and submit it along with any associated standard modifications to the SERC Standards Committee for approval. The SERC Standards Committee may approve minor editorial-type modifications that

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do not have a substantive impact. If the Standard Drafting Team proposes any substantive modifications, the SERC Standards Committee may 1) remand it to the Standard Drafting Team for further consideration; or 2) accept the proposed modification and send it back to Step 9 to re-ballot the standard.

## **Step 12: Approval of SERC Regional Reliability Standards by the SERC Board of Directors**

The SERC Board of Directors shall consider approval of any SERC Regional Reliability Standard that has been approved by the SERC RBB and has received SERC Standards Committee approval of the resolution of comments received during the Step 11 posting. A SERC Regional Reliability Standard submitted for approval by the SERC Board of Directors must be posted for notification on the SERC website at least 15 calendar days prior to action by the SERC Board of Directors. A notice of the posting will be sent to all SERC Board of Directors representatives and alternates, and to all SERC Technical Committee representatives and alternates. In addition, the notice will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities and to any entity that is directly and materially affected by the reliability of the Bulk Power System in the SERC Region.

The SERC Board of Directors shall consider the comments received, the responses provided, and any dissenting opinions. The SERC Board of Directors shall approve or reject a SERC Regional Reliability Standard as submitted, but may not substantively modify the proposed SERC Regional Reliability Standard.

If the SERC Board of Directors chooses to reject a SERC Regional Reliability Standard as submitted, it shall provide its reasons for doing so. The reasons for the decision will be posted on the SERC website. A notice of the posting will be sent to all SERC Technical Committees representatives and alternates. In addition, the notice will be sent (via e-mail) to NERC, the regional reliability standards area of the other Regional Entities, individuals listed as entity contacts in the SERC Compliance Registry, and the SERC Registered Ballot Body representatives. The assigned Technical Committee(s) will determine whether to resubmit the draft standard with modifications. If so, the Technical Committee(s) will remand the draft standard to the SDT in Step 8 above.

## **Step 13: Submission of SERC Regional Reliability Standards to NERC and FERC**

Once the SERC Regional Reliability Standard is approved by the SERC Board of Directors, the SERC President, or the President's designee will submit the SERC Regional Reliability Standard to NERC for adoption and filing with FERC. The SERC Program Manager of Standards will ensure the record of the standard development and any other documentation required for consideration by the NERC Board or FERC are included in the submittal.

If the NERC Board rejects the SERC Regional Reliability Standard the SERC Board will determine whether to send the SERC Regional Reliability Standard back to the assigned SERC Technical Committee(s) to incorporate the NERC Board comments, or to withdraw the standard.

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When adopted by the NERC Board, NERC will submit the SERC Regional Reliability Standard to FERC for approval. If FERC rejects the SERC Regional Reliability Standard, the SERC Board will determine whether to send the SERC Regional Reliability Standard back to the assigned SERC Technical Committee(s) to incorporate the FERC comments, or to withdraw the standard.

### Step 14: Implementation of SERC Regional Reliability Standards

A SERC Regional Reliability Standard approved by the SERC Board of Directors, NERC, and FERC, shall become effective on a date designated by FERC. In developing the standard, the SDT should consider the time needed for NERC and FERC approval in the proposed implementation date.

### 7.0 Revision History

Revision	Date	Originator	Comments
0	October 25, 2006		Document Origination
1	October 10, 2007		Document revised to change to a registered ballot body approach to approve standards, changed "Manager of Reliability Services" to Manager of Reliability Standards," changed the RSS meeting notice period to 21 days, changed the review period for this procedure from five to three years, and moved from the Standing Committee Executive Committees to the SERC Standards Committee the ability to remand a SAR back to the Requester for additional work.
2	Ballot pool approved: September 29, 2011  SERC Board Executive Committee Approved: December 14, 2011		Update to 1) address document three-year review and reapproval requirements; 2) address issues identified during the SERC 2009 audit by NERC; 3) make revisions to improve process efficiency and reduce the time required to develop a regional reliability standard; 4) ensure alignment with the NERC Standard Processes Manual, Revision 1 dated November 2010; and 5) changed the review period for this

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Revision	Date	Originator	Comments
			procedure back from three to five years.
3	<p>SERC Registered Ballot Body pool passed: May 10, 2017</p> <p>SERC Board of Directors approved: October 25, 2017</p>		<p>Periodic 5 year review, changes include:</p> <p>Removed reference to NERC-SERC Delegation Agreement since procedure was removed from the latest version of the agreement.</p> <p>Updated the SERC Reliability Standard Authorization Request (SAR) Form (Appendix C) to match NERC SAR form.</p> <p>Updated Reliability Principles and Market Principles per NERC documents.</p> <p>Updated SERC Committee titles and Process Roles to match the current SERC committee structure.</p> <p>Added an Errata section.</p> <p>Added Roles and Responsibilities chart.</p> <p>Updated NERC Functions per the latest NERC Compliance Registry.</p> <p>Transferred document to latest SERC document template.</p>

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## Appendix A Stakeholder Representation

### SERC Technical Committees and Member Representation

Membership in SERC is open to any entity in the SERC Region that is a user, owner, or operator of the Bulk Power System, has a material interest in the Bulk Power System in the SERC Region, satisfies the criteria for membership specified in the SERC Bylaws, section 2.2, qualifies for one or more of the Sectors identified in the Bylaws section 2.4, and is subject to the jurisdiction of the Federal Energy Regulatory Commission. SERC permits full and fair participation of all Member Companies through their representatives, including participation in the development of and voting on Regional Reliability Standards. The SERC technical committees have a role in developing standards, a ballot pool of the SERC Registered Ballot Body vote to approve Regional Reliability Standards, and the SERC Board of Directors adopts all standards. Since each Member Company is entitled to representation on both the Board and the Technical Committees, SERC’s membership criteria permits full and fair participation of its Member Companies.

The Technical Committees and their voting rights shall be established pursuant to the SERC Bylaws. Refer to the committee scope documents and the Organization and Procedures Manual for SERC Technical Committees for more specific details.

### SERC Regional Reliability Standards Voting Procedures

#### Registration Procedures

The Registered Ballot Body (RBB) is open to all organizations and entities that:

- Qualify for one of the SERC Sectors, and
- Are registered with SERC as potential ballot participants in the voting on standards.

All qualified participants will register electronically. Each participant, when initially registering to join the RBB will self-select to belong to one of the Sectors and will name its RBB representative. The Executive Committee of the Board of Directors or its designee will review all applications for joining the Registered Ballot Body, and make a determination of whether the self-selection satisfies the criteria to belong to that sector.

