



Procedure

SERC Technical Committee Documents

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1.0 Purpose

SERC members recognize a commitment to comply with NERC Reliability Standards for the planning, operation, and critical infrastructure protection of the interconnected bulk power system. The SERC Region subscribes to and fully supports the NERC Reliability Standards. SERC continues to seek excellence in the reliability of the interconnected bulk power system in the SERC footprint by striving to exceed compliance with Reliability Standards.

In addition to NERC and SERC Regional Reliability Standards, the SERC Technical Committees¹ have developed a series of documents to offer technical reference information to promote consistent practices among SERC members. These Technical Committee Documents may include Regional Criteria, Standard Application Guidance documents, and reference documents (i.e., guidelines, white papers, and procedures).

The following process is to ensure that all affected parties know when a new and revised SERC Technical Committee Document is available, and they have an opportunity to comment. ***This process does not apply to new or revised SERC Regional Reliability Standards.***

2.0 Scope

This procedure outlines the requirements for documents that are developed through the SERC Regional Reliability Standards Development Procedure that are SERC Technical Committee Documents.

2.1 Regional Criteria

Regional Criteria are not Standards, and therefore are not enforceable under section 215 of the Federal Power Act. Regional Criteria are instruments developed in accordance with section 313 of the *NERC Rules of Procedure* and utilized by SERC in its compliance with the terms and provisions of the delegation agreement with NERC.

SERC defines Regional Criteria as *reliability requirements developed by SERC that are necessary to implement, to augment, or to comply with Reliability Standards, but which are not Reliability Standards. Such Regional Criteria may be necessary to account for physical differences in the bulk power system but are not inconsistent with Reliability Standards nor do they result in lesser reliability. Regional Criteria may include specific acceptable operating or planning parameters, guides, agreements, protocols, or other documents.*

2.2 Standard Application Guidance Documents

Standard Application Guidance documents provide technical reference information to promote compliance with a single NERC Reliability Standard or family of Standards. They are developed

¹ SERC Technical Committees are the Critical Infrastructure Protection Committee (CIPC), Engineering Committee (EC), Operating Committee (OC), and Standards Committee (SC).

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by a subcommittee of a SERC Technical Committee. Review and endorsement by the SERC Compliance Monitoring department is required before seeking approval by the sponsoring Technical Committee.

2.3 Technical Committee Reference Documents

Technical Committee reference documents are documents developed and approved by one or more of the SERC Technical Committees which offer technical reference information to promote consistent practices among SERC registered entities. These documents may be classified as guidelines, white papers, or procedures.

2.4 Other SERC Committee Documents

Other documents are classified as job aides or administrative documents (e.g., technical procedure documents, subcommittee procedures, subcommittee reports, or subcommittee scope documents) and are not subject to the review requirements listed in this procedure. Some of these may be remanded back from the Technical Committee directly to a subcommittee for adoption.

3.0 Responsible SERC Group

The SERC Standards Committee (SC) is responsible for this process.

4.0 Review and Re-approval Requirements

This document will be reviewed every five calendar years or as appropriate for possible revision. The existing or revised document will be re-approved by the SERC Board Executive Committee and posted to the SERC website.

5.0 Policy Guidelines

SERC Standards staff is responsible to maintain an updated list of all SERC Regional Criteria and provide that list to NERC in accordance with Section 313 of the *NERC Rules of Procedure*.

6.0 General Procedure

6.1 New Document or Revision Proposal

Any member of a SERC Technical Committee, SERC Technical Committee subcommittee, or SERC staff may propose a new SERC Technical Committee document or a revision to an existing SERC Technical Committee document. The following steps outline the process:

1. The proposal is submitted in writing to regstd@serc1.org. SERC Standards staff forwards the proposal to the SERC SC.

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2. The SC reviews the request to ensure it is not in conflict with, or a duplication of, a SERC Technical Committee document drafting effort already proposed or in progress. The SC forwards the request and its findings to the appropriate SERC Technical Committee Chair(s). This step is only applicable to new documents.
3. The Technical Committee Chair(s) shall normally present the proposal to the Technical Committee Executive Committee(s) for approval or disapproval. If approved, the Technical Committee Chair(s) shall assign the proposal to the appropriate Responsible SERC Subcommittee (RSS). The RSS may be a permanent Technical Committee subcommittee or a task force established expressly for drafting the document. This step is only applicable to new documents.
4. The RSS drafts the document using the Technical Committee Document Template (Appendix C) as the format.
5. The RSS may initiate future draft revisions to the document at any time for reasons such as revisions to Standards, changes in practices, recertification requirements, etc. The RSS notifies SERC Standards staff of any such revisions planned for the current year.
6. SERC Standards staff creates an annual work plan for SC review and approval that outlines the upcoming documents that the RSS will revise.

New or revised Technical Committee documents are sent through the review process described in Section 6.2. The RSS may request the SC to waive the requirement for the draft revision document(s) to be sent through the review process. SERC Standards staff forwards the RSS request to the SC for action. The SC may grant a waiver, at its discretion, when the draft document revisions consist only of minor updates or editorial changes.

