

PJM Stakeholder Process Training: CBIR Process



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- Roles
- Issue Initiation Process
- Mutual Gains Theory
- Consensus Based Issue Resolution (CBIR)
- Cake Example – live practice
- Alternative processes
- Annual work planning process
- Getting Involved

Roles

Manual 34: 4.2

Stakeholder Process

- Providing feedback/enforcement related to meeting deadlines, procedures, stakeholder protocols and quality control
- Efficiently utilizing the resources that PJM needs to service the stakeholder process

Logistics

Providing necessary analytic and logistical support

Facilitation

Providing fair, non-partisan facilitation of meetings for all participants

Education

Providing education and information on the issues

Informing

- Bringing forward operational and other important issues to stakeholders
- Keeping stakeholders informed about important outside events and interactions

Ideas

Developing proposals
(at member's request or as needed)

Advocating

Advocating necessary reliability or market design-driven initiatives

Manual 34: 4.1

It is the responsibility of each participant in the stakeholder process to represent its interests in cooperation with all other stakeholders to ensure the reliability of the PJM system and implementation of efficient, fair and transparent markets.

Specific responsibilities of the members include:

- Articulating their interests, concerns, and ideas and their basis of support for a particular approach or proposal
- Raising objections and concerns, and the responsibility to provide an alternative if they are not able to agree with a proposal or option
- Alerting the stakeholder meeting facilitator to specific sensitive concerns related to the process or subject matter
- Providing all materials in a timely manner for website posting and notification
- Adhering to the group's charter and work plan, and seeking to complete it in a timely and efficient manner including any regulatory or other deadlines

Manual 34

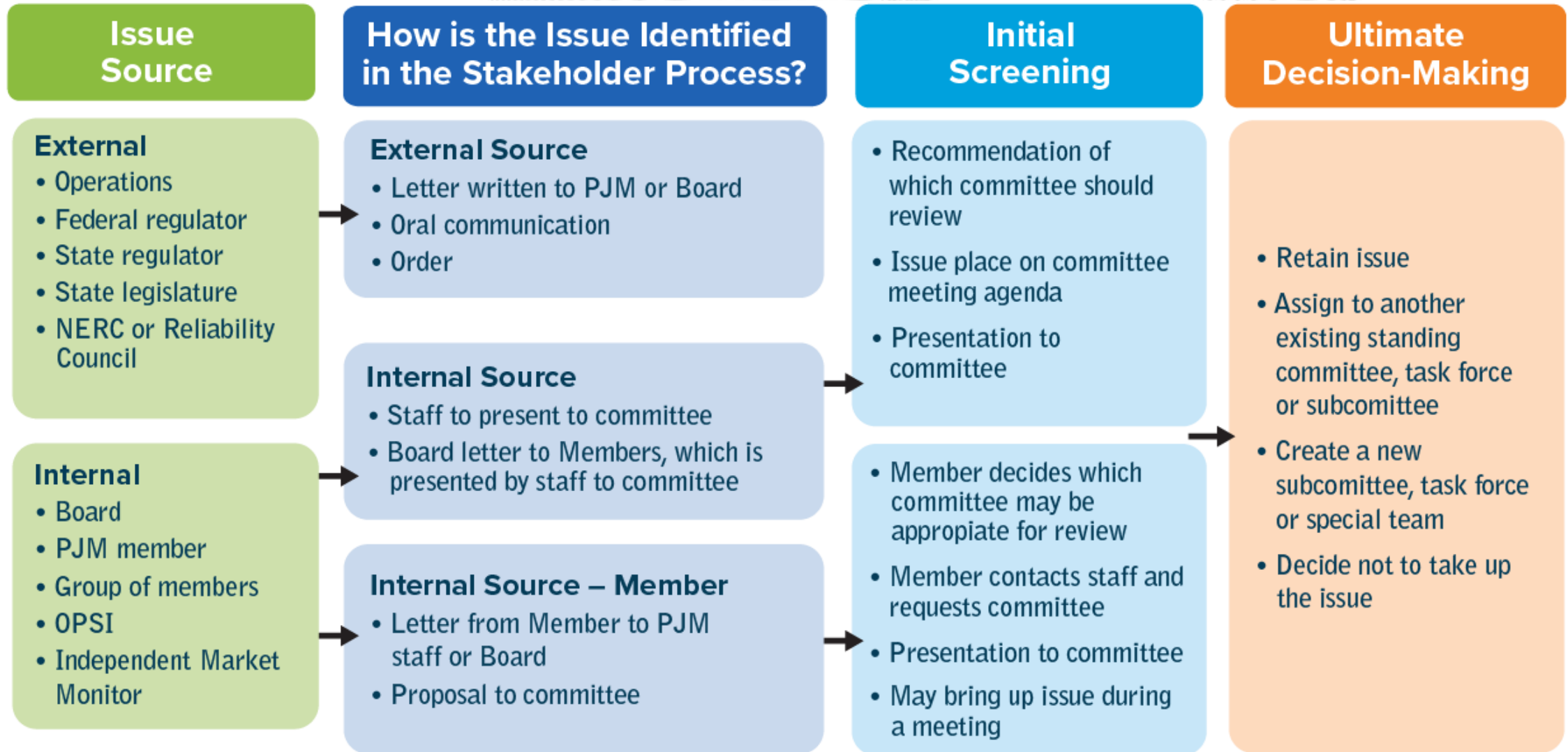
4.3 IMM

The market monitoring unit may, as it deems appropriate or necessary, perform functions under the PJM Tariff participate (consistent with the rules applicable to all PJM stakeholders) in stakeholder working groups, committees or other PJM stakeholder processes.