All registered organizations and entities that qualify for a Sector with SERC may vote on a standard. Voting is in writing with each registered stakeholder (a “stakeholder”) having one vote. The stakeholder’s RBB representative will have the right to register to participate in ballot pools and cast the stakeholder’s vote.

#### Sector Qualification Guidelines

The sector qualification guidelines are inclusive; i.e., any entity with a legitimate interest in the reliability of the SERC Bulk Electric System that can meet the criteria for a sector as defined in

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SERC's Bylaws is entitled to belong to and vote in that sector. The general guidelines are:

- Corporations or organizations with affiliates that qualify to belong to more than one sector (e.g., Investor-Owned Utility and Merchant Electricity Generator) may belong to each of the sectors in which they qualify, if each sector is represented by a different representative.
- At any given time, affiliated entities may collectively be registered only once within a sector.

**Definitions**

Individual Vote – shall mean a single vote accorded to each stakeholder.

**Quorum**

Two-thirds of the Individual Votes of the ballot pool shall constitute a quorum.

**SERC Registered Ballot Body Voting Requirements**

A ballot pool will be established to participate in the ballot of any proposed standards action. SERC offers all members of the SERC RBB the opportunity to join any ballot pools formed. Approval of a reliability standard or revision to a reliability standard requires the affirmative vote of a two thirds majority of the weighted Sector votes cast. The number of votes cast in each Sector is the sum of affirmative and negative votes, excluding abstentions and non-responses.

The following process determines if there are sufficient affirmative votes.

- The number of affirmative votes cast in each Sector will be divided by the sum of affirmative and negative votes cast to determine the fractional affirmative vote for each Sector. Abstentions and non-responses will not be counted for the purposes of determining the fractional affirmative vote for a Sector.
- The fractional affirmative vote for a Sector is then multiplied by the Sector weight factor, to determine the weighted fractional affirmative vote for a Sector. The weight factors for the Sectors are:
  - Investor-Owned Utility Sector: weight factor is 3.
  - Federal/State Sector: weight factor is 2.
  - Cooperative Sector: weight factor is 2.
  - Municipal Sector: weight factor is 2.
  - Marketer Sector: weight factor is 1.
  - Merchant Electricity Generator Sector: weight factor is 1.
  - ISO-RTO: weight factor is 1.
- The sum of the weighted fractional affirmative votes from all Sectors divided by the sum of the weights of the Sectors voting will determine if a two-thirds majority voted

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affirmatively. (SERC considers the Sector as “voting” if any member of the Sector in the ballot pool casts either an affirmative or a negative vote.)

- A standard will be approved if the sum of weighted fractional affirmative votes from all Sectors divided by the sum of the weights of the voting Sectors is two-thirds or greater.

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## Appendix B Principles, Characteristics and Special Procedures

### Principles

SERC develops regional reliability standards with due consideration of the following principles, in accordance with the steps outlined in this procedure. This procedure has been designed to ensure that any SERC Regional Reliability Standard is technically sound and the technical specifications proposed will achieve a valuable reliability objective.

The SERC Regional Reliability Standards Development Procedure has the following characteristics:

- **Open:** Participation in the development of a SERC Regional Reliability Standard shall be open to all organizations that are directly and materially affected by the reliability of the Bulk Power System in the SERC Region. There shall be no undue financial barriers to participation. Participation shall not be conditioned upon membership in SERC and shall not be unreasonably restricted on the basis of technical qualifications or other such requirements. Meetings of the Standard Drafting Team assigned to draft a standard shall be open to the SERC Member Companies and others.
- **Balanced:** The SERC Regional Reliability Standards Development Procedure strives to have an appropriate balance of interests and will not be dominated by any two interest categories and no single interest category shall be able to defeat a matter.
- **Inclusive:** Any entity (person, organization, company, government agency, individual, etc.) with a direct and material interest in the Bulk Electric System in the SERC Region shall have a right to participate by a) expressing a position and its basis, b) having that position considered, c) registering as a potential ballot participant and voting on a proposed standard; and d) having the right to appeal.
- **Fair due process:** The SERC Regional Reliability Standards Development Procedure provides for reasonable notice and opportunity for public comment. This procedure includes public notice of the intent to develop a standard, a public comment period on the proposed standard, due consideration of those public comments, and a ballot of interested stakeholders.
- **Transparent:** All actions material to the development of SERC Regional Reliability Standards shall be transparent. All standards development meetings shall be open and publicly noticed on the SERC web site.
- **Due course:** Does not unnecessarily delay development of the proposed SERC Regional Reliability Standard.

NERC has adopted reliability principles and market interface principles to define the purpose, scope, and nature of reliability standards. These principles are to be used to guide the development of reliability standards, including regional reliability standards. The NERC Board of

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Trustees may modify these principles from time to time, as necessary, to adapt its vision for reliability standards.

- Each SERC Regional Reliability Standard shall enable or support one or more of the reliability principles, thereby ensuring that each standard serves a purpose in support of the reliability of the regional Bulk Electric System. Each standard shall be consistent with all of the reliability principles, thereby ensuring that no standard undermines reliability through an unintended consequence.
- While reliability standards are intended to promote reliability, they must at the same time accommodate competitive electricity markets. Reliability is a necessity for electricity markets, and robust electricity markets can support reliability. Recognizing that Bulk Electric System reliability and electricity markets are inseparable and mutually interdependent, all SERC Regional Reliability Standards shall be consistent with NERC’s market interface principles. Consideration of the market interface principles is intended to ensure that standards are written such that they achieve their reliability objective without causing undue restrictions or adverse impacts on competitive electricity markets.

## Regional Reliability Standard Characteristics and Elements

### i. Characteristics of a SERC Regional Reliability Standard

The following characteristics describe objectives to be considered in the development of SERC Regional Reliability Standards:

1. **Applicability:** Each SERC Regional Reliability Standard clearly identifies the functional classes of entities responsible for complying with the standard, with any specific additions or exceptions noted. Such functional classes include: Reliability Coordinators, Balancing Authorities, Transmission Operators, Transmission Owners, Generator Operators, Generator Owners, Transmission Service Providers, Planning Coordinators, Transmission Planners, Resource Planners, Frequency Response Sharing Group, Reserve Sharing Group, Regulating Reserve Sharing Group, and Distribution Providers. Each SERC Regional Reliability Standard identifies the geographic applicability of the standard. A standard may also identify any limitations on the applicability of the standard based on electric facility characteristics.
2. **Reliability objectives:** Each SERC Regional Reliability Standard has a clear statement of purpose that describes how the standard contributes to the reliability of the Bulk Electric System.
3. **Requirement or outcome:** Each SERC Regional Reliability Standard states one or more requirements, which if achieved by the applicable entities, will provide for a reliable Bulk Electric System, consistent with good utility practices and the public interest.

