



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

April 12, 2013

NPCC Full Members:

Subject: Open Process Posting of the NPCC Directory Development and Revision Manual

Attached for your review is a redlined version of the *NPCC Directory Development and Revision Manual* with proposed revisions along with a comment form containing questions designed to facilitate feedback on the revisions.

The Directory Manual was developed and approved by the Regional Standards Committee (RSC) in October of 2011 and is designed to provide guidance regarding the process of establishing a new or revised Directory in addition to clarifying the roles and responsibilities of the NPCC Task Forces which are responsible for Directory content.

The RSC is proposing revisions to the section of the Manual surrounding the review and approval of a *Request for a Criteria Interpretation*.

Additionally other minor revisions (linking the Table of Contents to each section and formatting revisions to ensure consistency) have also been proposed in the redlined version.

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

<https://www.npcc.org/Standards/SitePages/DevStandardDetail.aspx?DevDocumentId=105>

Comments on the revised *Directory Development and Revision Manual* will be received for forty five days through May 27th, 2013 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.

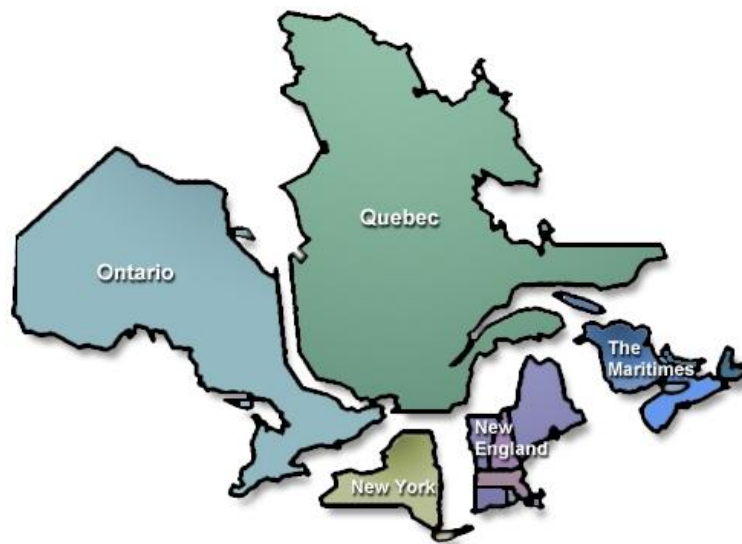
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Northeast Power Coordinating Council, Inc.

Directory Development and Revision Manual



Approved by the Reliability Standards Committee

October 26, 2011

Revision History

Version	Date	Action	Change Tracking (New, Errata or Revisions)
0		Effective Date	New

DRAFT

NPCC

DIRECTORY DEVELOPMENT and REVISION MANUAL

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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 as well as FERC and NERC approved Regional Standards into one document.

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

This document ~~is intended to~~ provides guidance to NPCC Task Forces and NPCC Full Members when establishing a new or revised Directory or when retiring or consolidating an existing Directory and ~~will~~ also clarifies 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 more specific than and/or more stringent than 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 regionally specific criteria and was developed from the related NPCC 'A' documents. The appropriate Type 'B' Guideline and Type 'C' Procedure documents are included within each Directory as Appendices.

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).

1. ~~https://www.npcc.org/Standards/Directories/Directory_Mapping.pdf~~

The mapping document provides tracking of specific content language from documents that were translated or replaced by Directories and their Appendices. [A link to the Directory Flowchart and the Directory Mapping documents is provided in the References section of this manual.](#)

Phase 1 of the Directory Project was initiated by the NPCC Reliability Coordinating Committee (RCC) 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 all entities 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 of that program.

Although the Regional Standards Committee is responsible for the overall Directory program, individual Directories are under the control of a lead NPCC Task Force which is responsible for coordinating review 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.

III. 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. [A link to the NRAP documents is provided in the References section of this manual.](#)

<https://www.npcc.org/Library/NRAP/Forms/Public%20List.aspx>

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.

IV. 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 NPCC Manager of Reliability Criteria via email and shall contain the background and justification for the development of the new Directory. The NPCC Manager of Reliability Criteria shall forward the request to the Regional Standards Committee (RSC) in order for the RSC to review the request and assign its development to the appropriate NPCC Task Force.

The Lead Task Force responsible for developing the new Directory shall draft an initial version of the document consistent with the Directory template in Attachment A.