4.4 OPSI and State Regulators

- OPSI and its member regulatory agencies (commissions) have a unique relationship in the PJM stakeholder process.
- Currently, OPSI and the commissions are not members of PJM.
- OPSI as an entity, or any state commission individually, may elect to become a member as provided for in the Operating Agreement.
- Under a June 2005 Memorandum of Understanding between the OPSI Board and the PJM Board, commissioners and staff of commissions participate, deliberate, give input and engage at all levels of PJM stakeholder groups but do not vote on any issue.

Issue Initiation Process



PROBLEM STATEMENT

A clear statement of:

- The problem or issue
- The situation to be improved
- The opportunity to be seized
- Why it warrants consideration in the stakeholder process

★ ISSUE CHARGE

Includes:

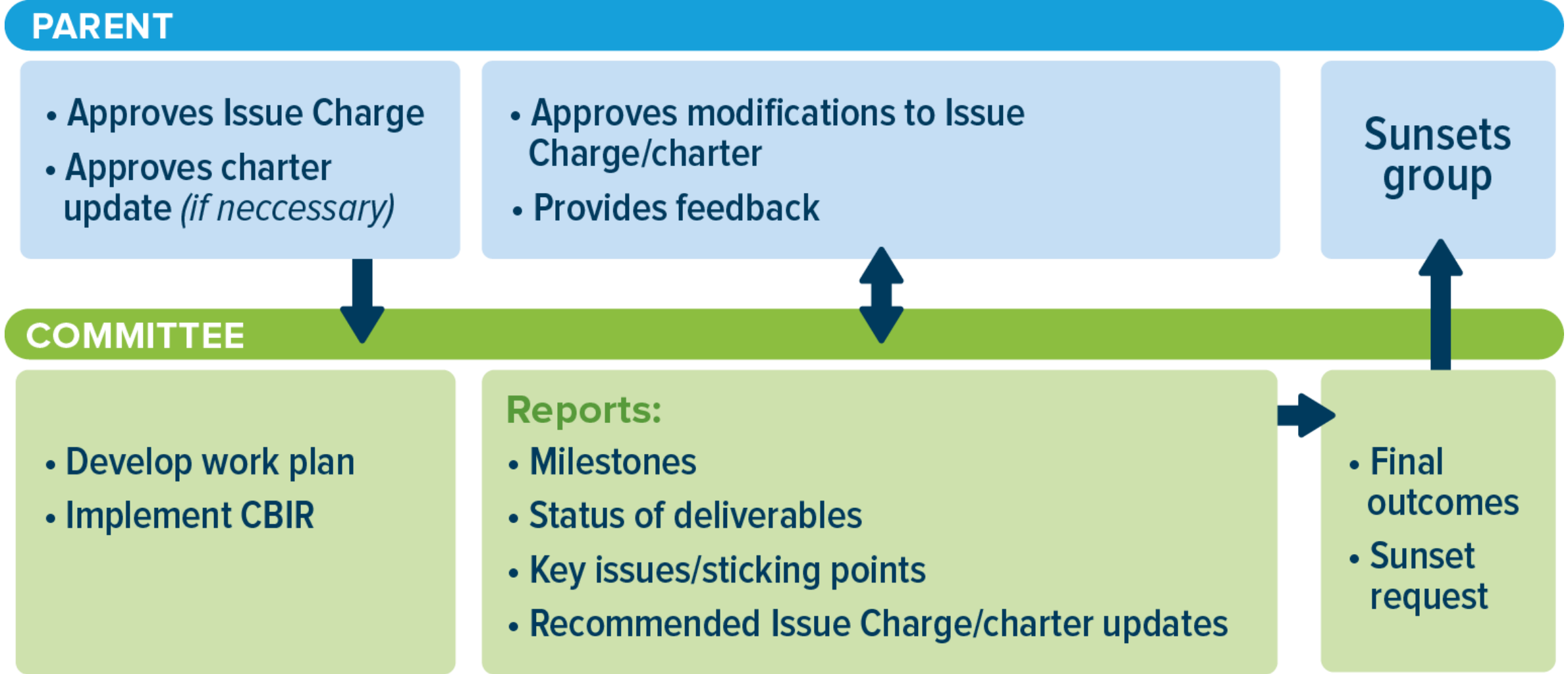
- Objectives of the group
- Expected overall duration of work
- Milestones and deadlines
- Administrative details
- Priority and timing of work
- Assignment of the issue
- Decision-making method
- Determination if Issue Charge will serve as charter

CHARTER

New charters are only required for the creation of new standing committees and subcommittees. Charter updates are required for work assigned to existing groups.

