



NORTHEAST POWER COORDINATING COUNCIL, INC.  
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July 28, 2011

NPCC Full and General Members:

**Subject: Open Process Posting of Draft Directory Development and Revision Manual**

Attached for your review and comment is a draft of the new Directory Development and Revision Manual.

NPCC Directories have been developed in order to provide a consistent and comprehensive set of reliability requirements for the Northeast while consolidating related information for NPCC Criteria, Guidelines, Procedures, and Regional Standards into one document.

This document is intended to provide guidance regarding the process of establishing a new or revised Directory and in particular will clarify the roles and ownership responsibilities of the NPCC Task Forces which are responsible for Directory content.

The NPCC Open Process Review may be accessed through the following link:

<http://www.npcc.org/regStandards/opOther.aspx>

Comments on the draft Directory Development and Revision Manual will be received for forty five days through September 12<sup>th</sup>, 2011 and all comments will be addressed by NPCC Staff.

Please contact me with any questions regarding the NPCC Open Process review or the content of this document.

Thank you.

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**Draft**  
**July 27, 2011**

**Northeast Power Coordinating Council, Inc.**  
**Directory Development and Revision Manual**



**Approved by the Reliability Coordinating Council**

**XXXX, XX, 20XX**

**DIRECTORY DEVELOPMENT and REVISION MANUAL**

**TABLE of CONTENTS**

- I. Executive Summary**
- II. Introduction**
- III. Directory Development and Revision Procedure**
  - A. New Directory**
  - B. Directory revisions**
    - a. Criteria Revisions**
    - b. Appendix Revisions**
    - c. Glossary of Terms**
  - C. Maintenance of Links and Errata**
- IV. Interpretation Process**
- V. Task Force Roles and Responsibilities**
- VI. Directory Format and Version Control**
- VII. Appendix**
  - A) Directory Format Template**
  - B) Request for Criteria Interpretation Form**

## **I. EXECUTIVE SUMMARY**

The purpose of the Northeast Power Coordinating Council, Inc. ("NPCC") is to enhance the reliability of the international, interconnected bulk power system in Northeastern North America through the development of more stringent and regionally specific criteria.

NPCC Directories have been developed in order to provide a consistent and comprehensive set of reliability requirements for the Northeast, while consolidating related information for NPCC Criteria, Guidelines, Procedures and Regional Standards into one document.

NPCC Directories and the criteria contained within, apply only to NPCC Full Members. However, there may be additional agreements within tariffs or interconnection agreements that hold other entities responsible for complying with the criteria within each Directory.

This document is intended to provide guidance when establishing a new or revised Directory and will also clarify the roles and responsibilities of the NPCC Task Forces responsible for Directory content.

## **II. Introduction**

The NPCC Regional Standards Committee (RSC) working with the lead Task Force for each Directory has overall responsibility for managing the Directory project.

The Directories are organized to demonstrate that NPCC regional criteria are at once more specific, more stringent and consistent with NERC Reliability Standards.

Each Directory contains an Introduction, along with sections that identify NERC ERO Standard and NPCC Regional Standard Requirements that are associated with the Directory.

Additionally, each Directory is comprised of a section that describes the NPCC more stringent or more specific criteria and was developed from the related NPCC 'A' documents. Type 'B' Guideline and Type 'C' Procedure documents are included within each Directory as Appendices.

Phase 1 of the Directory Project was initiated by the NPCC Reliability Coordinating Council in order to demonstrate consistency with NERC Standards and to effectively group documents together according to functional topics.

During Phase 1 an initial translation of the existing criteria document was performed in addition to identifying and eliminating language within the criteria that duplicated existing NERC Reliability Standards.

Additionally, Functional Model language was introduced and the corresponding 'B' Guidelines and 'C' Procedures were incorporated into each Directory as appendices.

The resulting Directory created a single source reference for NPCC Members while providing a method to demonstrate consistency with NERC Standards.

Phase 2 of the Directory Project was initiated in order to reformat the Criteria section of each document into specific and measurable NERC style requirements which will promote the NPCC Regional criteria as more specific or more stringent within each Directory.

Phase 2 will also facilitate the development of the NPCC Criteria Compliance Enforcement Program (CCEP) by providing the respective requirements and measures of that program.

Each Directory is under the control of a lead Task Force which is responsible for coordinating the review and posting of the document among all other Task Forces which have jurisdiction over either a portion of the criteria or one or more of the Appendices in the Directory.

A mapping document has been provided on the Directory page of the NPCC Website and has been organized in a manner that provides guidance on where a Directory's content originated. (A Criteria, B Guideline, or C Procedure).

The mapping document provides tracking of specific content language from documents that were translated or replaced by Directories and their Appendices.