The NPCC Manager of Reliability Criteria shall post the draft Directory to the NPCC Open Process for 45 days.

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

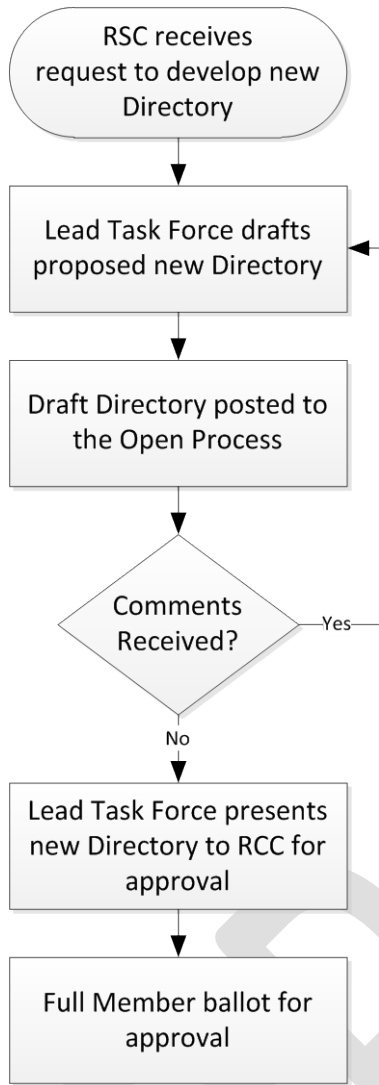
If no substantive changes are developed which would require additional postings of a revised draft, the new Directory is presented to the Reliability Coordinating Council (RCC) for approval.

Upon RCC approval the document is submitted for a ballot to the NPCC Full Member Representatives along with the RCC recommendation of approval.¹

The process for establishing a new Directory is represented below in Figure 1:

¹ Approval of a new Directory requires a 2/3rd majority of Full Member voting representatives in accordance with the NPCC Bylaws.

Figure 1: New Directory



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 affected NPCC Task Force which has jurisdiction over either a 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 review the request to revise the criteria and shall also consider conforming changes to appendices as a result of the criteria revision if necessary.

The NPCC Manager of Reliability Criteria shall post the Directory containing 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 responses to comments 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.

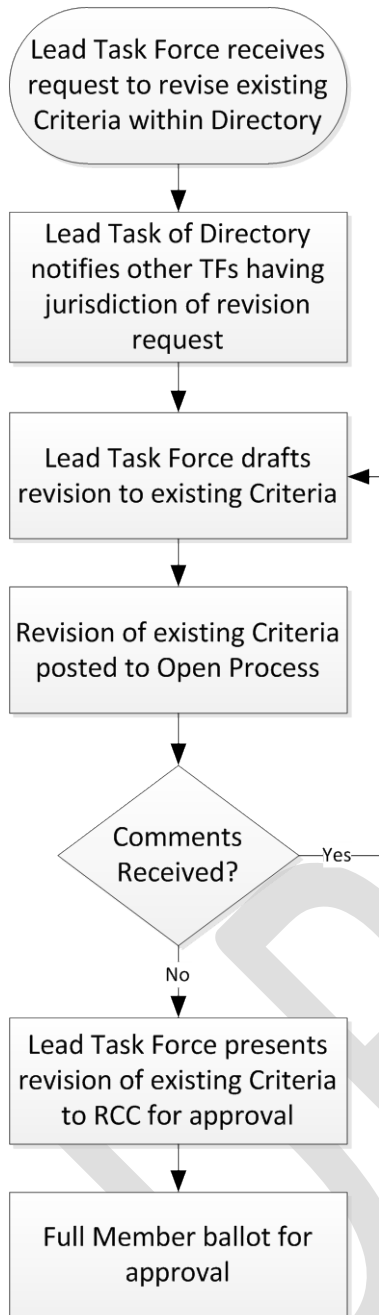
If no substantive changes are developed which would require additional postings of a revised draft of the Directory, then the Directory is presented to the Reliability Coordinating Council (RCC) for approval.

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

The process for revisions to the criteria in an existing Directory is represented below in Figure 2:

Figure 2: Revisions to Criteria



b. REVISIONS TO THE APPENDIX SECTION OF A DIRECTORY

Any NPCC Full Member may request an Appendix within a Directory to be revised or retired. Revisions or retirements of Appendices shall only require RCC approval.

A request to revise or retire 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 or retire 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 or retire 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.