Includes:

- Voting/polling authority
- Reporting requirements
- Sunsetting requirements

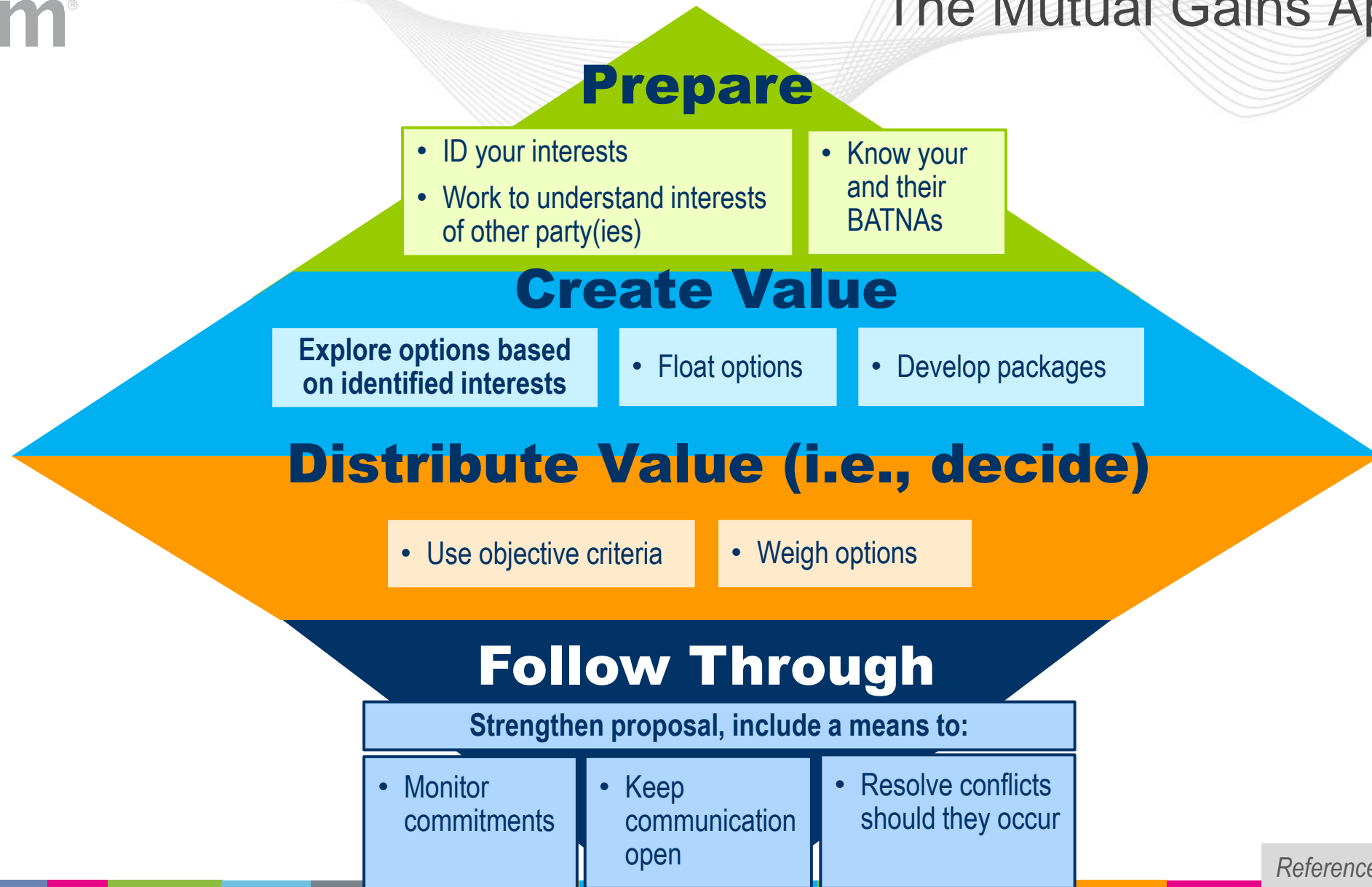


Mutual Gains Theory

**Developed at the
Consensus
Building Institute,
with Larry
Susskind, MIT
professor**

**Process model
based on hundreds
of real-world cases
and experimental
findings**

- Four steps for negotiating better outcomes while protecting relationships and reputation
- Central tenet – parties typically have more than one goal or concern in mind and more than one issue that can be addressed in the agreement they reach
- Allows parties to improve their chances of creating an agreement superior to existing alternatives
- Emphasizes careful analysis and good process management
- Mutual Gains approach is not the same as “Win-Win”



Reference: The Consensus Institute

Mutual Gains – Four Stages:

- 1 Preparation
- 2 Value creation
- 3 Value distribution
- 4 Follow-through

CBIR – Four Steps:

- 1 Investigation & Education
- 2 Options & Proposals
- 3 Narrowing & Decision-Making
- 4 Reporting > Implementation

www.cbuiding.org/cbis-mutual-gains-approach-negotiation

1

Investigation & Education

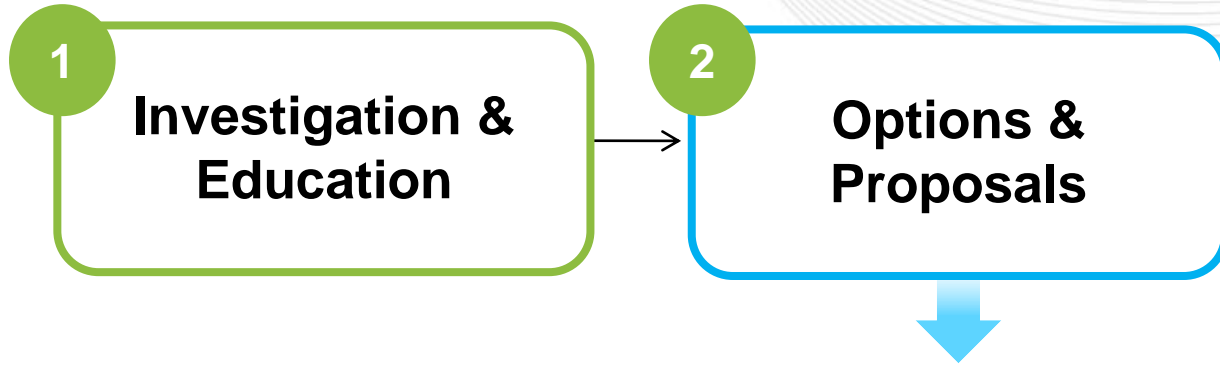
- Develop and maintain a work plan
- Agree on roles, responsibilities, deadlines and goals
- Develop list of topics for coverage
- Describe and document existing operations and procedures
- Determine whether any information necessary to do the work is missing
- Explore and consider “best practices”
- Determine whether outside expertise or assistance may be needed

1

Investigation & Education

Identify Interests

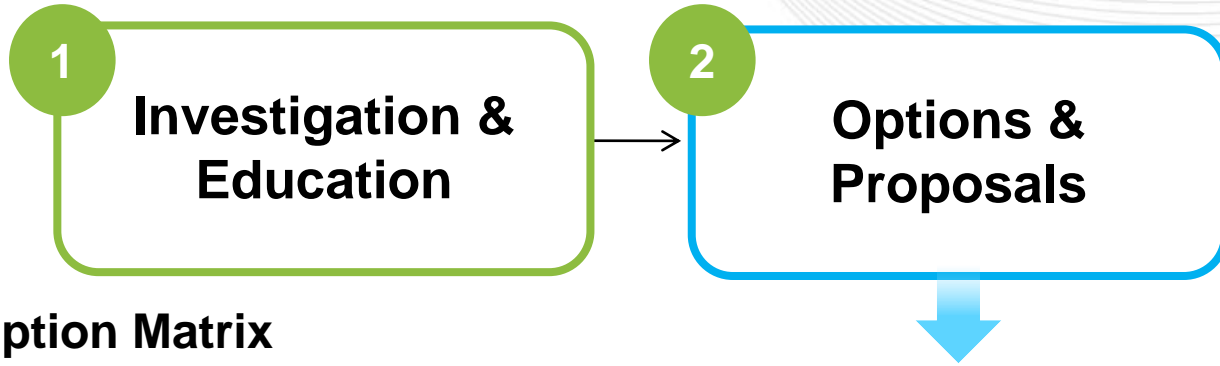
- Ask participants to communicate the importance of the issue to their organization
- Ask participants to share the most and least important interests in regard to the issue
- Consolidate responses
- Batch and present visible themes



Brainstorm solution options and proposals using a two-step process

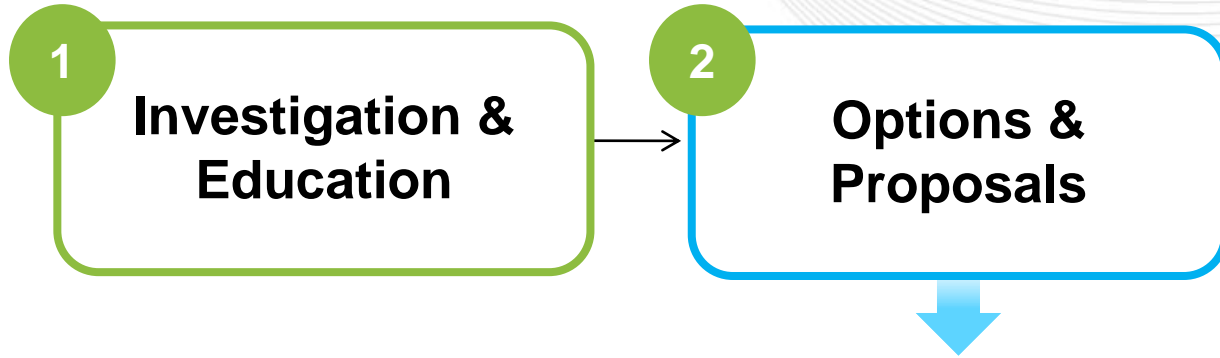
Step 1: Options Matrix

- Develop design components
- Identify priority level
- Propose solution options
- Evaluate and narrow down options (“winnowing”)