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4. **Measurability:** Each performance requirement is stated to be objectively measurable by a third party with knowledge or expertise in the area addressed by that requirement. Each performance requirement has one or more associated measures used to objectively evaluate compliance with the requirement. If performance can be practically measured quantitatively, metrics are provided to determine satisfactory performance.
5. **Technical basis in engineering and operations:** Each regional reliability standard is based upon sound engineering and operating judgment, analysis, or experience, as determined by expert practitioners in that particular field.
6. **Completeness:** Each SERC Regional Reliability Standard is complete and self-contained. Supporting references may be provided with standards, but they are not part of the standard and do not impose mandatory requirements.
7. **Clear language:** Each SERC Regional Reliability Standard is stated using clear and unambiguous language. Responsible entities, using reasonable judgment and in keeping with good utility practice, are able to arrive at a consistent understanding of the required performance.
8. **Practicality:** Each SERC Regional Reliability Standard establishes requirements that can be practically implemented by the assigned responsible entities within the specified effective date and thereafter.
9. **Consistent terminology:** To the extent possible, SERC Regional Reliability Standards use a set of standard terms and definitions that are approved through the SERC Regional Reliability Standard Development Procedure.

Although regional reliability standards have a common format and process, several types of standards may exist, each with a different approach to measurement:

- Technical standards are related to the provision, maintenance, operation, or state of electric systems, and will likely contain measures of physical parameters that are technical in nature.
- Performance standards are related to the actions of entities providing for or impacting the reliability of the Bulk Electric System, and will likely contain measures of the results of such actions or qualities of performance of such actions.
- Preparedness standards are related to the actions of entities to be prepared for conditions that are unlikely to occur but are nonetheless critical to reliability and will likely contain measures of such preparations or the state of preparedness.

## ii. Elements of a SERC Regional Reliability Standard

To ensure uniformity of SERC Regional Reliability Standards, a SERC Regional Reliability Standard shall consist of the elements identified in Appendix D of this procedure. However, the most current version of the approved NERC Reliability Standard template and its associated

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elements posted on the NERC website will be used at the time of the development of the SERC Regional Reliability Standard if different from the elements listed in Appendix D. This is to ensure the SERC standard contains all essential elements in order to achieve consistency and uniformity, and to meet all statutory requirements. These elements are intended to apply a systematic discipline in the development and revision of standards. This discipline is necessary to achieving standards that are measurable, enforceable, and consistent.

All mandatory requirements of a SERC Regional Reliability Standard shall be within the standard. Supporting documents to aid in the implementation of a standard may be referenced by the standard but are not part of the standard itself.

### **iii. Maintenance of the SERC Regional Reliability Standards Development Procedure**

Any Member Company of SERC, or group (or member of a group) within SERC (i.e., committee, subcommittee, working group, study group, task force, or SERC staff), or any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System may submit a written request to modify the SERC Regional Reliability Standard Development Procedure. The Program Manager of Standards shall oversee the handling of the request.

Significant changes to this procedure shall be addressed using the same procedure as a request to develop, modify, or withdraw a SERC Regional Reliability Standard. For any such changes to this procedure, the SERC Standards Committee will assume the responsibilities normally assigned to the Executive Committee(s) of the SERC Technical Committee(s) in Steps 3, 5, and 10.

For any minor changes to this procedure, the SERC Standards Committee shall review the request and submit recommendations to the SERC Board of Directors for consideration. The SERC Board of Directors, on its own motion, may amend the SERC Regional Reliability Standard Procedure.

### **iv. Maintenance of SERC Regional Reliability Standards**

Each SERC Regional Reliability Standard shall be reviewed at least once every five (5) years. The review date will be determined from the effective date or the latest revision date, whichever is later. The review process shall be conducted in accordance with Steps 1 through 14 of the SERC Regional Reliability Standard Development Procedure. As a result of this review, a SERC Regional Reliability Standard shall be reaffirmed, revised, or withdrawn.

### **v. Errata**

From time to time, an error may be discovered in an approved regional reliability standard. If the Standards Committee agrees that the correction of the error does not change the scope or intent of the associated standard, and agrees that the correction has no material impact on the end users of the standard, then the correction shall be submitted for information to the SERC

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Board of Directors and filed for approval with applicable governmental authorities. The SERC Board of Directors has resolved to concurrently approve any errata approved by the Standards Committee.

Errata are errors in approved standards that, if corrected, do not change the scope or intent of the associated approved standard and do not have a material impact on the end users of the standard.

1. If the error falls into one of the following categories, the Program Manager of Standards will produce a red line version of the standard that shows the proposed correction:
  - a. A misspelled word
  - b. An incorrect reference to a requirement or measure
  - c. A missing word that, when added, improves readability but does not change the technical content
  - d. An error that, if corrected, does not change the scope or technical content of the standard
  - e. A discrepancy between the redline and clean versions of a balloted standard
2. If the error does not fall into the above categories as errata, the SC will review the standard to determine if the criticality of the error warrants actions prior to the next scheduled review of the standard.

**vi. Interpretations of Standards**

Any Member Company of SERC, or group within SERC, or an entity that is directly and materially affected by reliability of the SERC Bulk Electric System shall be permitted to request an interpretation of a SERC Regional Reliability Standard. The entity requesting an interpretation shall send a request to [regstd@serc1.org](mailto:regstd@serc1.org) explaining the specific circumstances surrounding the request and what clarifications are required as applied to those circumstances. The request should indicate the material impact to the requesting party, or others, caused by the lack of clarity or a possible incorrect interpretation. SERC staff will forward requests for interpretations to the SERC Standards Committee, who will assign an Interpretation Drafting Team (IDT) with the relevant expertise to address the clarification. The IDT should include appropriate industry stakeholder representatives and members of the original Standard Drafting Team, consistent with availability.

As soon as practical, (but not more than forty-five (45) calendar days following establishment of the IDT), the IDT will prepare a draft interpretation of the SERC Regional Reliability Standard addressing the issues raised. SERC staff will post the draft interpretation on the SERC website for a 30-day informal<sup>1</sup> stakeholder comment period. A notice of the posting will be sent to all SERC Technical Committees representatives and alternates; NERC; the regional reliability

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<sup>1</sup> An informal comment period does not require the IDT to respond to every stakeholder comment and is only used to make potential changes for the final draft of the interpretation.

