


System Operating Procedures

SOP-RTMKTS.0200.0025

Maintain OPTI Records

Effective Date: July 18, 2011
Revision No. 1

	© ISO New England Inc. 2011	Procedure: Maintain OPTI Records
	Process Name: Perform Operations Training	
	Procedure Number: RTMKTS.0200.0025	Revision Number: 1
	Procedure Owner: Steve Weaver	Effective Date: July 18, 2011
	Approved By: Director, Operations	Review Due Date: July 18, 2011


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1. Objective

NOTE

Before implementing any modification to current Operational Performance, Training & Integration (OPTI) group policies, procedures or practices recommended by auditors or outside authorities, equivalent existing procedures or practices must be compared to the recommended change and evaluated for value added, applicability to ISO and cost effectiveness by the Manager, OPTI and affected OPTI staff.


1. This procedure provides guidance for maintaining the OPTI records.
2. This procedure applies to the following OPTI programs: Training Operations Professionals (TOPP), Continuing System Operator Training, and OPTI Instructor Training Programs. The Program Descriptions for each of the programs are located on the Enterprise Document Library (EDL) in Real Time Markets, Related Documents.

2. Background

1. OPTI materials are maintained in accordance with ISO New England (ISO) policy, Northeast Power Coordinating Council Inc, (NPCC) Directories and North American Electric Reliability Corporation (NERC) Reliability Standard PER-005 - System Personnel Training requirements

3. Responsibilities


1. The Manager, OPTI (or designee) is responsible for:
 - A. Establishing the standards and processes for the maintenance of OPTI records.
 - B. Assigning the OPTI Records Administrator
2. OPTI Training Coordinators (TCs) are responsible for maintaining OPTI Training Records in accordance with the instructions in Section 5 of this SOP.

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3. The OPTI Training Administrator TA is responsible for:
 - A. Maintaining OPTI Training Records in accordance with the instructions in Section 5 of this SOP.
 - B. Maintaining NERC Continuing Education Program (CEP) course records on the NERC System Operator Certification Continuing Education Database (SOCCED) in accordance with NERC CEP Administration Manual Requirements
4. Personnel receiving OPTI Continuing Education Hours (CEH) training, are responsible for:
 - A. Verifying the validity of their NERC SOCCED and ISO Training and Events Network (ISO TEN) transcripts
 - B. Reporting any discrepancies to OPTI TA upon discovery

4. Controls

1. All training record documents and files developed by OPTI personnel, as well as those developed by qualified vendors, shall be subject to the processes described in this procedure.

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5. Instructions


5.1 Create Course Records

1. The OPTI TA shall:

NOTE

The assigned tracking number serves as the NERC Independent Learning Activity (ILA) ID in courses to be submitted to NERC for Continuing Education (CE) Hour credit.

- A. Assign a tracking number to all training requests and requests for changes to training in accordance with SOP-RTMKTS.0200.0015 - Request OPTI Training or Changes to Training.
 - B. In the appropriate year folder and cycle training sub-folder, create a course main folder in the Operations Training SharePoint site using the assigned tracking number and a short description of the course to be developed.
 - C. Complete appropriate sections of the NERC ILA application and the NERC Continuing Education (CE) Course Data Form, in accordance with SOP-RTMKTS.0200.0015 Request OPTI Training and Changes to Training
 - D. Save the completed NERC ILA application and the NERC Continuing Education (CE) Course Data Form to the Course Main Folder.
2. Instructors shall:
 - A. Using the Course ID Number as the prefix, name all course documents and training materials.
 - B. Upload the reviewed course materials that is to be used for course pilot and eventual delivery to the course main folder
 - C. Save all applicable forms utilized in OPTI course development including, but not limited to, the forms listed in Attachment A

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3. The OPTI TC assigned to complete NERC ILA Application Course data sections of the ILA application shall:
 - A. Use the course materials and documents developed by the Instructor responsible for course development to complete the ILA.
 - B. Complete the NERC CE Course Data Form.
 - C. Submit the completed NERC ILA application and NERC CE Course Data Form to the Manager, OPTI and the course development Instructor for review.
4. The OPTI TA shall:
 - A. Upload each completed NERC ILA application and NERC CE Course Data Form to SOCCED..