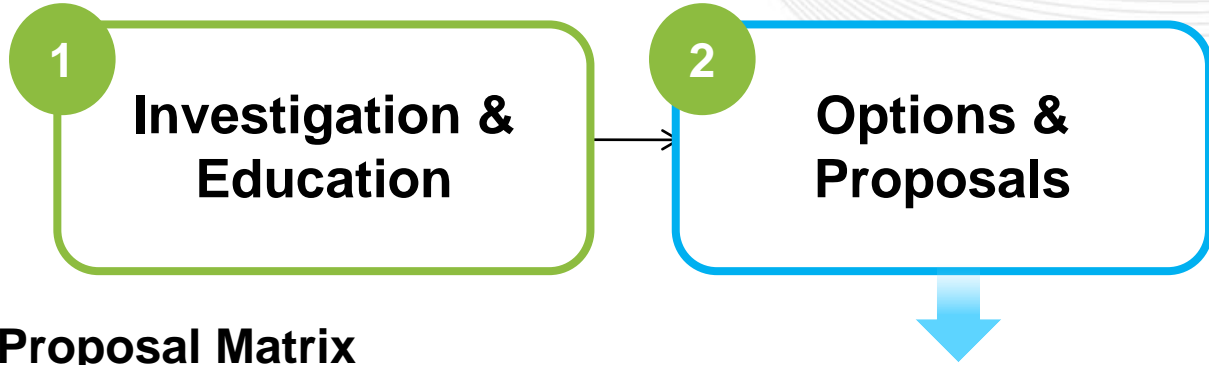
Option Matrix

| Design Components | Priorities | Status Quo | A | B | C | D | E |
|-------------------|------------|----------------|-----------|-----------|-----------|-----------|-----------|
| Component 1 | High | SQ Component 1 | Option 1A | Option 1B | Option 1C | Option 1D | Option 1E |
| Component 2 | Medium | SQ Component 2 | Option 2A | Option 2B | Option 2C | Option 2D | Option 2E |
| Component 3 | Low | SQ Component 3 | Option 3A | Option 3B | | | |
| Component 4 | High | SQ Component 4 | Option 4A | Option 4B | Option 4C | | |



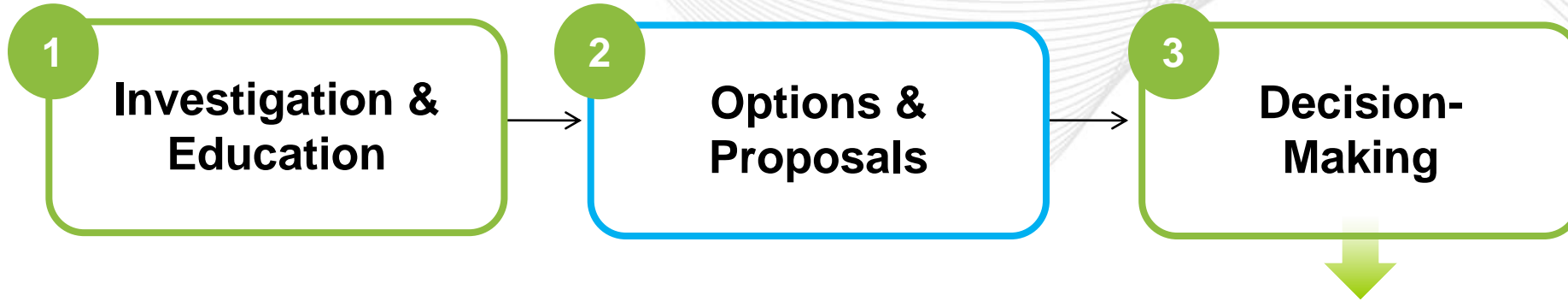
Step 2: Proposal Matrix

- Discuss development of proposals (packages), encouraging broad stakeholder proposals
- Use solution option for each package
- Identify similarities and differences
- Prioritize, refine and consolidate as best as possible



Proposal Matrix

| Design Components | Priorities | Status Quo | Proposal A | Proposal B | Proposal C | Proposal D |
|-------------------|------------|----------------|----------------|------------|------------|----------------|
| Component 1 | High | SQ Component 1 | SQ Component 1 | Option 1A | Option 1E | Option 1E |
| Component 2 | Medium | SQ Component 2 | Option 2C | Option 2B | Option 2D | Option 2D |
| Component 3 | Low | SQ Component 3 | SQ Component 3 | Option 3B | Option 3A | Option 3B |
| Component 4 | High | SQ Component 4 | Option 4A | Option 4C | Option 4C | SQ Component 4 |



- Use polling and voting to narrow and gauge support for options and proposals

- Negotiate and build consensus
 - Tier 1:* Achieve consensus on a single proposal that all parties accept with no objections
 - Tier 2:* Provide 2–3 alternatives when consensus is not obtained under the Tier 1 approach

- Vote at parent committee and up the committee hierarchy as needed



- The task force or subcommittee is required to provide ***periodic updates*** and a ***final report*** to the parent committee
- Updates should include progress on milestones and deliverables
- The final report will detail all the of steps used in the evaluation process including the proposed solutions





The PJM Planning Committee decides that PJM and the members should develop a recipe for a cake to serve at a special event.



