

**SERC Reliability Corporation
Regional Reliability Organization**

**Non-Official Advisory Guidance Request
Procedure**



Revision History

Revision	Date	Originator	Reviewer	Approval	Comments
0	July 2008	Huntley	Koch, Edge, Galloway, Cauley	September 24, 2008	Document Origination.

Responsible SERC Staff

SERC Manager of Reliability Standards

Review and Re-Approval Requirements

This document will be reviewed every three years or as appropriate for possible revision under the direction of the SERC Director of Reliability Services and SERC Director of Compliance. The existing or revised document will be reviewed for re-approval by the SERC Board Executive Committee for distribution to all applicable SERC staff and members.

List of Appendices

Appendix A: SERC Non-Official Advisory Guidance Request Form

Appendix B: SERC Non-Official Advisory Guidance Web Posting

Appendix C: SERC Non-Official Advisory Guidance Request Log

SERC Non-Official Advisory Guidance Request Procedure

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SERC Non-Official Advisory Guidance Request Procedure

1.0 Purpose

SERC staff members and SERC committees, subcommittees, working groups, and task forces may from time to time be requested to provide their understanding of a NERC standard, SERC regional standard, or SERC regional criteria. A process has been developed to address these requests.

2.0 Responsibilities

The SERC Manager of Reliability Standards will administer this procedure.

3.0 Procedure

- The type of requests this procedure addresses:
 - A. Question regarding a SERC Regional Reliability Standard
 - B. Question regarding a SERC Regional Criteria (supplement, procedure, etc.)
 - C. Question regarding how the SERC compliance program will be measuring and enforcing a NERC Reliability Standard
 - D. Other compliance or standards related questions, whose response may be of value to others.
- This procedure is to be used to document non-official responses to inquiries. A separate process is available for developing an official SERC response based on the SERC Compliance Implementation Guidance Procedure 1.4 and Revision 1 of the SERC Regional Reliability Standard Development Procedure in Appendix B, Section B.5.
- A form has been developed for SERC staff to use to document these requests and the non-official responses provided (see Appendix A). Responses provided (with the requestor name and contact information redacted) will be posted on the Standards page of the SERC website.
- The requester may contact SERC staff via telephone, email, or some other means (e.g. in-person, US Postal Service, etc.). In addition, a copy of the form will be posted on the website for entities to complete the request portion, and email to regstd@serc1.org.
- Occasionally requests may be made by individuals that prefer to remain anonymous. If so requested, the Requestor identification information on the form (Section 1.a) will not be completed.
- The goal is to provide a response to Non-Official Advisory Guidance Requests within 24 hours. However, it is recognized that some requests may require more research

SERC Non-Official Advisory Guidance Request Procedure

than others before a response can be developed. For the more involved requests, a response should be provided within a week.

- The requester must be made to understand that any non-official response provided is only the opinion of the individual or the group. The following disclaimer should be provided with the response: ***While the response is given in good faith it is the personal opinion of the provider, it will in no way be considered an official SERC Regional Interpretation and will not be binding on enforcement decisions of the SERC Compliance Program. Actions based on any such response shall have no standing for the purpose of establishing precedent for compliance purposes, or be binding as to a course of conduct when contesting or mitigating any findings of non-compliance by SERC.***

The Manager of Reliability Standards will administer the process.

- Responding to requests:
 1. Request forms received directly from entities through the regstd@serc1.org email address will be assigned to a subject matter expert (SME). The Manager of Reliability Standards will alert the SME of their assignment.
 2. SERC staff members that receive a request, but are not sufficiently familiar with the issue to provide a response, should complete the request portions of the request form (Section 1, 1.a, and 2). The form should be sent as-soon-as-possible to regstd@serc1.org for assignment to a subject matter expert. The Manager of Reliability Standards (or designee) should be notified via telephone or in-person to ensure the request email is not overlooked.
 3. SERC staff members that receive and respond to a request should complete the request form and send it as an attachment to the Manager of Reliability Standards at regstd@serc1.org for processing.
- Information from the responses that may be of value to others will be posted on the Standards page of the SERC website.
 4. A request number will be assigned. The request number is composed of the letters NOA followed by a dash; followed by 2-digit number for the year; followed by a dash; followed by a 3-digit sequence received number (e.g.: first request received in 2008 would be: NOA-08-001).
 5. Information from the request form will be copied / pasted into a Non-Official Advisory Guidance Web Posting form (see Appendix B) which will be stored on the website. The form contains only the request number; request and response dates; the request; the response; and a list of any reference documents.
 6. The original request form will be saved on the S-drive.