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standards area of the other Regional Entities; individuals listed as entity contacts in the SERC Compliance Registry; and the SERC Registered Ballot Body representatives by e-mail. Comments shall be submitted electronically by e-mail to [regstd@serc1.org](mailto:regstd@serc1.org). All comments are due by the close of business on the 30<sup>th</sup> calendar day of posting. If the comment due date falls on a weekend or nationally recognized holiday, the comments shall be due by the close of business on the next regularly scheduled business day.

The IDT will review the stakeholder feedback and may revise the draft interpretation. The IDT will then forward the draft interpretation to the SERC Standards Committee for review. The Standards Committee will determine if the interpretation is consistent with the standard and does not add additional requirements to the standard. The interpretation will then be posted for public review and a ballot pool will be formed consistent with the process steps to approve a draft standard as detailed in the body of this procedure. The interpretation is then balloted and, if approved, submitted for SERC Board of Directors approval and filing with NERC and FERC.

If approved by FERC, the interpretation is appended to the SERC Regional Reliability Standard and is effective immediately. The interpretation will stand until the SERC Regional Reliability Standard is revised through the normal process, at which time the SERC Regional Reliability Standard will be modified to incorporate the clarifications provided by the interpretation.

## vii. Appeals

Any Member Company of SERC or any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System that believes it has been or will be adversely affected by any substantive or procedural action or inaction related to the development, approval, revision, or withdrawal of a SERC Regional Reliability Standard shall have the right to appeal. This appeals process applies only to the SERC Regional Reliability Standards Process as defined in this manual. The burden of proof to show adverse effect shall be on the appellant. Appeals shall be made within thirty (30) calendar days of the date of the action purported to cause the adverse effect. The final decisions of any appeal shall be documented in writing and posted on the SERC website. A notice of the posting will be sent to all SERC Board of Directors representatives and alternates, and to all SERC Technical Committees representatives and alternates. In addition, the notice will be sent (via e-mail) to the regional reliability standards area of the other Regional Entities and to any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System.

The appeals process provides two levels, with the goal of expeditiously resolving the issue to the satisfaction of the participants:

### 1. Level 1 Appeal

Level 1 is the required first step in this appeals process. The appellant submits to the SERC President a complaint in writing describing the substantive or procedural action associated with a SERC Regional Reliability Standard or the SERC Regional Reliability Standards Process. The appellant must describe in the complaint the actual or potential adverse impact to the appellant.

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Assisted by any necessary staff and the SERC Standards Committee, the SERC President, or the President's designee shall prepare a written response addressed to the appellant as soon as practical but not more than forty-five (45) calendar days after receipt of the complaint. If the appellant accepts the response as a satisfactory resolution of the issue, both the complaint and response will be made a part of the record associated with the SERC Regional Reliability Standard.

## 2. Level 2 Appeal

If after the Level 1 Appeal, the appellant remains unsatisfied with the resolution, notification shall be made in writing to the SERC President within fifteen (15) calendar days of the affected entity's Level 2 Appeal to the SERC Executive Committee. In all cases, no SERC Executive Committee members that have any direct affiliation with the participants in the appeal will participate in the Level 2 Appeal.

SERC staff shall post on the SERC website the notice of the Level 2 appeal and other relevant materials at least fifteen (15) calendar days prior to consideration of the Level 2 appeal by the SERC Executive Committee.

In addition to the appellant, any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System, and who is directly and materially affected by the substantive or procedural action referenced in the complaint shall be heard by the SERC Executive Committee. The SERC Executive Committee shall not consider any expansion of the scope of the appeal that was not presented in the Level 1 Appeal.

The Executive Committee may direct the SERC Standards Committee to research and/or advise it on technical issues or matters related to the appeal. Each appellant, any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System, and who is directly and materially affected by the substantive or procedural action referenced in the complaint may request that an ad hoc committee be formed to assist the Executive Committee in its review.

The SERC Executive Committee may in its decision find for the appellant and remand the issue to the SERC Standards Committee for resolution with a statement of the issues and facts in regard to which fair and equitable action was not taken.

The SERC Executive Committee may find against the appellant with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant and the appellant's objections.

The actions of the SERC Executive Committee shall be posted on the SERC website. A notice of the posting will be sent to the appellant, all SERC Board of Directors representatives and alternates, and all SERC Technical Committees representatives and alternates. In addition, the notice will be sent (via e-mail) to the regional reliability standards area of the other Regional Entities and to any entity that is directly and materially affected by the reliability of the SERC Bulk Electric System.

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## Appendix C SERC Regional Reliability Standard Authorization Request Form

The latest approved version of the form is posted on the SERC website: [www.serc1.org](http://www.serc1.org)

Complete and please email this form, with attachment(s) to: SERC Regional Standards

The SERC Reliability Corporation welcomes suggestions to improve the reliability of the bulk power system through improved Reliability Standards.

Requested information			
SAR Title:			
Date Submitted:			
SAR Requester			
Name:			
Organization:			
Telephone:		Email:	
SAR Type (Check as many as apply)			
<input type="checkbox"/> New Standard	<input type="checkbox"/> Imminent Action/ Confidential Issue (SPM Section 10)		
<input type="checkbox"/> Revision to Existing Standard	<input type="checkbox"/> Variance development or revision		
<input type="checkbox"/> Add, Modify or Retire a Glossary Term	<input type="checkbox"/> Other (Please specify)		
<input type="checkbox"/> Withdraw/retire an Existing Standard			
Justification for this proposed standard development project (Check all that apply to help SERC prioritize development)			
<input type="checkbox"/> Regulatory Initiation	<input type="checkbox"/> SERC Technical Committee Identified		
<input type="checkbox"/> Emerging Risk (Reliability Issues Steering Committee) Identified	<input type="checkbox"/> Enhanced Periodic Review Initiated		
<input type="checkbox"/> Reliability Standard Development Plan	<input type="checkbox"/> Industry Stakeholder Identified		
Industry Need (What Bulk Electric System (BES) reliability benefit does the proposed project provide?):			

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Requested information
Purpose or Goal (How does this proposed project provide the reliability-related benefit described above?):
Project Scope (Define the parameters of the proposed project):
Detailed Description (Describe the proposed deliverable(s) with sufficient detail for a drafting team to execute the project. If you propose a new or substantially revised Reliability Standard or definition, provide: (1) a technical justification <sup>2</sup> which includes a discussion of the reliability-related benefits of developing a new or revised Reliability Standard or definition, and (2) a technical foundation document (e.g. research paper) to guide development of the Standard or definition):
Cost Impact Assessment, if known (Provide a paragraph describing the potential cost impacts associated with the proposed project):
Please describe any unique characteristics of the BES facilities that may be impacted by this proposed standard development project (e.g. Dispersed Generation Resources):
To assist the SERC Standards Committee in appointing a drafting team with the appropriate members, please indicate to which Functional Entities the proposed standard(s) should apply (e.g. Transmission Operator, Reliability Coordinator, etc. See the most recent version of the NERC Functional Model for definitions):
Do you know of any consensus building activities <sup>3</sup> in connection with this SAR? If so, please provide any recommendations or findings resulting from the consensus building activity.

