

A. Introduction

1. **Title:** Reliability Coordination – Responsibilities
2. **Number:** IRO-001-4
3. **Purpose:** To establish the responsibility of Reliability Coordinators to act or direct other entities to act.
4. **Applicability**
 - 4.1. Reliability Coordinator
 - 4.2. Transmission Operator
 - 4.3. Balancing Authority
 - 4.4. Generator Operator
 - 4.5. Distribution Provider
5. **Effective Date:**

See Implementation Plan.
6. **Background:**

See the Project 2014-03 [project page](#).

B. Requirements and Measures

- R1.** Each Reliability Coordinator shall act to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions. *[Violation Risk Factor: High][Time Horizon: Same-Day Operations, Real-time Operations]*
- M1.** Each Reliability Coordinator shall have and provide evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions.
- R2.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall comply with its Reliability Coordinator's Operating Instructions unless compliance with the Operating Instructions cannot be physically implemented or unless such actions would violate safety, equipment, regulatory, or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Same-Day Operations, Real-time Operations]*
- M2.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall have and provide evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or

equivalent documentation, that will be used to determine that it complied with its Reliability Coordinator's Operating Instructions, unless the instruction could not be physically implemented, or such actions would have violated safety, equipment, regulatory or statutory requirements. In such cases, the Transmission Operator, Balancing Authority, Generator Operator, or Distribution Provider shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Reliability Coordinator's Operating Instructions. If such a situation has not occurred, the Transmission Operator, Balancing Authority, Generator Operator, or Distribution Provider may provide an attestation.

- R3.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall inform its Reliability Coordinator of its inability to perform the Operating Instruction issued by its Reliability Coordinator in Requirement R1. *[Violation Risk Factor: High] [Time Horizon: Same-Day Operations, Real-time Operations]*
- M3.** Each Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall have and provide evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it informed its Reliability Coordinator of its inability to perform an Operating Instruction issued by its Reliability Coordinator in Requirement R1.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority

As defined in the NERC Rules of Procedure, "Compliance Enforcement Authority" (CEA) means NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

1.2. Compliance Monitoring and Assessment Processes:

As defined in the NERC Rules of Procedure, "Compliance Monitoring and Assessment Processes" refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated reliability standard.

1.3. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to

provide other evidence to show that it was compliant for the full time period since the last audit.

The Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- The Reliability Coordinator for Requirement R1, Measure M1 shall retain voice recordings for the most recent 90-calendar days and documentation for the most recent 12-calendar months.
- The Transmission Operator, Balancing Authority, Generator Operator, and Distribution Provider for Requirements R2 and R3, Measures M2 and M3 shall retain voice recordings for the most recent 90-calendar days and documentation for the most recent 12-calendar months.

If a Reliability Coordinator, Transmission Operator, Balancing Authority, Generator Operator, or Distribution Provider is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the time specified above, whichever is longer.

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

1.4. Additional Compliance Information

None.

Table of Compliance Elements

R #	Time Horizon	VRF	Violation Severity Levels			
			Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The Reliability Coordinator failed to act to address the reliability of its Reliability Coordinator Area via direct actions or by issuing Operating Instructions.
R2	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The responsible entity did not comply with the Reliability Coordinator’s Operating Instructions, and compliance with the Operating Instructions could have been physically implemented and such actions would not have violated safety, equipment, regulatory, or statutory requirements.
R3	Same-Day Operations, Real-time Operations	High	N/A	N/A	N/A	The responsible entity failed to inform its Reliability Coordinator upon recognition of its inability to perform an Operating Instruction issued by its Reliability Coordinator in Requirement R1 .

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

None.