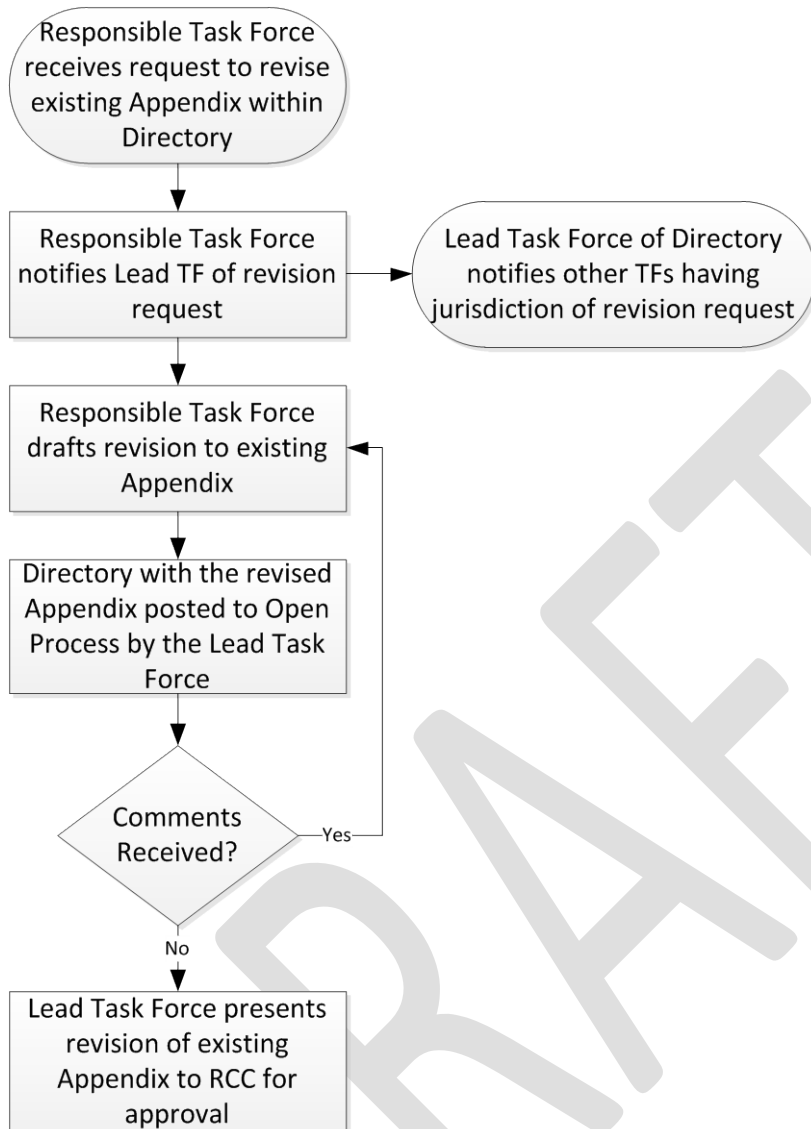
The Lead Task Force shall be responsible for posting the Directory which contains the revised or retired Appendix to the NPCC Open Process review for 45 days. Additionally, although the entire Directory will be posted to the open process, the Lead Task Force will limit the comments solicited to only the subject Appendix.

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 or retired Appendix.

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

The process for revisions to the appendices within an existing Directory is represented below in Figure 3:

Figure 3: Revisions to Appendices



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 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 Glossary is organized into two sections, one containing all defined terms within the Directories (including Appendices) which support the NPCC Criteria and another section for definitions found within remaining B and C documents.

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 Task Forces for the Directories in which the defined term resides and the individual Task Forces shall coordinate their review of the request, by assigning one of the Task Forces as the Lead Task Force for the review.

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. When the new or revised term appears in multiple Directories, the designated Lead Task Force for the review shall include in the posting notice a comprehensive list of references to all occurrences of the defined term in other NPCC Directories, including each Directory in which the term resides.