<sup>2</sup> The NERC Rules of Procedure require a technical justification for new or substantially revised Reliability Standards. Please attach pertinent information to this form before submittal to SERC.

<sup>3</sup> Consensus building activities are occasionally conducted by SERC and/or project review teams. They typically are conducted to obtain industry inputs prior to proposing any standard development project to revise, or develop a standard or definition.

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Requested information
Are there any related standards or SARs that should be assessed for impact as a result of this proposed project? If so which standard(s) or project number(s)?
Are there alternatives (e.g. guidelines, white paper, alerts, etc.) that have been considered or could meet the objectives? If so, please list the alternatives.

Reliability Principles	
Does this proposed standard development project support at least one of the following Reliability Principles (Reliability Interface Principles)? Please check all those that apply.	
<input type="checkbox"/>	1. Interconnected bulk power systems shall be planned and operated in a coordinated manner to perform reliably under normal and abnormal conditions as defined in the NERC Standards.
<input type="checkbox"/>	2. The frequency and voltage of interconnected bulk power systems shall be controlled within defined limits through the balancing of real and reactive power supply and demand.
<input type="checkbox"/>	3. Information necessary for the planning and operation of interconnected bulk power systems shall be made available to those entities responsible for planning and operating the systems reliably.
<input type="checkbox"/>	4. Plans for emergency operation and system restoration of interconnected bulk power systems shall be developed, coordinated, maintained and implemented.
<input type="checkbox"/>	5. Facilities for communication, monitoring and control shall be provided, used and maintained for the reliability of interconnected bulk power systems.
<input type="checkbox"/>	6. Personnel responsible for planning and operating interconnected bulk power systems shall be trained, qualified, and have the responsibility and authority to implement actions.
<input type="checkbox"/>	7. The security of the interconnected bulk power systems shall be assessed, monitored and maintained on a wide area basis.
<input type="checkbox"/>	8. Bulk power systems shall be protected from malicious physical or cyber attacks.

Market Interface Principles	
Does the proposed standard development project comply with all of the following Market Interface Principles?	Enter (yes/no)
1. A reliability standard shall not give any market participant an unfair competitive advantage.	

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Market Interface Principles	
2. A reliability standard shall neither mandate nor prohibit any specific market structure.	
3. A reliability standard shall not preclude market solutions to achieving compliance with that standard.	
4. A reliability standard shall not require the public disclosure of commercially sensitive information. All market participants shall have equal opportunity to access commercially non-sensitive information that is required for compliance with reliability standards.	

Identified Existing or Potential Regional or Interconnection Variances	
Region(s)/ Interconnection	Explanation
<i>e.g.</i> SERC	

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## Appendix D Elements of a SERC Regional Reliability Standard

<b>Title</b>	A brief, descriptive phrase identifying the topic of the standard.
<b>Identification number</b>	A unique identification number assigned to facilitate tracking and reference to SERC Regional Reliability Standards. The identification number will be consistent with the Numbering Convention for NERC Regional Reliability Standards. The latest approved version of the convention will be posted on the SERC website ( <a href="http://www.serc1.org">www.serc1.org</a> ).
<b>Effective date and status</b>	The effective date of the standard or, prior to approval of the standard by the Board of Directors, the proposed effective date.
<b>Purpose</b>	The purpose of the standard. The purpose shall explicitly state what outcome is expected by this standard.
<b>Applicability</b>	<p>Clear identification of the functional classes of entities responsible for complying with the standard, noting any specific additions or exceptions.</p> <p>If not applicable to the entire SERC Region, then a clear identification of the portion of the Bulk Electric System to which the standard applies. Any limitation on the applicability of the standard based on electric facility requirements should be described.</p>
<b>Requirement(s)</b>	Explicitly stated technical, performance, and preparedness requirements. Each requirement identifies what entity is responsible and what action is to be performed or what outcome is to be achieved. Each statement in the requirements section shall be a statement for which compliance is mandatory.
<b>Violation Severity Levels</b>	Defines the degree to which compliance with a requirement was not achieved. Each requirement must have at least one Violation Severity Level.