The PJM Planning Committee reviews a Problem Statement and approves an Issue Charge, and since there is no preexisting group that handles cake recipes, establishes a new Cake Task Force (CTF).



PJM assigns a facilitator and secretary, identifies SMEs, coordinates logistics, schedules the first meeting, and off we go.

Step 1A: Review the Problem Statement, Issue Charge, and develop a work plan

Step 1B: Educate and perform joint fact finding

Step 1C: Identify interests



Live Matrix Practice

The facilitator prepared a report on behalf of the task force, which included the preferred recipe of the vast majority of the participants (Recipe 4) and Recipe 2, the gluten-free alternative.



The report included:

1. A copy of the matrices (both component options and recipes/packages)
2. Polling results
3. A brief discussion of the consolidated interests considered in reviewing the options and recipes (packages)
4. A recommendation for further future research on gluten-free flours — perhaps for PJM’s next cake
5. A query about the possibility of making a few gluten-free cupcakes to go along with the chocolate cake this time around

- **Enhanced Liaison Committee (ELC)** – formal process that creates coalitions to present to the PJM Board for decision
- **Critical Issue Fast Path (CIFP)** – streamlined formal process, using the matrix, education, proposals, presentations to the Board and voting at the MC
- **Quick Fix** – brings the solution along with the problem for straightforward issues
- **CBIR Lite** – creates a subgroup of a standing committee with no voting authority
- **User Groups** – Stakeholder group formed by five or more voting members sharing a common interest; minority protection

The objective of the annual plan is to document the work to be completed in the coming year

The annual plan should be used where prioritizing issues in the stakeholder process

The plan will include issues likely to result in proposals to the Members Committee for approval

Issues Tracking on pjm.com offers current, searchable updates

The screenshot shows the 'Issue Tracking' page on the PJM website. It includes a breadcrumb trail (Home > Committees & Groups > Issue Tracking), a title 'Issue Tracking', and a brief description of the tool's purpose. Below this is a 'Process Status Legend' section with filters for 'View:' (set to 'Current Issues') and 'Standing committee level:' (set to 'All'). The main content is a table with tabs for 'Overview', 'Timeline', and 'Process Status'. The 'Timeline' tab is active, showing a grid of issues tracked across four quarters: Jan - March 2019, April - June 2019, July - Sep 2019, and Oct - Dec 2019. A search bar is located above the table.

| Committee | Issue | Timeline | | | |
|-----------|---|------------------|-------------------|-----------------|----------------|
| | | Jan - March 2019 | April - June 2019 | July - Sep 2019 | Oct - Dec 2019 |
| FRMSTF | Financial Risk Mitigation | | █ | █ | █ |
| MIC | Interregional Incremental Auction Revenue Rights | | █ | █ | |
| FSSTF | Fuel Security | | █ | █ | █ |
| DRS | Load Management Testing Requirements | | | | |
| OC | Non-Retail Behind the Meter Generation Business Rules | | █ | █ | █ |
| PC | Merchant Transmission and | | | | |

Stakeholder Process Forum

PJM Learning Center

New Member Quick Guide

Committee Meetings

At a Glance: The PJM Stakeholder Process

Stakeholder Process Calendar

The screenshot displays the PJM Learning Center website. At the top, there are navigation tabs for 'Electricity Basics', 'Who is PJM?', 'PJM Structure', 'Three Priorities', and 'Energy Innovations'. A video player is featured with the title 'WHO'S WHO IN THE PJM CONTROL ROOM'. Below this, there are sections for 'Electricity Basics' and 'Three Priorities'. The main content area is titled 'Committees & Groups' and includes a sidebar with a 'Meeting Center' menu. The central text explains that PJM interconnection committees and groups are integral to developing and refining PJM's rules, policies, and processes. A diagram titled 'View the PJM Stakeholder Process Groups Diagram' shows the relationship between the 'PJM Board of Managers' and the 'Members Committee'. Contact information for Member Relations is provided on the right side of the page.