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
1	November 1, 2006	Adopted by Board of Trustees	Revised
1	November 19, 2006	Changes "Distribution Provider" to "Transmission Service provider"	Errata
1	April 4, 2007	Approved by FERC – Effective Date	New
1.1	October 29, 2008	Removed "proposed" from effective date BOT adopted errata changes: updated version number to "1.1"	Errata
1.1	May 13, 2009	FERC Approval	Revised
1	May 19, 2011	Replaced Levels of Noncompliance with FERC-approved VSLs	VSL Order
2	July 25, 2011	Revisions under Project 2006-06 to remove Requirement R7 to avoid duplication with IRO-014-2	Revised
2	August 4, 2011	Adopted by Board of Trustees	
3	July 6, 2012	Revised in accordance with SAR for Project 2006-06, Reliability Coordination (RC SDT). Revised the standard and retired six requirements (R1, R2, R4, R5, R6, and R9).	Revised

Standard IRO-001-4 Reliability Coordination - Responsibilities

		Requirement R3 becomes the new R1 and R8 becomes the new R2 and R3.	
3	August 16, 2012	Adopted by Board of Trustees	Revised
4	November 13, 2014	Adopted by Board of Trustees	Revisions under Project 2014-03

Guidelines and Technical Basis

Rationale:

During development of this standard, text boxes were embedded within the standard to explain the rationale for various parts of the standard. Upon BOT approval, the text from the rationale text boxes was moved to this section.

Rationale for Applicability:

Purchasing-Selling Entity and Load-Serving Entity have been deleted from the approved IRO-001-1.1 as they are not listed as entities that the Reliability Coordinator directs in Functional Model v5.

Rationale for Change from Reliability Directive to Operating Instruction:

The change from Reliability Directive to Operating Instruction throughout the standard is in response to NOPR paragraph 64 (*...“We believe that directives from a reliability coordinator or transmission operator should be mandatory at all times, and not just during emergencies (unless contrary to safety, equipment, regulatory or statutory requirements). For example, mandatory compliance with directives in non-emergency situations is important when a decision is made to alter or maintain the state of an element on the interconnected transmission network...”*) This change is also consistent with the proposed COM-002-4.

Rationale for Requirements R2 and R3:

The Transmission Service Provider has been removed from Requirements R2 and R3 as the Transmission Service Provider is not listed in the Functional Model as a recipient of corrective actions issued by the Reliability Coordinator. This allows for the retirement of IRO-004-2.

*** FOR INFORMATIONAL PURPOSES ONLY ***

Enforcement Dates: Standard IRO-001-4 — Reliability Coordination - Responsibilities and Authorities

United States

Standard	Requirement	Enforcement Date	Inactive Date
IRO-001-4	All		

This standard has not yet been approved by the applicable regulatory authority.

Standard IRO-001-4 — Reliability Coordination — Responsibilities

Appendix QC-IRO-001-4 Provisions specific to the standard IRO-001-4 applicable in Québec

This appendix establishes specific provisions for the application of the standard in Québec. Provisions of the standard and of its appendix must be read together for the purposes of understanding and interpretation. Where the standard and appendix differ, the appendix shall prevail.

A. Introduction

1. **Title:** Reliability Coordination — Responsibilities

2. **Number:** IRO-001-4

3. **Purpose:** No specific provision

4. **Applicability:**

Functions

No specific provision

Facilities

This standard only applies to the facilities of the Main Transmission System (RTP).

5. **Effective Date:**

5.1. Adoption of the standard by the Régie de l'énergie: June 16, 2017

5.2. Adoption of the appendix by the Régie de l'énergie: June 16, 2017

5.3. Effective date of the standard and its appendix in Québec: July 1st, 2017

6. **Background**

No specific provision

B. Requirements and Measures

No specific provision

C. Compliance

1. **Compliance Monitoring Process**

1.1. **Compliance Enforcement Authority**

The Régie de l'énergie is responsible, in Québec, for compliance monitoring with respect to the reliability standard and its appendix that it adopts.

1.2. **Compliance Monitoring and Assessment Processes**

Compliance Audit

Self-Certification

Spot Check

Compliance Investigation

Non-Compliance Self-Reporting

Periodic Data Submittal

Exception Reporting

Appendix QC-IRO-001-4
Provisions specific to the standard IRO-001-4 applicable in Québec

Investigation following a complaint

1.3. Data Retention

No specific provision

1.4. Additional Compliance Information

No specific provision

2. Table of Compliance Elements

No specific provision

D. Regional Variances

No specific provision

E. Interpretations

No specific provision

F. Associated Documents

No specific provision

Guidelines and Technical Basis

No specific provision

Version History

Version	Date	Action	Change Tracking
0	June 16, 2017	New appendix	New