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<p><b>Violation Risk Factor(s)</b></p>	<p>The potential reliability significance of each requirement, designated as a High, Medium, or Lower Risk Factor in accordance with the criteria listed below:</p> <p>A High Risk Factor requirement (a) is one that, if violated, could directly cause or contribute to Bulk Electric System instability, separation, or a cascading sequence of failures, or could place the Bulk Electric System at an unacceptable risk of instability, separation, or cascading failures; or (b) is a requirement in a planning timeframe that, if violated, could, under emergency, abnormal, or restorative conditions anticipated by the preparations, directly cause or contribute to Bulk Electric System instability, separation, or a cascading sequence of failures, or could place the Bulk Electric System at an unacceptable risk of instability, separation, or cascading failures, or could hinder restoration to abnormal condition.</p> <p>A Medium Risk Factor requirement (a) is a requirement that, if violated, could directly affect the electrical state or the capability of the Bulk Electric System, or the ability to effectively monitor and control the Bulk Electric System, but is unlikely to lead to Bulk Electric System instability, separation, or cascading failures; or (b) is a requirement in a planning timeframe that, if violated, could, under emergency, abnormal, or restorative conditions anticipated by the preparations, directly affect the electrical state or capability of the Bulk Electric System, or the ability to effectively monitor, control, or restore the Bulk Electric System, but is unlikely, under emergency, abnormal, or restoration conditions anticipated by the preparations, to lead to Bulk Electric System instability, separation, or cascading failures, nor to hinder restoration to a normal condition.</p> <p>A Lower Risk Factor requirement is administrative in nature and (a) is a requirement that, if violated, would not be expected to affect the electrical state or capability of the Bulk Electric System, or the ability to effectively monitor and control the Bulk Electric System; or (b) is a requirement in a planning time frame that, if violated, would not, under the emergency, abnormal, or restorative conditions anticipated by the preparations, be expected to affect the electrical state or capability of the Bulk Electric System, or the ability to effectively monitor, control, or restore the Bulk Electric System.</p>
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<b>Measure(s)</b>	Each requirement shall be addressed by one or more measurements. Measurements that will be used to assess performance and outcomes for determining compliance with the requirements stated above. Each measurement identifies to whom the measurement applies and the expected level of performance or outcomes required demonstrating compliance. Each measurement shall be tangible, practical, and as objective as is practical. It is important to realize that measures are proxies to assess required performance or outcomes. Achieving the full compliance level of each measurement should be a necessary and sufficient indicator that the requirement was met. Each measure shall clearly refer to the requirement(s) to which it applies.
<b>Compliance monitoring process</b>	<p>Defines for each measure:</p> <ul style="list-style-type: none"> <li>• The specific data or information that is required to measure performance or outcomes.</li> <li>• The entity that is responsible for providing the data or information for measuring performance or outcomes.</li> <li>• The process that will be used to evaluate data or information for assessing performance or outcomes.</li> <li>• The entity that is responsible for evaluating data or information to assess performance or outcomes.</li> <li>• Measurement data retention requirements and assignment of responsibility for data archiving.</li> <li>•</li> </ul>
<b>Time horizon</b>	<p>The time period an entity has to mitigate an instance of violating the associated requirement.</p> <ul style="list-style-type: none"> <li>• Long-term planning — a planning horizon of one year or longer.</li> <li>• Operations planning — operating and resource plans from day-ahead up to and including seasonal.</li> <li>• Same-day operations — routine actions required within the timeframe of a day, but not real-time.</li> <li>• Real-time operations — actions required within one hour or less to preserve the reliability of the bulk electric system.</li> <li>• Operations assessment — follow-up evaluations and reporting of real time operations.</li> <li>•</li> </ul>

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Attached Supporting Information Elements

<b>Interpretations</b>	Any interpretations of the SERC Regional Reliability Standards that were developed, and approved by the SERC Executive Committee, to expound on the application of the standard for unusual or unique situations.
<b>Implementation plan</b>	Each SERC Regional Reliability Standard shall have an associated implementation plan describing the effective date of the standard or effective dates if there is a phased implementation. The implementation plan may also describe the implementation of the standard in the compliance program and other considerations in the initial use of the standard, such as necessary tools, training, etc. The implementation plan must be posted for at least one public comment period and is approved as part of the ballot of the standard.
<b>Supporting references</b>	<p>This section references related documents that support reasons for, or otherwise provide additional information related to the standard Examples include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Glossary of Terms</li> <li>• Developmental history of the standard and prior versions</li> <li>• Standard Drafting Team</li> <li>• Notes pertaining to implementation or compliance</li> <li>• Standard references</li> <li>• Procedures/Practices</li> <li>• Training and/or Technical Reference</li> <li>• Frequently Asked Questions Document</li> </ul>

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**Appendix E Comment Form for Draft SERC Regional Reliability Standard**

Latest approved version of the form is posted on the SERC website: [www.serc1.org](http://www.serc1.org).

**COMMENT FORM FOR [INSERT APPROPRIATE TITLE OF SERC REGIONAL RELIABILITY STANDARD]**

**Please use this form to submit comments on [insert description]. Comments must be submitted by [date]. You must submit the completed form by e-mailing it to [insert appropriate contact names & e-mail addresses] with the words [insert appropriate subject] in the subject line. If you have questions please contact [insert appropriate contact names, e-mail addresses & phone numbers].**

- DO: **Do** use punctuation and capitalization as needed.
- Do** use more than one form if responses do not fit in the spaces provided.
- Do** submit any formatted text or markups in a separate WORD file.

DO NOT: **Do not** submit a response in an unprotected copy of this form.

<b>Commenter Information</b>
Group Name (if applicable):
Contact Name:
Organization:
Telephone:
E-mail:

**Background:**

In this section, provide background information including the reasons for the development of new SERC Regional Reliability Standard or revisions to an existing SERC Regional Reliability Standard.

**Major Changes to this Revision of the SERC Regional Reliability Standard**

Provide additional information that may help the reviewers better understand the need and motivation for the changes.

**Include any other sections as necessary to facilitate the review process.**

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**Please Enter All Comments in Simple Text Format.**

***Insert a “check” mark in the appropriate boxes by double-clicking the gray areas.***

**[The following are sample questions. Revise the questions as appropriate.]**

1. Do you agree with the inclusion of the following in section [xxx] of the standard?

- Describe revision details.

2.1.1.1.  Yes

No

**Comments:**

2. Do you agree with the proposed definitions that were added or revised?

2.1.1.2.  Yes

No

**Comments:**

3. Do you agree with the deletion of the following section from part [xxx]?

2.1.1.3.  Yes

No

**Comments:**

4. Do you agree with the proposed changes in section [xxx] of the document?

2.1.1.4.  Yes

No

**Comments:**

5. Please identify anything you believe needs to be modified before this revision of the standard can be approved by SERC?

**Comments:**

6. Please provide any other comments on this revision of the standard?

**Comments:**

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**Appendix F SERC Consideration of Comments Form**

Latest approved version of the form is posted on the SERC website: [www.serc1.org](http://www.serc1.org)

**SERC [INSERT SDT NAME] Consideration of Comments on  
[INSERT APPROPRIATE SERC REGIONAL RELIABILITY STANDARD TITLE & REV. #]**

[SAMPLE LANGUAGE]

This document contains comments submitted on Revision [ ] of the [Standard], which was distributed for review on [Date] in accordance with the SERC Regional Reliability Standards Process Manual. Comments were received from the following.