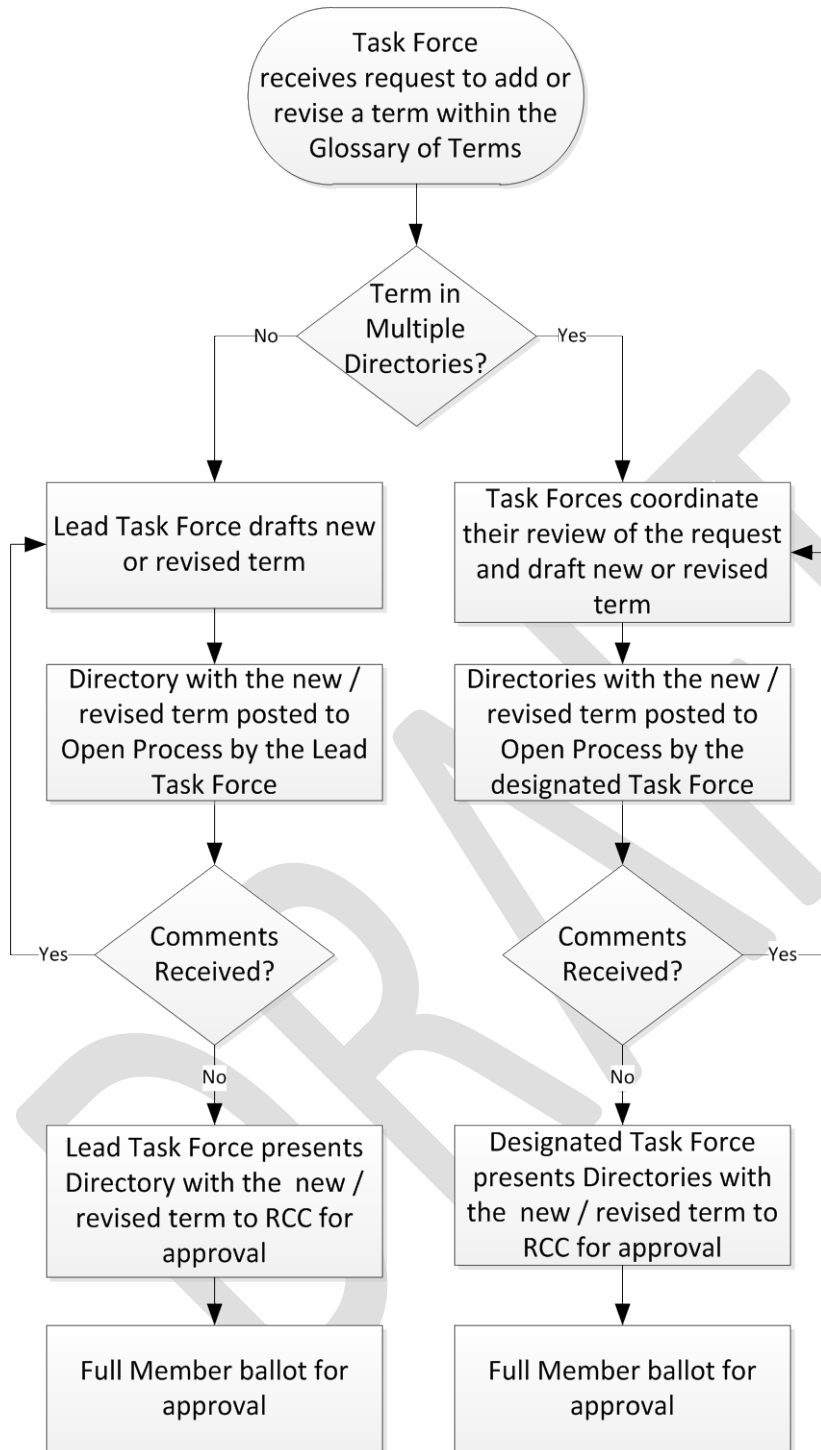
At the conclusion of the 45 day Open Process, if responses to comments received on the new or revised term result in further substantive change to the term, then the Directory containing the new or revised term shall be reposted to the Open Process for a successive 45 day posting period by the Lead Task 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.

Upon Full Member approval of the new or revised term the Glossary will be updated by the Lead Task Force of the document in which the term resides.

The process for revisions to the appendices within an existing Directory is represented below in Figure 4:

Figure 4: Revisions to the NPCC Glossary of Terms



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 Standards 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.

V. 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*² to the NPCC Manager of Reliability Criteria explaining the clarification required and the specific circumstances surrounding the request.

The NPCC Manager of Reliability Criteria shall review the request and work with the originator to make certain that the request seeks clarity regarding the intent or purpose of the criteria and is not a question on a compliance aspect of the criteria. The NPCC Manager of Reliability Criteria will ensure that the request 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 and /or one or more of the appendices within the subject Directory, that a *Request for Criteria Interpretation* has been received. The Lead Task Force shall also forward the request to the affected Task Force(s).