### **III. DIRECTORY DEVELOPMENT AND REVISION PROCEDURE**

#### **1. NEW DIRECTORY**

Any NPCC Full Member may request the development of a new Directory. The request shall be made to the Regional Standards Committee (RSC) which shall review the request and assign its development to the appropriate NPCC Task Force.

The Lead Task Force responsible for developing the new Directory, consistent with the format of existing approved Directories, shall draft an initial version of the document using Phase 2 formatting.

The NPCC Standards staff shall post the draft new Directory to the NPCC Open Process review for 45 days.

At the conclusion of the 45 day Open Process, the Lead Task Force will discuss the comments submitted and post the responses on the NPCC Open Process portal.

If the responses to comments received on the draft result in substantive changes to the document, then the revised draft shall be reposted to the Open Process for a successive 45

day posting period; if no substantive changes are developed which would require additional postings the draft of the new Directory is presented to the Reliability Coordinating Council (RCC) for approval.

Upon RCC approval the document is submitted for a ballot to the NPCC Full Member Representatives along with the RCC recommendation of approval.

Approval of a new Directory requires a 2/3<sup>rd</sup> majority of Full Member voting representatives in accordance with the NPCC Bylaws.

## **2. DIRECTORY REVISIONS**

### **a. Revisions to the Criteria Section of a Directory**

Any NPCC Full Member may request a revision to the criteria within a Directory. A request to revise the criteria section of an NPCC Directory shall be submitted to the lead Task Force responsible for the document.

The Lead Task Force shall notify each NPCC Task Force which has jurisdiction over either another portion of the criteria or one or more of the appendices within the Directory that a request to revise the criteria in the document has been received.

The Lead Task Force shall post the revised criteria to the NPCC Open Process review for 45 days.

At the conclusion of the 45 day Open Process, the Lead Task Force will discuss the comments submitted and post the responses on the NPCC Open Process portal.

If the responses to the comments received on the criteria revision result in substantive changes to the document, then the revised Directory criteria shall be reposted to the Open Process for a successive 45 day posting period; if no substantive changes are developed which would require additional postings the draft of the revised Directory criteria is presented to the Reliability Coordinating Council (RCC) for approval.

Upon RCC approval the document is submitted for a ballot to the NPCC Full Member Representatives along with the RCC recommendation of approval.

Approval of the revised Directory criteria requires a 2/3<sup>rd</sup> majority of Full Member voting representatives in accordance with the NPCC Bylaws.

## **b. Revisions to the Appendix Section of a Directory**

Any NPCC Full Member may request an Appendix within a Directory to be revised. Revisions pertaining to the Appendices shall only require RCC approval.

A request to revise an Appendix of a NPCC Directory shall be submitted to the Task Force responsible for the Appendix.

The Task Force responsible for the Appendix shall notify the Lead Task Force of the Directory that a request to revise an appendix within the document has been received.

The Lead Task Force of the Directory shall be responsible for notifying all Task Forces which have jurisdiction over either the criteria or one or more of the other Appendices within the Directory that a request to revise an appendix has been received.

After the Task Force responsible for the revised Appendix request reviews the subject appendix they will forward the Directory containing the draft revised Appendix to the Lead Task Force of the Directory.

The Lead Task Force shall be responsible for posting the Directory which contains the revised Appendix to the NPCC Open Process review for 45 days.

At the conclusion of the 45 day Open Process, the Lead Task Force will forward the comments submitted on the Appendix to the Task Force responsible for the revised Appendix.

If the responses to the comments received on the revised Appendix result in substantive changes to the Appendix, then the Directory containing the revised Appendix shall be reposted to the Open Process for a successive 45 day posting period by the Lead Task Force of the entire Directory; if no substantive changes are developed which would require additional postings the draft of the revised Appendix will be presented to the Reliability Coordinating Council (RCC) for approval.



### **c. Revisions to the NPCC Glossary of Terms**

The NPCC Glossary of Terms contains the definitions of all terms found within the NPCC Directories, Criteria, Guidelines, and Procedures and which are not already defined in the NERC Glossary of Terms or are regionally specific.

The Glossary has been organized into two sections, one containing all defined terms within the Directories (including Appendices) and which support the NPCC Criteria; and another section for the B and C definitions.

The NPCC Glossary of Terms is intended to be a repository of all NPCC defined terms and contains the Full Member approved definition of that term as developed by the Task Force responsible for the Directory in which the term resides.

The process of establishing or revising a NPCC defined term shall be considered a revision to the Directory in which the term resides in order to capture the context of its use within the document.

Accordingly, the entire Glossary is not subject to the Open Process for a revision to an individual definition.