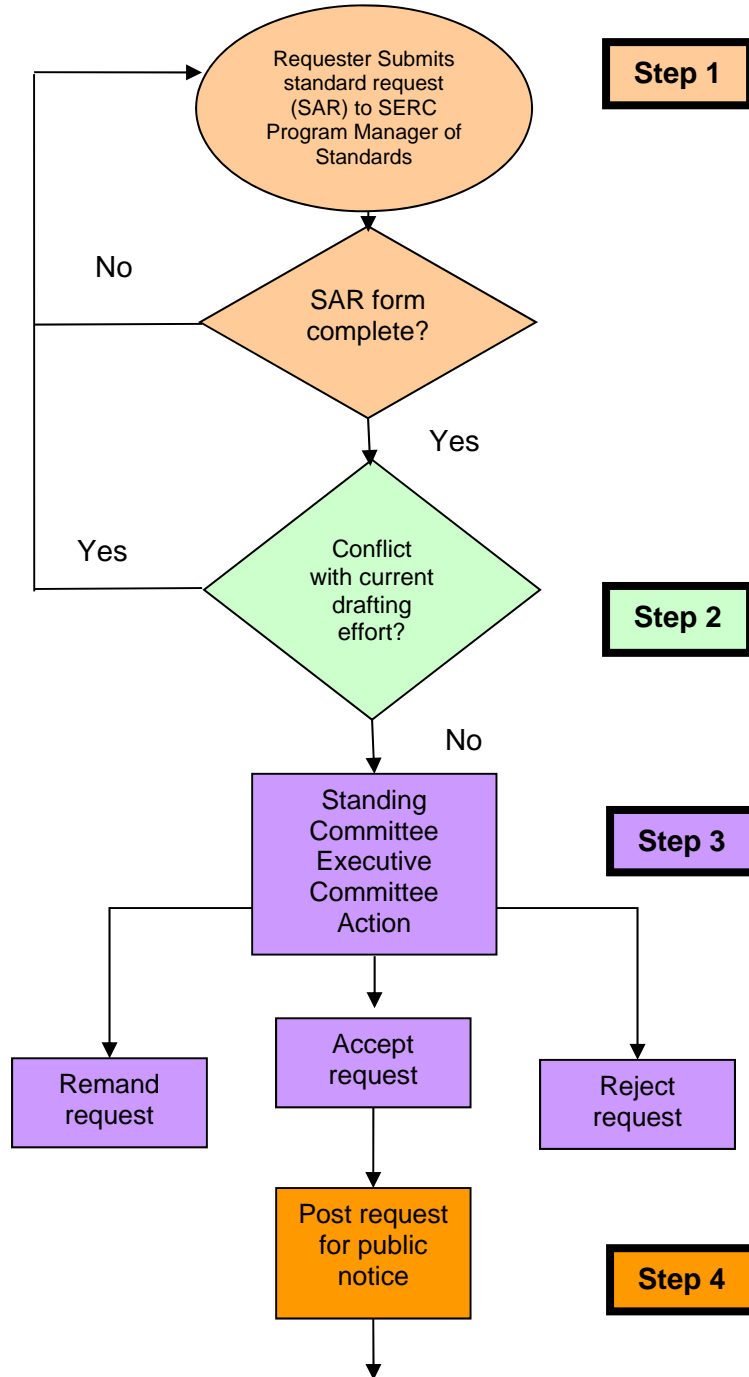
[INSERT INTRODUCTORY LANGUAGE AS APPROPRIATE]