- Join email distribution lists to receive all future emails regarding this group
- Register for meetings in Meeting Center
- Join the roster for groups of interest (required for voting representatives)

The screenshot shows the PJM website's user interface. At the top, there is a navigation bar with 'Hi', 'Tools Sign In', and 'Calendar'. A search bar is located on the right. Below this is a secondary navigation menu with links for 'about pjm', 'training', 'committees & groups', 'planning', 'markets & operations', and 'library'. The main content area is titled 'My PJM Home' and includes a sub-menu with 'My Email Lists' and 'My Profile'. A callout box on the left highlights this sub-menu. The main content area contains a 'My PJM Home' section with a description: 'Manage your meeting registrations and subscriptions to newsletters and email lists.' Below this is a 'My Links' section with a grid of links: 'Member Community', 'Learning Center', 'Meeting Center', 'PJM Tools Sign In', 'Secure Content Areas', and 'User Interface Standards'. A callout box on the left highlights the 'My Links' section. On the right side, there are sections for 'RELATED INFORMATION' (Training Events, About PJM, Committees), 'FAQs' (How do I update my account information, Will the PJM website remember that I am signed in), and 'CONTACT INFORMATION' (Member Community, phone numbers).

My PJM Home Home > My PJM Home > My Email Lists

My Email Lists

My Profile

My Email Lists

PJM uses a number of lists to send meeting notices, materials, voting or polling results, tool updates and reminders to stakeholders. To subscribe to a list, browse the topic categories and select the lists to which you would like to be added. Once you have made your selections, click the submit button. Selections will be processed within 10 minutes of submission. Do not attempt to resubmit the selection as this will overwrite the latest request.

If you don't see an email list in the *Available Subscriptions* box below, you can update your subscription preferences via the [Email List Update form](#) by entering the name of the mailing list which you would like to be subscribed to or unsubscribed from.

| | Email List | Subscribed |
|-------------|--|-------------------------------------|
| Committees | ARR FTR Market Task Force | <input checked="" type="checkbox"/> |
| | Capacity Capability Senior Task Force | <input checked="" type="checkbox"/> |
| | Carbon Pricing Senior Task Force | <input checked="" type="checkbox"/> |
| Forums | Energy Price Formation Senior Task Force | <input type="checkbox"/> |
| | Financial Risk Mitigation Senior Task Force | <input checked="" type="checkbox"/> |
| Task Forces | Fuel Security Senior Task Force | <input type="checkbox"/> |
| | Incremental Auction Senior Task Force | <input type="checkbox"/> |
| | Market Efficiency Process Enhancement Task Force | <input checked="" type="checkbox"/> |
| | Modeling Generation Senior Task Force | <input checked="" type="checkbox"/> |
| | Primary Frequency Response Senior Task Force | <input type="checkbox"/> |
| | | |

1. Select Task Force

2. Select CCSTF

3. Click Submit

Hi Tools Sign In Calendar Go

[about pjm](#) | [training](#) | [committees & groups](#) | [planning](#) | [markets & operations](#) | [library](#)

My PJM Home Home > My PJM Home 📧 📧

My Email Lists

My Profile

My PJM Home

Manage your meeting registrations and subscriptions to newsletters and email lists.

[PJM Functional Organizational Chart \(PDF\)](#)

My Links

| | |
|-----------------------------------|---|
| Member Community | Secure Content Areas 🔒 |
| Learning Center | User Interface Standards |
| Meeting Center | |
| PJM Tools Sign In | |

RELATED INFORMATION

- [Training Events](#)
- [About PJM](#)
- [Committees](#)

FAQs

- How do I update my account information, such as my name, email address, phone number or password?
- Will the PJM website remember that I am signed in if my browser does not allow cookies or my cache is cleared?

CONTACT INFORMATION

Member ?
Community

(866) 400-8980
(610) 666-8980
[Member Relations](#)

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Meeting Center

Status

- Open
- Closed
- Registered
- Canceled

Committees & Groups

- Markets & Reliability Committee
- Members Committee
- Planning Committee

1. Scroll through the list of available meetings

Showing results 1 - 15 of 241
[Load My Filters](#) | [Save My Filters](#)
[Clear Filters](#)

Search

Meetings Select: All | None [Register](#)

| Select | Date/Time | Details | Status |
|-------------------------------------|---------------------------------------|---|--------|
| <input checked="" type="checkbox"/> | 4.7.2020 9:00 a.m. - 4:00 p.m. EPT | Capacity Capability Senior Task Force Conference Call Capacity Capability Senior Task Force | Open |

3. Click Register

2. Select CCSTF

- Individuals authorized to vote on behalf of the member company must be included on the roster.
- Rosters also provide contact information for other involved stakeholders.

Update roster members using the [Roster Update Form](#).

The screenshot shows the PJM website's 'Task Forces' page. The navigation menu at the top includes 'about pjm', 'training', 'committees & groups', 'planning', 'markets & operations', and 'library'. The 'committees & groups' menu is active. On the left, a sidebar lists various groups, with 'Task Forces' expanded to show 'ARR FTR Market Task Force', 'Carbon Pricing Senior Task Force', and 'Capacity Capability Senior Task Force'. The main content area features the heading 'Task Forces' and a description: 'Task forces are temporary stakeholder groups that address specific non-routine issues or other duties as assigned within the scope of a defined charter. They are disbanded upon completion of the specific work activity.' Below this, it states 'Open task forces can be found in the navigation to the left.' and 'Closed task forces'. A photograph of a meeting is shown. On the right, the 'RELATED INFORMATION' section lists several links, with 'Roster Update Form' highlighted by a blue arrow. Other links include 'Facilitator Feedback Form', 'Stakeholder Process Quick Guides & Templates', 'M34', and 'Committee Structure Diagram'. The 'CONTACT INFORMATION' section is partially visible at the bottom.