The development and review of a new definition or a revision to an existing NPCC specific definition contained within the Glossary will be coordinated by the Lead Task Force for the Directory in which the defined term resides.

Any NPCC Full Member may request that a new or revised term be added to the NPCC Glossary of Terms by forwarding a request to the Lead Task Force for the Directory in which the defined term resides.

When the subject term resides in multiple Directories, the requestor shall forward the request to each of the Lead Task Forces for the Directories in which the defined term resides and the Task Forces shall coordinate their review of the request.

After the Lead Task Force in which the defined term resides has completed its review they will post the subject Directory containing the new or revised term to the NPCC Open Process for 45 days. The posting notice will also provide background if necessary on other NPCC Directories in which the term appears.

At the conclusion of the 45 day Open Process, if responses to comments received on the new or revised term result in further substantive change to the term, then the Directory containing the new or revised term shall be reposted to the Open Process for a successive 45 day posting period by the Lead Task Force for the subject Directory; if no substantive changes to the term are developed which would require an additional posting, then the Directory

containing the new or revised term will be presented to the Reliability Coordinating Council (RCC) by the Lead Task Force for approval.

Upon RCC recommendation the Directory containing the new or revised term will be balloted by the Full Members.

Finally, and upon Full Member approval of the new or revised NPCC term the Glossary will be updated by the Lead Task Force of the document in which the term resides.

### **3. MAINTENANCE of LINKS and ERRATA**

The maintenance of Links and minor Errata changes to a Directory or its Appendices shall be the responsibility of NPCC staff.

Errata and Link revisions are updated as needed and require only the Lead TF approval prior to publishing.

NPCC staff will also maintain a record of the change on the Directory Revision History page within the document.

## **IV. DIRECTORY INTERPRETATION PROCESS**

Any NPCC Full Member may request an interpretation of the criteria within a Directory.

The NPCC Full Member seeking the interpretation shall submit a *Request for Criteria Interpretation* form <sup>1</sup> to the NPCC Standards staff explaining the clarification required and the specific circumstances surrounding the request.

The NPCC Standards staff shall review the request and work with the originator to insure that it is clearly written and properly formatted, before forwarding to the NPCC Task Force designated as the Lead Task Force for the subject Directory.

The Lead Task Force shall notify each NPCC Task Force which has jurisdiction over either another portion of the criteria or one or more of the appendices within the Directory that a *Request for Criteria Interpretation* has been received and forward the request to the Task Force having jurisdiction.

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<sup>1</sup> The Request for Interpretation Form is included in Appendix B of this document.

As soon as practical the Lead Task Force for the Directory or the Task Force having jurisdiction shall review the request among its Members and provide a response to the NPCC Standards Staff.

The response to a Directory interpretation request shall provide the requested explanation without expanding on the criteria nor should it explain how to comply with the criteria.

The Standards Staff shall review the interpretation provided by the Lead Task Force or the Task Force having jurisdiction to insure that it is clear and provides the requested explanation without expanding on the criteria.

The detailed results of the *Request for Criteria Interpretation* shall be retained by the Lead Task Force and the Standards Staff along with a recommendation on whether the language within the document should be revised in order to provide additional clarity.

## **V. TASK FORCE ROLES and RESPONSIBILITIES**

With the development of the Directories it has been recognized that in certain cases the jurisdictional boundaries of Task Force ownership have been crossed and additional guidance when coordinating Directory review among Task Forces is necessary.

In general, revisions and interpretations to a Directory shall be coordinated by the Lead Task Force of the document.

Revisions to a Directory can be initiated in a fully bi-directional manner; that is either by the Lead Task Force responsible for the document or by another Task Force who is responsible for some portion (criteria or appendices) of the document.

This process will allow each Directory to remain under the control of the respective Lead Task Force which has the necessary expertise to keep each document current and accurate while also providing a means to coordinate component review of those segments of the Directory that may be under the control of another Task Force.

The Lead Task Force can initiate a full revision of the Directory in accordance with the *NPCC Reliability Assessment Program (NRAP)* date of approval or some need to revise the criteria section of the document.

The Lead Task Force will also notify other Task Forces under whose jurisdiction either a portion of the criteria or Appendices exists in order to coordinate the total document review and revision.

Similarly, a Task Force which is not the Lead Task Force of the Directory, but is responsible for some portion of the document, shall coordinate a necessary revision to their section of the document through the Lead Task Force of the Directory.

However, in all cases the subsequent Open Process posting and approval process will be coordinated by the Lead Task Force responsible for the overall Directory.

Additionally, and in order to promote consistency and to simplify the Directory process, revisions to both B- Guideline and C-Procedure documents which have been incorporated within a Directory as an Appendix will require RCC approval.

