

Preliminary assessment of the relevance and impact of the standards:**PER-004-2 – Reliability Coordination – Staffing
PER-005-1 – System Personnel Training****A. Relevance of the standards to be filed:**

This assessment applies to both standards PER-004-2 and PER-005-1. The purpose of these standards is to ensure that the system operators of the reliability coordinator, the balancing authority and the transmission operator have the necessary level of competence to perform the tasks to which they are assigned and are certified through the NERC System Operator Certification Program.

To achieve these objectives, the requirements of the standards shall address the following aspects:

- The use of a systematic approach to determine performance requirements in fulfilling their real-time tasks;
- The use of a systematic approach to determine the training requirements associated with these real-time tasks;
- The conservation of evidence that this systematic approach was used at least once a year as the basis for the training provided;
- The conservation of evidence showing that each system operator of the reliability coordinator, the balancing authority and the transmission operator is competent to perform each assigned task that is on its lists of reliability-related tasks;
- The staffing of NERC certified and properly trained system operators by the reliability coordinator, the balancing authority and transmission operator who are distributed in shifts covering, 24 hours a day, seven days a week. In their surveillance role, the system operators of the reliability coordinator shall place particular attention on SOLs, IROLs and inter-tie facilities.

B. Applicability

The standard PER-004-2 applies to the reliability coordinator.

The standard PER-005-1 apply to system operators performing tasks in real-time that directly impact the reliability of the Bulk Electric System (BES), and who perform tasks for entities registered as Reliability Coordinators, Balancing Authorities, and Transmission Operators.

C. Relevance for special provisions for Quebec (Appendix QC-Appendix QC-PER-004-2, Appendix QC-PER-005-1)

No specific provision.

D. Preliminary assessment of the impact of the adoption of the standard in Quebec

Since this standard applies to the reliability coordinator, the balancing authority and the transmission operator, only the System Control Direction of Hydro-Québec TransÉnergie is affected by its application in Quebec.

Summary of impacts

This summary establishes in a condensed and preliminary manner, the impacts on materiel, human or financial resources of the proposed standard compared to the latest revision studied or adopted by the Régie de l'énergie. The impact may vary depending on the actual applicability of the standard with certain entities whose impact is lower on the reliability on the bulk electric system in Quebec.

PER-004-2

	Low	Moderate	Important
Implementation of the standard	●		
Maintenance of the standard	●		
Compliance Monitoring	●		

PER-005-1

	Low	Moderate	Important
Implementation of the standard		●	
Maintenance of the standard			●
Compliance Monitoring		●	

Legend:

Low:	Normal industry practice or standard involving minor adjustments to processes or practices in place.
Moderate:	Changes that require an allocation of certain material, human or financial resources to implement, maintain and monitor compliance of the proposed standard.
Important:	Changes that require significant provision and allocation of material, human or financial resources to implement, maintain and monitor compliance of the proposed standard.

A more accurate assessment will be developed from forms "Evaluation of the impacts of proposed standards" to be received from the registered entities during the comment period. This assessment will be submitted with the standard to the Régie de l'énergie.

E. Supersedence of the standard

Upon coming into effect, the standard PER-004-2 shall supersede the standard PER-004-1.

A. Introduction

1. **Title:** **Reliability Coordination — Staffing**
2. **Number:** PER-004-2
3. **Purpose:**
Reliability Coordinators must have sufficient, competent staff to perform the Reliability Coordinator functions.
4. **Applicability**
4.1. Reliability Coordinators.
5. **Effective Date:**
 - Retire Requirement 2 when PER-005-1 Requirement 3 becomes effective.
 - Retire Requirements 3 and 4 when PER-005-1 Requirements 1 and 2 become effective.

B. Requirements

- R1. Each Reliability Coordinator shall be staffed with adequately trained and NERC-certified Reliability Coordinator operators, 24 hours per day, seven days per week.
[Violation Risk Factor: High] [Time Horizon: Real-time Operations]
- R2. Reliability Coordinator operating personnel shall place particular attention on SOLs and IROLs and inter-tie facility limits. The Reliability Coordinator shall ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.
[Violation Risk Factor: High] [Time Horizon: Real-time Operations]

C. Measures

None

D. Compliance

1. **Compliance Monitoring Process**
 - 1.1. **Compliance Monitoring Responsibility**
Regional Reliability Organizations shall be responsible for compliance monitoring.
 - 1.2. **Compliance Monitoring and Reset Time Frame**
One or more of the following methods will be used to assess compliance:
 - Self-certification (Conducted annually with submission according to schedule.)
 - Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
 - Periodic Audit (Conducted once every three years according to schedule.)

- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

1.3. Data Retention

Each Reliability Coordinator shall keep evidence of compliance for the previous two calendar years plus the current year.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

1.4. Additional Compliance Information

None.

2. **Violation Severity Levels**

R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	N/A	N/A	N/A	The responsible entity has failed to be staffed with adequately trained and NERCcertified Reliability Coordinator operators, 24 hours per day, seven days per week.
R2.	Reliability Coordinator operating personnel did not place particular attention on 5% or less of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 5% up to (and including) 10% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 10% up to (and including) 15% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 15% of the SOLs or IROLs or inter-tie facility limits. OR The Reliability Coordinator did not ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.

E. Regional Differences

None identified.

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
2	February 10, 2009	Adopted by Board of Trustees	Retire R2 and M1 when PER-005-1 Requirement 3 becomes effective. Retire R3, R4 and M2 when PER-005 R1 and R2 become effective.
2	November 18, 2010	FERC Approved	
2	August 27, 2013	Added VRFs/VSLs based on June 24, 2013 approval.	

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 -Staffing
2. **Number:** PER-004-2
3. **Purpose:** No specific provision
4. **Applicability:** No specific provision
5. **Effective Date:**
 - 5.1. Adoption of the standard by the Régie de l'énergie: Month xx 201x
 - 5.2. Adoption of the appendix by the Régie de l'énergie: Month xx 201x
 - 5.3. Effective date of the standard and its appendix in Québec: Month xx 201x

B. Requirements

No specific provision

C. Measures

No specific provision

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

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 Reset Time Frame

No specific provision

1.3. Data Retention

No specific provision

1.4. Additional Compliance Information

No specific provision

2. ~~Levels of Non-Compliance for a Reliability Coordinator (Replaced with VSLs)~~ Violation Severity Levels

~~2.1.~~ No specific provision

E. Regional Differences

No specific provision

Standard PER-004-2 — Reliability Coordination - Staffing

Appendix QC-PER-004-2

Provisions specific to the standard PER-004-2 applicable in Québec

Revision History

Revision	Adoption date	Action	Change Tracking
0	Month xx 201x	New appendix	New