Access the form from any committee or group page

Each member company can name up to four representatives, including one primary and three alternates.

Complete the form fields and click Submit

Home > Committees & Groups > Committees > Roster Update Form

Roster Update Form

This form is used to update your information with PJM and add or remove yourself from PJM stakeholder group rosters. Four representatives are permitted on each committee roster. To manage your email lists subscriptions, visit the [My Email Lists page](#).

* Required

Representative Information

Please verify the contact information below and edit as needed. You can modify your profile information in [Account Manager](#).

| | |
|--|--|
| * First name <input type="text"/> <i>First name is required.</i> | * Last name <input type="text"/> <i>Last name is required.</i> |
| * Title <input type="text"/> | * Company Select Member Company <i>If your company is not in the list above, please select 'Other' and enter the appropriate name.</i> |
| * Phone <input type="text"/> <i>Phone number is required.</i> | * Email <input type="text"/> <i>Email is required.</i> |

* Select type
 Primary
 Alternate

If you are replacing a representative, please provide us with their name.

Manage Rosters

* Roster update
 Add

PJM Stakeholder Affairs
StakeholderAffairsTeam@pjm.com

Appendix

Design Components

Flour

Sweetener

Shape

Flavor

Moistener

Step 2B: Establish Relative Importance

| | Relative Importance | |
|-----------|---------------------|--|
| Flour | Medium | |
| Sweetener | Medium | |
| Shape | Low | |
| Flavor | High | |
| Moistener | Low/Medium | |

Step 2C: Options for Each Component

| | Relative Importance | A | B | C |
|-----------|---------------------|-------------|-------------|-------------|
| Flour | Medium | White | Whole Wheat | Gluten Free |
| Sweetener | Medium | White Sugar | Brown Sugar | Honey |
| Shape | Low | Flat | Round | Bundt |
| Flavor | High | Vanilla | Chocolate | Strawberry |
| Moistener | Low/Medium | Oil | Butter | Sour Cream |

| | Relative Importance | A | B | C | D |
|-----------|---------------------|-------------|-------------|-------------|-------------------|
| Flour | Medium | White | Whole Wheat | Gluten Free | Rye |
| Sweetener | Medium | White Sugar | Brown Sugar | Honey | |
| Shape | Low | Flat | Round | Bundt | |
| Flavor | High | Vanilla | Chocolate | Strawberry | Almond |
| Moistener | Low/Medium | Oil | Butter | Sour Cream | |

| | Relative Importance | Recipe 1 | Recipe 2 | Recipe 3 |
|-----------|---------------------|-------------|-------------|-------------|
| Flour | Medium | White | Gluten Free | Whole Wheat |
| Sweetener | Medium | White Sugar | Honey | Brown Sugar |
| Shape | Low | Flat | Round | Bundt |
| Flavor | High | Vanilla | Strawberry | Chocolate |
| Moistener | Low/Medium | Butter | Sour Cream | Oil |

- **Step 3A:** Compare recipes (packages) to interests
- **Step 3B:** Winnow recipes (packages)
- **Step 3C:** Test for consensus
- **Step 3D** (if no consensus): Step back briefly to seek alternative recipes (packages)
- **Step 3E:** Make a decision – Final Tier 1/Tier 2 Decision-Making

| | Relative Importance | Recipe 1 | Recipe 2 | Recipe 3 | Recipe 4 |
|-----------|---------------------|-------------|-------------|-------------|-------------|
| Flour | Medium | White | Gluten Free | Whole Wheat | White |
| Sweetener | Medium | White Sugar | Honey | Brown Sugar | Brown Sugar |
| Shape | Low | Flat | Round | Bundt | Bundt |
| Flavor | High | Vanilla | Strawberry | Chocolate | Chocolate |
| Moistener | Low/Medium | Butter | Sour Cream | Oil | Butter |

Prior to the next meeting, the facilitator then consolidates ***all*** the interests into an organized list of themes, categories or buckets of interests.



Tasty



Affordable



Non-Allergenic



Attractive

Consolidated Interests

- All participants agree: The cake should be tasty, attractive and affordable.
- These interests mean different things to different people and may lead to conflict.



Example: Considering Allergies

- Participants agree that avoiding allergies is important.
- Non-allergenic ingredients can have a negative effect on taste and affordability.
- Consensus on a recipe that addresses all food allergies is unlikely.
- Participants agree to focus on potentially deadly nut allergies.
- Participants agree that the final recipe should be nut free.

- PJM stakeholder meetings follow the rules of procedure outlined in Manual 34. Any procedure not specified in M34 is governed by Robert's Rules of Order.
- Various scheduling rules also apply.
- The facilitator of each stakeholder group is responsible for creating agendas, which must be published prior to the meeting.
- Stakeholders may request additions to the agenda.

