

A. Introduction

1. **Title:** Operating Personnel Credentials
2. **Number:** PER-003-2
3. **Purpose:** To ensure that System Operators performing the reliability-related tasks of the Reliability Coordinator, Balancing Authority and Transmission Operator are certified through the NERC System Operator Certification Program when filling a Real-time operating position responsible for control of the Bulk Electric System.
4. **Applicability:**
 - 4.1. **Functional Entities:**
 - 4.1.1. Reliability Coordinator
 - 4.1.2. Transmission Operator
 - 4.1.3. Balancing Authority
5. **Effective Date:** See Implementation Plan for standard PER-003-2.

B. Requirements and Measures

- R1. Each Reliability Coordinator shall staff its Real-time operating positions performing Reliability Coordinator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining a valid NERC Reliability Operator certificate ⁽¹⁾⁽²⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]
 - 1.1. Areas of Competency
 - 1.1.1. Resource and demand balancing
 - 1.1.2. Transmission operations
 - 1.1.3. Emergency preparedness and operations
 - 1.1.4. System operations
 - 1.1.5. Protection and control
 - 1.1.6. Voltage and reactive
 - 1.1.7. Interchange scheduling and coordination
 - 1.1.8. Interconnection reliability operations and coordination

¹ Non-NERC certified personnel performing any reliability-related task of a real-time operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks.

² The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual.

- M1.** Each Reliability Coordinator shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:
- M1.1** A list of Real-time operating positions.
 - M1.2** A list of System Operators assigned to its Real-time operating positions.
 - M1.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.
 - M1.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.
- R2.** Each Transmission Operator shall staff its Real-time operating positions performing Transmission Operator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates ⁽¹⁾⁽²⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]:
- 2.1. Areas of Competency**
 - 2.1.1.** Transmission operations
 - 2.1.2.** Emergency preparedness and operations
 - 2.1.3.** System operations
 - 2.1.4.** Protection and control
 - 2.1.5.** Voltage and reactive
 - 2.2. Certificates**
 - Reliability Operator
 - Balancing, Interchange and Transmission Operator
 - Transmission Operator
- M2.** Each Transmission Operator shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:

¹ Non-NERC certified personnel performing any reliability-related task of a real-time operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks.

² The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual.

- M2.1** A list of Real-time operating positions.
 - M2.2** A list of System Operators assigned to its Real-time operating positions.
 - M2.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.
 - M2.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.
- R3.** Each Balancing Authority shall staff its Real-time operating positions performing Balancing Authority reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates ⁽¹⁾⁽²⁾: [*Risk Factor: High*][*Time Horizon: Real-time Operations*]:
- 3.1.** Areas of Competency
 - 3.1.1.** Resources and demand balancing
 - 3.1.2.** Emergency preparedness and operations
 - 3.1.3.** System operations
 - 3.1.4.** Interchange scheduling and coordination
 - 3.2.** Certificates
 - Reliability Operator
 - Balancing, Interchange and Transmission Operator
 - Balancing and Interchange Operator
- M3.** Each Balancing Authority shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:
- M3.1** A list of Real-time operating positions.
 - M3.2** A list of System Operators assigned to its Real-time operating positions.
 - M3.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.

¹ Non-NERC certified personnel performing any reliability-related task of a real-time operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks.

² The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual.

- M3.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority:

“Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

1.2. Evidence Retention:

The following evidence retention period(s) 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 applicable entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

- Each Reliability Coordinator, Transmission Operator and Balancing Authority shall keep data or evidence for three years or since its last compliance audit, whichever time frame is the greatest.

1.3. Compliance Monitoring and Enforcement Program

As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” 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.

Violation Severity Levels

R #	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	N/A	N/A	N/A	The Reliability Coordinator failed to staff each Real-time operating position performing Reliability Coordinator reliability-related tasks with a System Operator having a valid NERC certificate as defined in Requirement R1.
R2.	N/A	N/A	N/A	The Transmission Operator failed to staff each Real-time operating position performing Transmission Operator reliability-related tasks with a System Operator having a valid NERC certificate as defined in Requirement R2, Part 2.2.
R3.	N/A	N/A	N/A	The Balancing Authority failed to staff each Real-time operating position performing Balancing Authority reliability-related tasks with a System Operator having a valid NERC certificate as defined in Requirement R3, Part 3.2.

D. Regional Variances

None.

E. Associated Documents

[Implementation Plan](#)

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1	February 17, 2011	Complete revision under Project 2007-04	Revision
1	February 17, 2011	Adopted by Board of Trustees	
1	September 15, 2011	FERC Order issued by FERC approving PER-003-1 (effective date of the Order is September 15, 2011)	
2	May 10, 2018	Added footnote to requirements	Revision
2	May 10, 2018	Adopted by Board of Trustees	Revision
2	November 21, 2018	FERC Letter Order approving PER-003-2. Docket No. RD18-9-000	

Appendix PER-003-2-QC-1

Specific provisions applicable in Québec for standard PER-003-2 – Operating Personnel Credentials

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

A. Introduction

1. **Title:** No specific provisions.
2. **Number:** No specific provisions.
3. **Purpose:** No specific provisions.
4. **Applicability:**
 - 4.1. **Functional entities**
No specific provisions.
5. **Effective dates for Québec:**
 - 5.1. Adoption of the standard by the Régie de l'énergie: May 28, 2021
 - 5.2. Adoption of the appendix by the Régie de l'énergie: May 28, 2021
 - 5.3. Effective date of the standard and appendix for Québec: July 1st, 2021

B. Requirements and measures

No specific provisions.

C. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Enforcement Authority**
In Québec, "Compliance Enforcement Authority" means the Régie de l'énergie in its roles of monitoring and enforcing compliance with respect to the Reliability Standard and to this appendix.
 - 1.2. **Evidence Retention**
No specific provisions.
 - 1.3. **Compliance Monitoring and Enforcement Program**
The Régie de l'énergie establishes the monitoring processes used to evaluate data or information for the purpose of determining compliance or non-compliance with the Reliability Standard and with this appendix.
2. **Violation Severity Levels**
No specific provisions.

D. Regional Variances

No specific provisions.

E. Associated Documents

Appendix PER-003-2-QC-1

Specific provisions applicable in Québec for standard PER-003-2 – Operating Personnel Credentials

No specific provisions.

Version history

Version	Date	Action	Change tracking
1	May 28, 2021	New appendix as per decision D-2021-070 and D-2021-070R .	New