## **VI. DIRECTORY FORMAT AND VERSION CONTROL**

Each Directory will be formatted in accordance with the Directory Template in Appendix A of this document.

The Task Force Revision Review Record on the cover page of each Directory shall contain the date of the most recent version of the Directory as approved by the Full Members of NPCC.

The Revision History record on page 2 of each Directory shall contain a record of all revisions to the document, including maintenance of errata and links.

**Appendix A**

**DIRECTORY FORMAT TEMPLATE**



NORTHEAST POWER COORDINATING COUNCIL, INC.  
1040 AVE OF THE AMERICAS, NEW YORK, NY 10018 TELEPHONE (212) 840-1070 FAX (212) 302-2782

**NPCC  
Regional Reliability Reference Directory # XX**

Task Force XXXXX Revision Review Record:
<b>XX/XX, 20XX</b>

Adopted by the Members of the Northeast Power Coordinating Council, Inc. June 26<sup>th</sup>, 2009 based on recommendation by the Reliability Coordinating Committee, in accordance with Section VIII of the NPCC Amended and Restated Bylaws dated July 24, 2007 as amended to date.

### Revision History

<b>Version</b>	<b>Date</b>	<b>Action</b>	<b>Change Tracking (New, Errata or Revisions)</b>
<b>0</b>		<b>Effective Date</b>	<b>New</b>

## Table of Content

Title Page	1
Revision History	2
Table of Content	3
1.0 Introduction	4
2.0 Terms Defined in This Directory	4
3.0 NERC ERO Reliability Standard Requirements	5
4.0 NPCC Regional Reliability Requirements	5
5.0 NPCC Full Member More Stringent Requirements	5
6.0 Measures and Assessments	8
7.0 Compliance Monitoring	8
Appendix A	

## 1.0 Introduction

### 1.1 Title

1.2 Directory Number    **XX**

### 1.3 Objective

1.4 Effective Date       **XX/XX, 20XX**

### 1.5 Background

### 1.6 Applicability

#### 1.6.1 Functional Entities

**Balancing Authorities  
Transmission Operators**

## 2.0 Terms Defined in this Directory

The definitions of terms found in this Directory appearing in bold typeface can be found in the Appendix A.

## 3.0 NERC ERO Reliability Standard Requirements

The NERC ERO Reliability Standards containing Requirements that are associated with this Directory include, but may not be limited to:

## 4.0 NPCC Regional Reliability Standard Requirements

None.

## 5.0 NPCC Full Member, More Stringent Criteria

These Criteria are in addition to, or more stringent or more specific than the NERC or any Regional Reliability standard requirements.

## 6.0 Measures and Assessments

None developed at this time.

## 7.0 Compliance Monitoring

Adherence to these Criteria shall be reported by the responsible entity in a manner and form designated by the Compliance Committee.



Prepared by: Task Force XX

Review and Approval: Revision to any portion of this Directory will be posted by the lead Task Force in the NPCC Open Process for a 45 day review and comment period. Upon satisfactorily addressing all the comments in this forum, the Directory document will be sent to the remaining Task Forces for their recommendation to seek RCC approval.

Upon approval of the RCC, this Directory will be sent to the Full Member Representatives for their final approval if sections pertaining to the Requirements and Criteria portion have been revised. All voting and approvals will be conducted according to the most current "NPCC Bylaws" in effect at the time the ballots are cast.

Revisions pertaining to the Appendices or any other portion of the document such as Links, glossary of terms, etc., will only require RCC Members' approval. Errata may be corrected by the Lead Task Force at any time and provide the appropriate notifications to the NPCC Inc. membership.

This Directory will be updated at least once every three years and as often as necessary to keep it current and consistent with NERC, Regional Reliability Standards and other NPCC documents.

**References:**



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## Appendix B

### NPCC Request for Criteria Interpretation

**Note: an Interpretation cannot be used to revise a Directory.**

Request for an Interpretation of a Directory
Date submitted:
Date revised version submitted:
<b>Contact information for person requesting the interpretation:</b>
Name:
Organization:
Telephone:
E-mail:
<b>Identify the Directory that needs clarification:</b>
Directory Number :
Directory Title:
<b>Identify specifically what portion of the Criteria needs clarification:</b>
Text of Requirement:
<b>Identify the material impact associated with this interpretation:</b>

Identify the material impact to your organization or others caused by the lack of clarity or an incorrect interpretation of this Directory:

**Interpretation: Response to Request for an Interpretation of Directory XX for the XXXX Corporation**

The following interpretation of Directory was developed by the Task Force on XXXXX

**Directory Number and Text of Requirement**

**Question 1**

**Response to Question 1**

**Question 2**

**Response to Question 2**