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 Manager of Reliability Criteria, ~~who shall forward the response to the NPCC Member requesting the interpretation.~~

The Manager of Reliability Criteria shall post the *Request for Criteria Interpretation*, along with the response(s) provided by the Lead Task Force to the NPCC Open Process for 45 days.

The Lead Task Force will consider all comments received on the posted interpretation and if necessary revise the Interpretation based on these comments.

If the Lead Task Force revises the Interpretation substantively on the basis of comments received the Interpretation shall be reposted to the NPCC Open Process for a subsequent 45 day posting period.

The Manager of Reliability Criteria will coordinate a response to all commenters on behalf of the Lead Task Force.

The Lead Task Force response to a Directory interpretation request shall provide the requested explanation without expanding on the criteria and should be sufficiently concise to eliminate any ambiguity.

² The Request for Interpretation Form is included in Appendix B of this document.

The NPCC Manager of Reliability Criteria 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 Lead Task Force response to a *Request for Criteria Interpretation* shall be presented to the NPCC Reliability Coordinating Committee \(RCC\) for final review prior to posting the Interpretation to the NPCC website.](#)

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

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.

VII. REFERENCES:

1. https://www.npcc.org/Standards/Directories/Directory_Flowchart.pdf.
2. https://www.npcc.org/Standards/Directories/Directory_Mapping.pdf.
3. <https://www.npcc.org/Library/NRAP/Forms/Public%20List.aspx>

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:
XX/XX, 20XX

Adopted by the Members of the Northeast Power Coordinating Council, Inc. June 26th, 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

Version	Date	Action	Change Tracking (New, Errata or Revisions)
0		Effective Date	New

DRAFT

Format for NPCC Directories (Phase 2)

Effective Dates (Denotes date of adoption by the Membership)

Revision History (Depicts revision history and tracks key changes)

Table of Content (Self-explanatory)

A. Introduction

Title: Self-explanatory

Directory #: Self-explanatory

Objective: ~~What State the~~ reliability objective ~~that is~~ this Directory intended to meet (i.e., achieving specific performance target/outcome, mitigating particular risks, establishing the minimum capability level, etc.)

Effective Date: ~~Identify W~~ which parts of the Directory become effective on which dates.

Background: ~~Provide f~~ information related to this creation or revision of this Directory, e.g., which A, B or C documents are mapped into this Directory; the general basis of the Directory, etc.

Applicability: ~~Which Identify the~~ entities ~~that~~ are assigned reliability requirements and/or ~~what which~~ facilities need to conform ~~with to~~ the stipulated criteria.

B. NERC ERO Reliability Standard Requirements

A list of the NERC standards associated with this Directory.

C. NPCC Regional Reliability Standard Requirements

A list of NPCC Regional Standards associated with this Directory.

D. NPCC Full Member, More Stringent Requirements, Criteria and Measures

Requirements

~~List T~~ the requirements and criteria that the applicable entities or facilities must comply with.

E. Compliance

Compliance with the requirements set forth in this Directory will be in accordance with the NPCC Criteria Compliance and Enforcement Program (CCEP).

Measures and corresponding Levels of Non Compliance for these requirements are contained within the compliance template associated with this Directory.

Prepared by: Task Force XX (Lead Task Force for the Directory)

Review and Approval: Revision to any portion of this Directory will in accordance with the NPCC Directory Development and Revision Manual and 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 of the comments in this forum, the Directory will be sent to the RCC for its 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 terms, etc., only RCC Members will need to conduct the final approval ballot of the document.

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.

APPENDIX B – NPCC REQUEST FOR INTERPRETATION



NORTHEAST POWER COORDINATING COUNCIL, INC.
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NPCC Request for Criteria Interpretation

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

Request for an Interpretation of a Directory
Date interpretation request submitted: Date interpretation response provided:
Contact information for person requesting the interpretation:
Name:
Organization:
Telephone:
E-mail:
Identify the Directory that needs clarification:
Directory Number :
Directory Title:
Identify specifically what portion of the Criteria needs clarification:
Text of Requirement:
Identify the material impact associated with this interpretation:
Identify the material impact to your organization or others caused by the lack of clarity or an incorrect interpretation of this Directory:

Submit completed Request for Criteria Interpretation forms to the NPCC Manager of Reliability Criteria.

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