NOTE


The OPTI forms applicable to the course should be included in the Course Audit Ready Files.

It is an expectation that paper versions of the forms applicable to the course that are listed in Step 5.1.4.B will be maintained as directed in Step 5.1.4.C.

- B. Copy the forms applicable to the course from the following list (located in the Course Main Folder) to the appropriate Course Audit Ready File within 2 weeks of the completion of the training course:
 - (1) Training/Change Request
 - (2) Written Test Items Approval Sheets
 - (3) Job Performance Measure (JPM) Approval Sheets
 - (4) Evaluated Exercise Approval Sheet
 - (5) Completed JPM Sheets
 - (6) Evaluated Exercise Evaluation Sheets
 - (7) Course Sign-in Sheets
 - (8) Trainee Course Evaluation Summaries
 - (9) Summary of Trainee Post-Program Feedback
 - (10) Summary of Supervisor Post-Program Feedback
 - (11) Inadequately Retained Objectives


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- C. Convert all OPTI paper records, including all completed SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness Attachments, to electronic format and save to an Audit Ready file.
- D. Dispose of the paper answer sheets in accordance with OPTI practices and RSKMGT.0020.0010 - Appendix 2 - ISO-NE Records Retention Schedule

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6. Performance Measures

1. Electronic Course records shall be retained for a minimum of four years.
2. Electronic personnel records belonging to ISO personnel shall be retained for at least six calendar years from the time of their termination independent of reason. In the case of litigation involving the employee and ISO, the personnel records shall be turned over to ISO Human Resources Department in accordance with ISO New England Records Maintenance Policy.
3. Electronic personnel records belonging to personnel outside of ISO shall be maintained for at least four calendar years after receiving course credit for any NERC approved CEH course.
4. NERC CEH course information will be bulk uploaded to the NERC SOCCED transcripts for all attendees successfully completing the course at the end of each week in the four OPTI training cycles by the QTD. NERC CEH information for self paced Computer Based Training (CBT) courses shall be harvested every two months and uploaded to the NERC SOCCED once per calendar quarter (every three months)

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7. References

NERC Reliability Standard PER-005 - System Personnel Training

NERC SOCCED Continuing Education Provider User Guide

NERC Continuing Education Administrative Manual

Master/Local Control Center No. 17 - ISO & Local Control Center Joint Training (M/LCC 17)

RSKMGT.0020.0010 - Appendix 2 - ISO-NE Records Retention Schedule

SOP-RTMKTS.0200.0015 - Request OPTI Training and Training Changes

SOP-RTMKTS.0200.0035 - Analyze OPTI Training Needs


SOP-RTMKTS.0200.0045 - Design & Development of OPTI Instructional Materials

SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests

SOP-RTMKTS.0200.0060 - Implement OPTI Training

SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness

SOP-RTMKTS.0200.0080 - Qualify OPTI Instructors


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8. Revision History

Rev. No.	Date	Reason	Contact
0	12/18/09	Initial draft procedure	Cheryl Richardson
1	07/18/11	Biennial review by procedure owner; Updated copyright date in Header, replaced page numbers with Page X of Y format; Global replaced Operational Performance and Training Department (OPTD) with Operational Performance, Training & Integration (OPTI) group; Modified Section 1, Section 3 and Section 4; Modified Section 5.1 title, deleted all steps and replace with modified steps 5.1.1, 5.1.2, 5.1.3, & 5.1.4; Deleted Sections 5.2, 5.3, and 5.4 entirely; Modified Section 6; Added new documents to Section 7; Updated Attachment A	Steve Weaver