6.2 Document Revision Process

The SC is responsible to ensure that the review process is conducted consistently for all applicable draft SERC Technical Committee documents. SERC Standards staff is responsible for posting the draft document on the SERC website and for distributing information between SERC Technical Committees and subcommittees.

The process steps are as follows:

1. The SERC Staff Lead for the RSS submits the draft redlined document to SERC Standards staff.
2. SERC Standards staff sends the draft to SERC's Technical Writer requesting a five-business-day turnaround, unless advised otherwise. Technical Writer returns the reviewed, redlined document to SERC Standards staff.
3. SERC Standards staff submits the Technical Writer-reviewed redlined version to SERC Legal for review requesting a five-business-day turnaround, unless advised

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otherwise. Legal returns the reviewed, redlined document to SERC Standards staff.

4. SERC Standards staff returns the redlined document to the RSS for review.
5. After the RSS finalizes the proposed edits, the RSS sends SERC Standards staff the redlined and clean documents (with comments and edits accepted) with a comment form that includes specific questions addressing the major issues associated with the new or revised document. The comments form must also allow for general comments on the document (see Appendix A for the sample form).
6. Draft documents that are to be sent through this review process (along with accompanying comment forms) are posted on the SERC website for a 30-day review period.
7. From time to time, scheduling conflicts or other considerations may require a review period shorter than 30 calendar days. At the request of the RSS, the SC, at its discretion, may determine if a shorter review period is needed (but not less than 21 calendar days) in order to meet a deadline. SERC Standards staff informs the reviewing entities of the shorter review period when the draft new or revised document is posted for comments.
8. SERC Standards staff sends a notice of the posting for comment to all SERC Technical Committees' representatives and alternates. In addition, the request is sent (via email) to individuals listed as registered entity primary and secondary contacts in the SERC Compliance Registry.
9. Comments are to be documented on the accompanying comment form (Appendix A). Comment forms are to be attached to an email addressed to the SERC Regional Standards email address (regstd@serc1.org). SERC Standards staff consolidates comments into a Consideration of Comments document and forwards it to the RSS.
10. The SC may review comments and make recommendations concerning them. SERC Standards staff forwards any SC recommendations to the RSS.
11. The RSS develops a response to all comments and documents the responses in the Consideration of Comments Form (see Appendix B). The RSS notifies SERC Standards staff of the RSS decision to either repost or move toward approval.

6.3 Document Review and Approval

The responsible SERC Technical Committee(s) reviews for approval any new or revised Technical Committee documents. The review and approval process follows these steps:

1. The RSS sends the Consideration of Comments document along with the final draft of the document (both redlined and clean versions) to SERC Standards staff for posting on the SERC website at least two (2) weeks prior to requesting approval of the document by its responsible SERC Technical Committee.

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2. Two weeks prior to the vote, SERC Standards staff distributes the clean and redlined versions of the document, in addition to the Consideration of Comments form. The documents can be distributed in either of two methods:
 - Include the documents in the Technical Committee meeting agenda package, or
 - Post the documents on the SERC website.
3. During this two-week review period, any necessary editorial changes can be made only if the Technical Committee Chair and SERC Standards staff approves the changes.
4. The RSS presents the final document to its responsible SERC Technical Committee for approval.
5. The responsible SERC Technical Committee Chair presents to the SERC Board Executive Committee (BEC) any request for approval to create a new SERC Regional Criteria, or to reclassify or retire an existing SERC Regional Criteria. Periodic revisions to Regional Criteria are approved by the parent Technical Committee.

6.4 Document Posting

SERC Standards staff is responsible for posting approved Technical Committee documents on the SERC website. Once the document is approved, only editorial changes can be made. These changes can only be approved by the Technical Committee Chair. Such actions will be documented via email or another process. Those actions will be reported to the Standards Committee at its next meeting and/or via email.

6.5 Document Retirement

Below are the steps taken if a SERC Technical Committee or SERC Technical Committee subcommittee proposes retirement of an existing Technical Committee document:

1. The RSS reviews the document and develops technical justification to retire it.
2. The RSS Chair contacts SERC Standards staff with the technical justification and request to retire.
3. SERC Standards staff notifies the SC and appropriate Technical Committee of the technical justification and request to retire.
4. SERC Standards staff notifies the Primary and Secondary Compliance Contacts of the proposed retirement, and replaces the document on the SERC website with a notice of retirement.
5. Two weeks before the Technical Committee meeting, SERC Standards staff posts the technical justification, document, and request for retirement in the Technical Committee meeting agenda package.

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6. The Technical Committee votes on the retirement of the document during the Technical Committee meeting (endorses or dismisses retirement).
7. If the Technical Committee endorses retiring a SERC Regional Criteria, the SERC BEC then votes to approve or dismiss the retirement.
8. Upon approval, notice of retirement is removed from the SERC website.

