

Status **Active** PolicyStat ID 16825826



## Document Categorization Policy

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### 1. Introduction

To promote consistency, this policy identifies the purpose, approval process and applicability of the different types of documents that may be created by the Reliability Assessment Committee (RAC) and Reliability Risk Committee (RRC) and their subcommittees, task forces, and working groups (Committee or Committees).

#### 1.1. Scope

This policy applies to documents that are created by Committees and that are applicable to or intended to inform Members and/or Registered Entities.

#### 1.2. Categorization Guidelines

If failure to follow a document that is not a NERC or Regional Reliability Standard has the potential to adversely impact reliability, the document shall be reviewed for possible re-categorization (in accordance with applicable requirements) as a NERC or Regional Reliability Standard.

If the content of any document is obsolete or redundant to or in conflict with a (Regional) Reliability Standard or a Regional Criterion, the document shall be reviewed for possible revision or retirement.

#### 1.3. Resolving Categorization Disputes

Disputes regarding the categorization of Regional Reliability Standards or Regional Criteria shall be addressed by the WECC Standards Committee, who may use the Standards Development Procedures as necessary.

Disputes related to Policies, Guidelines, and Reports or Papers will be addressed by the Board of

Directors (Board) or the technical Committee or Board Committee to which document responsibility has been delegated.

## 2. Document Categories

### 2.1. Regional Reliability Standards

**Definition:** Regional Reliability Standards shall have the definition set forth in the NERC Rules of Procedure as may be amended from time to time.

**Development, Adoption, and Modification:** Regional Reliability Standards are developed, adopted, and modified in accordance with the Reliability Standards Development Procedures.

Regional Reliability Standards may be developed, modified, adopted, and amended in Canada and Mexico in accordance with the approval process of the applicable governmental authority.

**Applicability:** Regional Reliability Standards are applicable to Registered Entities in the U.S. portion of the Western Interconnection as identified within each Regional Reliability Standard. Regional Reliability Standards are applicable to entities in Canada and Mexico as determined by the applicable governmental authority.

**Monitoring and Enforcement:** Monitoring and enforcement of Regional Reliability Standards within the U.S. portion of the Western Interconnection is the responsibility of the Reliability and Security Oversight Department and is conducted in accordance with the NERC Compliance Monitoring and Enforcement Program (CMEP). Within Canada and Mexico, the monitoring and enforcement of Regional Reliability Standards are undertaken by the applicable governmental authority.

### 2.2. Regional Criteria

**Definition:** Regional Criteria shall have the definition set forth in the NERC Rules of Procedure as may be amended from time to time.

**Development, Adoption, and Modification:** Regional Criteria are developed, adopted, and modified in accordance with the Reliability Standards Development Procedures.

Regional Criteria may be developed, modified, adopted, and amended in Canada and Mexico in accordance with the approval process of the applicable governmental authority.

**Applicability:** Regional Criteria are applicable to Members as identified within each Regional Criterion.

A Regional Criterion referenced in a FERC approved Reliability Standard is also applicable to Registered Entities in the U.S. portion of the Western Interconnection as identified within the Regional Criterion.

Regional Criteria may also be applicable to entities in Canada and Mexico as determined by the applicable governmental authority.

**Monitoring and Adherence/Enforcement:** Regional Criteria are not enforceable under authority delegated by NERC. However, if a FERC approved Reliability Standard references a regional procedure, plan, process, etc., a Registered Entity may be found in violation of that Reliability Standard for not

following the applicable requirements in a Regional Criterion. Within the United States portion of the Western Interconnection, the monitoring of Regional Criteria referenced by a Reliability Standard may be undertaken by the Reliability and Security Oversight Department pursuant to the CMEP.

In addition, the monitoring of adherence to Regional Criteria not referenced in a Reliability Standard may be conducted in accordance with the Process for Monitoring Adherence to Regional Criteria approved by the Board.

Within Canada and Mexico, the monitoring and enforcement of Regional Criteria are undertaken by the applicable governmental authority.

## 2.3. Board Policies

**Definition:** A Board Policy is created to establish general paths, directions, and objectives for the management of the organization. Board Policies do not address reliability or operational requirements (as these are contained in Regional Reliability Standards, Regional Criteria or Guidelines).

**Development, Adoption, and Modification:** The requirements prescribed in the Bylaws for Board approval items shall be used to adopt, retire, or modify a Board Policy.

**Applicability:** A Board Policy may be applicable to all Members and staff.

**Monitoring and Adherence:** Any action regarding adherence to Board Policies by Members shall be pursuant to the Bylaws.

## 2.4. Guidelines

**Definition:** A Guideline is a process, procedure or set of requirements created to address technical issues; including to promote consistency among Members or to identify best practices.

**Development, Adoption, and Modification:** A Guideline must be developed using at least one notice and comment process (which shall be in addition and prior to any notice and comment required for approval) and must be approved by the Board or the technical Committee or Board Committee to which document responsibility has been delegated, unless the Board or the technical Committee or Board Committee explicitly delegates approval to another Committee.

**Applicability:** Guidelines are applicable to Members as identified in the Guideline.

**Monitoring and Adherence:** There is no adherence action associated with Guidelines.

## 2.5. Reports or Papers

**Definition:** A Report or Paper is a document created to disseminate findings or improve awareness of issues or events. Reports or Papers may include, but are not limited to: white papers, Event Analysis Reports, information summaries or lists, reference documents, data bases, and survey results.

**Development, Adoption, and Modification:** Reports or Papers must be developed using at least one notice and comment process (which shall be in addition and prior to any notice and comment required for approval) and must be approved by the Board or the technical Committee or Board Committee to

which document responsibility has been delegated, unless the Board or the technical Committee or Board Committee explicitly delegates approval to another Committee.

**Monitoring and Adherence:** There is no adherence action associated with Reports or Papers.

## 2.6. Charters

**Definition:** A Charter is a document that must be created to specify the purpose, responsibilities, activities, membership, leadership, and meeting requirements, etc., of a Committee.

**Development, Adoption, and Modification:** A Charter shall be approved by the Board or the parent Committee.

**Applicability:** A Charter applies to the Committee for which it was approved.

**Monitoring and Adherence:** Adherence to Charters shall be addressed by the Board, the parent Committee, the Governance Committee, and/or the Legal Department, as appropriate.

## 2.7. Protocols

**Definition:** A Protocol is a document that governs the process a Committee will use to conduct an activity.

**Development, Adoption, and Modification:** A Protocol shall be approved by the Board, the parent Committee, or the Committee to which it applies.

**Applicability:** A Protocol applies to the Committee for which it was approved.

**Monitoring and Adherence:** Adherence to Protocols shall be addressed by the Board, the parent Committee, the Governance Committee, and/or the Legal Department, as appropriate.

*This policy supersedes and revokes all past policies and practices, oral and written representations, or statements regarding terms and conditions of employment concerning the subject matter covered herein. WECC reserves the right to add to, delete, change, or revoke this policy at any time, with or without notice. This policy does not create a contract between WECC and any employee or contractor, nor does it create any entitlement to employment or any benefit provided by WECC to its employees or contractors.*

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