9. Attachments

Attachment A - List of Training Forms with Locations


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Attachment A - Training Forms with Locations

1. **Application for OPTI Instructor Qualification** - Attachment A of SOP-RTMKTS.0200.0080 - Qualify OPTI Instructors
2. **OPTI Training/Training Change Request Form** - Attachment A of SOP-RTMKTS.0200.0015 - Request OPTI Training and Changes to Training
3. **Training/Training Change Request Tracking Sheet** - Attachment B of SOP-RTMKTS.0200.0015 - Request OPTI Training and Changes to Training
4. **Training Needs Analysis Form** - Attachment A of SOP-RTMKTS.0200.0035 - Analyze OPTI Training Needs
5. **Job and Task Analysis (JTA) Change Form** - Attachment B of SOP-RTMKTS.00200.0035 - Analyze OPTI Training Needs
6. **Instructional Objective Review and Approval Form** - Attachment A of SOP-RTMKTS.0200.0045 - Design & Development of OPTI Instructional Materials and Attachment C of Master/Local Control Center No. 17 - ISO & Local Control Center Joint Training (M/LCC 17)
7. **Classroom Lesson Plan** - Attachment B of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials and Attachment D of Master/Local Control Center No. 17 - ISO & Local Control Center Joint Training (M/LCC 17)
8. **OJT Exercise Guide** - Attachment C of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials
9. **OJT Student Guide** - Attachment. D of of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials
10. **Training Exercise Guide** - Attachment E of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials
11. **Software Instructor and Student Guide** - Attachment F of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials

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12. **Instructional Package Review and Approval** - Attachment of SOP-RTMKTS.0200.0045 - Design and Develop OPTI Instructional Materials and Attachment E of Master/Local Control Center No. 17 - ISO & Local Control Center Joint Training (M/LCC 17)
13. **Written Test Item Approval Form** - Attachment A of SOP-RTMKTS.0200-0055 - Develop OPTI Test Items and Tests
14. **OPTI Written Test Sheet** - (for administration of paper tests) Attachment B of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
15. **Job Performance Measure (JPM) Approval Sheet** - Attachment C of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
16. **Job Performance Measure Form** - Attachment D of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
17. **Evaluated Exercise Approval Sheet** - Attachment E of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
18. **Evaluated Exercise Brief** - Attachment F of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
19. **Evaluated Exercise Form** - Attachment G of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
20. **Evaluated Exercise Evaluation Form** - Attachment I of SOP-RTMKTS.0200.0055 - Develop OPTI Test Items and Tests
21. **Cycle Training Course Pilot Evaluation Sheet** - Attachment A of SOP-RTMKTS.0200.0060 - Implement OPTI Training
22. **ISO-NE Operations Training Attendance Report** - Attachment B of SOP-RTMKTS.0200.0060 - Implement OPTI Training
23. **OPTI Sign-In Sheet** - Attachment H of Master/Local Control Center No. 17 - ISO & Local Control Center Joint Training (M/LCC 17)
24. **Classroom Instructor Evaluation Instrument** - Attachment B of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness

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25. **Exercise Instructor Evaluation Instrument** - Attachment C of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
26. **OJT Instructor Evaluation Instrument** - Attachment D of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
27. **Trainee Course Evaluation Form** - Attachment E of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
28. **Trainee Course Evaluation Summary** - Attachment F of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
29. **Trainee Post-Program Feedback Form** - Attachment G of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
30. **Summary of Trainee Post-Program Feedback** - Attachment H of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
31. **Supervisor Post-Program Feedback Form** - Attachment I of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
32. **Summary of Supervisor Post-Program Feedback** - Attachment J of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
33. **Inadequately Retained Objectives** - Attachment L of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness
34. **TTSE Fidelity Feedback Form** - Attachment M of SOP-RTMKTS.0200.0070 - Evaluate OPTI Training Program Effectiveness