7.0 Revision History

Revision	Date	Originator	Comments
0	October 1, 2006	Pat Huntley	Document Origination
1	SERC SC approved January 7, 2009. SERC Executive Committee approved January 22, 2009.	Pat Huntley	Updated the SERC Standing Committee Document definitions and made minor revisions to the process steps.
2	SERC SC endorsed June 26, 2012. SERC Executive Committee approved September 18, 2012.	Ben Deutsch	Updated to incorporate application guidance documents, added Appendix C for a standing committee documents template, and made minor process revisions.
3	December 11, 2014	Jeni Renew	Updated the revision document process to provide flexibility to commenting period, to add a section for document retirement, and to incorporate technical and legal review during revision process.
4	April 27, 2016	David Greene	Replaced "Standing Committees" with "Technical Committees" to align with <i>SERC Organization and Procedures Manual for Technical Committees</i> . Clarified approvals required for new, revised, and retired Technical Committee documents. Removed Acknowledge of Receipt form. Updated

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Revision	Date	Originator	Comments
			Appendix C with current SERC document template.

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Appendix A Sample Comment Form for SERC Technical Committee Document

Comment Form for [INSERT APPROPRIATE TITLE OF SERC TECHNICAL COMMITTEE DOCUMENT]

Please use this form to submit comments on [insert description]. Comments must be submitted by [date]. You must submit the completed form via email to SERC Regional Standards (regstd@serc1.org) with the words [insert appropriate subject] in the subject line. If you have questions, please contact [insert appropriate contact names, email addresses and 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.

Committer Information	
Group Name (if applicable):	
Contact Name:	
Organization:	
Telephone:	
Email:	

Background:

In this section, provide background information including the reasons for the development of a new document or revisions to an existing document.

Major Changes in this Revision of the SERC Technical Committee Document

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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Comment Form for [INSERT APPROPRIATE TITLE OF SERC TECHNICAL COMMITTEE DOCUMENT]

Please Enter All Comments in Simple Text Format.

Insert an X in the appropriate boxes. To do this, double-click the desired box, select Checked in the dialog box, and click OK.

[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 document?

Describe revision details.

Yes

No

Comments:

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

Yes

No

Comments:

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

Yes

No

Comments:

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

Yes

No

Comments:

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

Comments:

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

Comments:

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Appendix B Sample Consideration of Comments Form

SERC [INSERT RSS NAME] Consideration of Comments on [INSERT APPROPRIATE SERC TECHNICAL COMMITTEE DOCUMENT TITLE AND REV #]

[DATE]

This document contains comments submitted on Revision [#] of the [Document] which was distributed for review from [date] to [date] in accordance with the SERC Technical Committee Document Process.

[INSERT INTRODUCTORY LANGUAGE AS APPROPRIATE]

Comments were received from the following:

1. [name], [company]
2. [name], [company]
3. ...

Commenter	Comment	Response
<i>Question 1: [text]</i>		
Yes: # No: # No Response: #		
[name], [company]	[text]	[text]
[name], [company]	[text]	[text]
<i>Question 2: [text]</i>		
Yes: # No: # No Response: #		
[name], [company]	[text]	[text]
<i>Question 3: [text]...</i>		

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Appendix C Technical Committee Document Template

(Template begins on next page.)

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Procedure/Guideline/Report/Other

Document Title or Subject

In the header, edit the confidentiality marking. Confidentiality markings are explained in the [SERC Confidentiality Policy](#).

Complete the footer table. Enter the required information in the table cells.

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1.0 Purpose [Heading 1,Procedure]

The purpose of this insert text. [Normal]

Required. Use this section to explain the document’s purpose.

Style tags are shown in brackets. When you finish using the template examples, delete unused sections and all text shown in blue font.

1.1 Overview Flowchart [Heading 2]

Optional. Insert a flowchart to explain a process. Delete this section if not used.

1.2 Business Need [Heading 2]

Required. Use this section to explain the business need that this document meets.

1.2.1 Multilevel Lists [Heading 3]

Examples. The following are examples of nested lists (below Heading 3) and two levels of bullets. Delete unused paragraphs.

- 1. Text [List 123]
- 2. Text
- 3. Text
 - A. Text [List ABC]
 - B. Text
 - C. Text
- Text [Bullet 1]
- Text
 - Text [Bullet 2]
 - Text

1.2.1.1 Text [Heading 4]

Heading 4s do not appear in the table of contents.

2.0 Scope

Required. Use this section to define the document’s scope limits, such as the intended audience and date range. For example, “This report is for the SERC RRT and includes survey data collected from March 1 through December 31, 2014.”

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3.0 Definitions

Optional. Delete this section if not used.

Term or Acronym	Definition

4.0 Responsible SERC Group(s)

Required. State the SERC group responsible for issuing and maintaining the document.

5.0 Review and Re-approval Requirements

Required. This document will be reviewed every **number** calendar years or as appropriate for possible revision. The existing or revised document will be re-approved by **approving entity** and distributed to **recipient(s)** .

6.0 Policy Guidelines

Optional. List any corporate policy or procedure that relates to the current document. Delete this section if not used.

7.0 General Procedure

Required. Include the step-by-step details of a procedure, policy, or guide. This section should include the body, or “meat,” of the document.

8.0 References

Optional. List references for this document. Delete this section if not used.

- Reference
- Reference

9.0 Revision History

Required.

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Appendix A Appendix Title [Appendix]

Optional. Copy and paste the heading above to add another appendix if needed.

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