SERC Non-Official Advisory Guidance Request Procedure

7. Information on the request will be listed in the Non-Official Advisory Guidance Request Log (see Appendix C), which will be posted on the Standards page of the SERC website.
8. The request number on the log will serve as a link to the associated Non-Official Advisory Guidance Web Posting form.

SERC Non-Official Advisory Guidance Request Procedure

Request #: NOA- _____ (SERC Office Use Only)
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Non-Official Advisory Guidance Request Form

SERC staff members and SERC committees, subcommittees, working groups, and task forces may from time to time be requested to provide their understanding of a NERC standard, SERC regional standard, or SERC regional criteria. This form is to be used to document those requests and responses provided. Responses provided will be posted on the SERC website.

For internet requests: Please complete Section 1, 1a, and 2 (Section 1a will be redacted and will not be included in the posting on the SERC website). Return this form to regstd@serc1.org. If you have questions, please contact the SERC Manager of Reliability Standards at regstd@serc1.org or by telephone at 704-357-7372.

Section 1 (Request)

Date of Request:	
SERC Staff Member	
Contacted:	Assigned To:
Contacted by: <input type="checkbox"/> Telephone <input type="checkbox"/> email <input type="checkbox"/> Other	

Section 1(a) (Requestor Information: Will Not Be Posted on Website)

Do not complete if requestor wants to remain anonymous.

Requestor Name:	
Requestor Organization:	
Requestor Office Telephone:	email:

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Section 2 (Request)

Please Check the Type of Request [check only one & list standard / criteria ID(s)]:	
<input type="checkbox"/>	A. Question regarding a SERC Regional Reliability Standard
<input type="checkbox"/>	B. Question regarding a SERC Regional Criteria
<input type="checkbox"/>	C. Question regarding how the SERC compliance program will be measuring and enforcing a NERC Reliability Standard
<input type="checkbox"/>	D. Other (please describe)
Request:	

The goal is to provide a response to Non-Official Advisory Guidance Requests within 24 hours. However, it may take up to a week to respond to some requests.

The requester must be made to understand that the following response is only the opinion of the individual or the group. The following disclaimer should be provided with the response:

While the response is given in good faith it is the personal opinion of the provider, it will in no way be considered an official SERC Regional Interpretation and will not be binding on enforcement decisions of the SERC Compliance Program. Actions based on any such response shall have no standing for the purpose of establishing precedent for compliance purposes, or be binding as to a course of conduct when contesting or mitigating any findings of non-compliance by SERC.

Section 3 (SERC Response)

Date of Response:	SERC Staff Member:
Responded by: <input type="checkbox"/> Telephone <input type="checkbox"/> email <input type="checkbox"/> Other	
Response Provided:	
Reference Documents ¹ :	

For SERC Staff: Please send completed form to regstd@serc1.org.

¹ List all applicable meeting or conference call minutes and any applicable SERC supplements, standards, or other reference documents.

SERC Non-Official Advisory Guidance Request Procedure

Request #: NOA-_____

Non-Official Advisory Guidance Web Posting

Request

Date of Request:
Type of Request:
<input type="checkbox"/> A. Question regarding a SERC Regional Reliability Standard
<input type="checkbox"/> B. Question regarding a SERC Regional Criteria
<input type="checkbox"/> C. Question regarding how the SERC compliance program will be measuring and enforcing a NERC Reliability Standard
<input type="checkbox"/> D. Other (please describe)
Request:

While the response is given in good faith it is the personal opinion of the provider, it will in no way be considered an official SERC Regional Interpretation and will not be binding on enforcement decisions of the SERC Compliance Program. Actions based on any such response shall have no standing for the purpose of establishing precedent for compliance purposes, or be binding as to a course of conduct when contesting or mitigating any findings of non-compliance by SERC.

SERC Response

Date of Response:
Response Provided:
Reference Documents:

If you have questions, please contact the SERC Manager of Reliability Standards at regstd@serc1.org or by telephone at 704-357-7372.