Commenter	Comment	Response

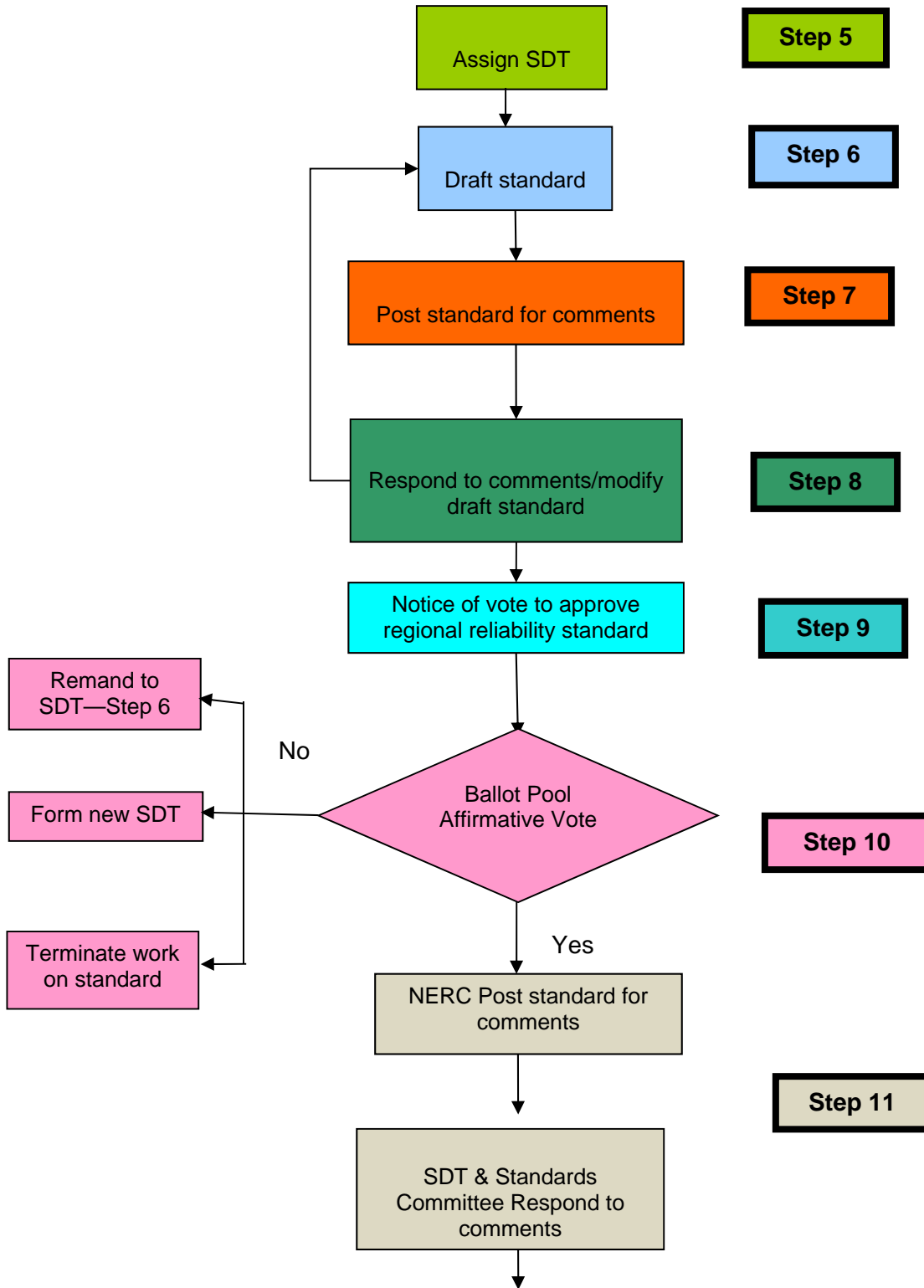
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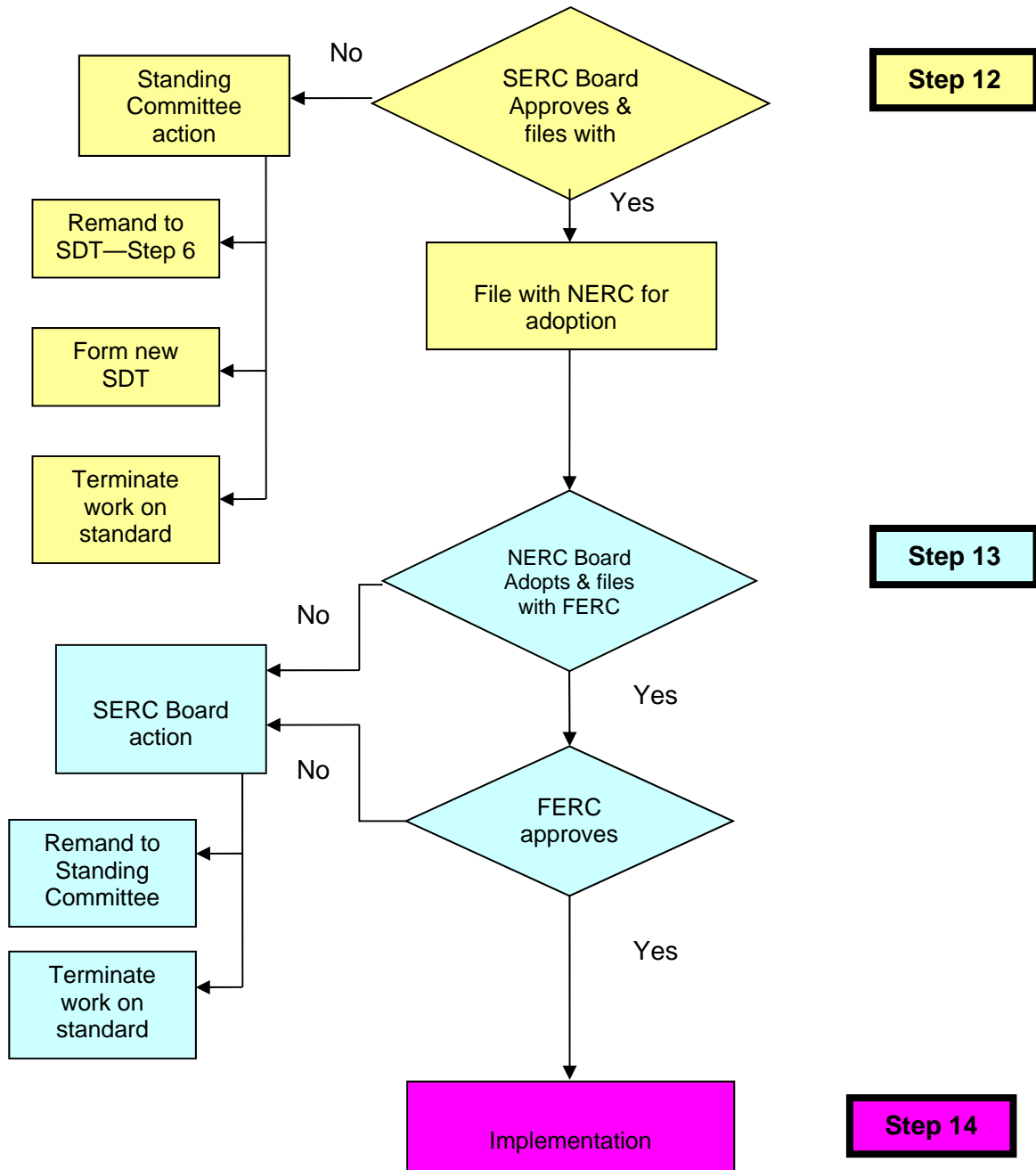
## Appendix G SERC Process Flow Diagram



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## Appendix H Roles and Responsibilities Chart

Step	Activity	Requestor	SERC Standards Program Manager	SERC Standards Committee	SERC Technical Committee	Standard Drafting Team	SERC Registered Ballot Body	SERC Board of Directors	NERC	FERC
1	Request for a new SERC Regional Reliability Standard or modification to, or withdrawal of an existing SERC Regional Reliability Standard	R A	R A C I	I						
2	Assignment of SERC Regional Reliability Standard Request	R C	R A C I	R A	R C					
3	Acceptance of a SERC Regional Reliability Standard Request	R C	R A C I	I	R A					
4	Posting of SERC Regional Reliability Standard Request	I	R A C I	I	I	I	I	I	I	
5	Formation of a Standard Drafting Team	I	R A C I	R A C I	R A C I	I	I	I	I	
6	Drafting of a SERC Regional Reliability Standard	I	R A C I	C I	C I	R A	I	I	I	

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Step	Activity	Requestor	SERC Standards Program Manager	SERC Standards Committee	SERC Technical Committee	Standard Drafting Team	SERC Registered Ballot Body	SERC Board of Directors	NERC	FERC
7	Posting of a Draft SERC Regional Reliability Standard		R A C I	R A I		R A				
8	Standard Drafting Team Review of Comments		R A C I	R A		R A			R	
9	Notice of Vote to Approve a SERC Regional Reliability Standard		R A C I			R A				
10	SERC Ballot Pool of Registered Ballot Body Approval		R A C I				R A			
11	Submission of SERC Regional Reliability Standards to NERC to post for comments		R A C I	R		R A			R	
12	Approval of SERC Regional Reliability Standards by the SERC Board of Directors		R A C I	R				R A		
13	Submission of SERC Regional Reliability Standards to NERC and FERC		R A C I							

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Step	Activity	Requestor	SERC Standards Program Manager	SERC Standards Committee	SERC Technical Committee	Standard Drafting Team	SERC Registered Ballot Body	SERC Board of Directors	NERC	FERC
14	Implementation of SERC Regional Reliability Standards		R A C I							
		<i>R</i>	<i>Responsible</i>							
		<i>A</i>	<i>Accountable</i>							
		<i>C</i>	<i>Consulted</i>							
		<i>I</i>	<i>Informed</i>							

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