

# PJM Stakeholder Process Training: CBIR Process



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July 7, 2021

- 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

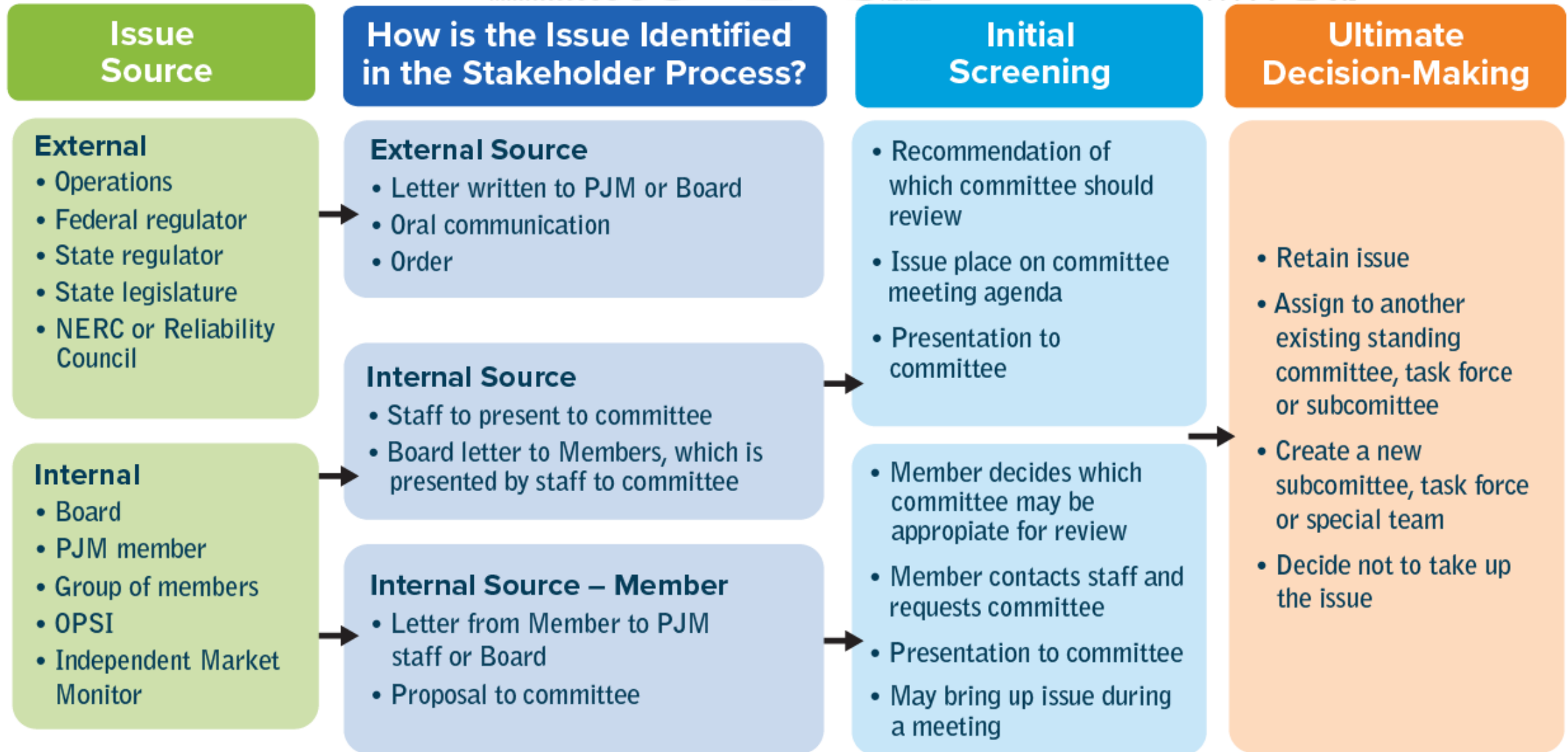
The market monitoring unit may, as it deems appropriate or necessary, perform functions under the PJM Tariff participate (consistent with the rules applicable to all PJM stakeholders) in stakeholder working groups, committees or other PJM stakeholder processes.

### 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

## ★ ISSUE CHARGE

## CHARTER

### 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

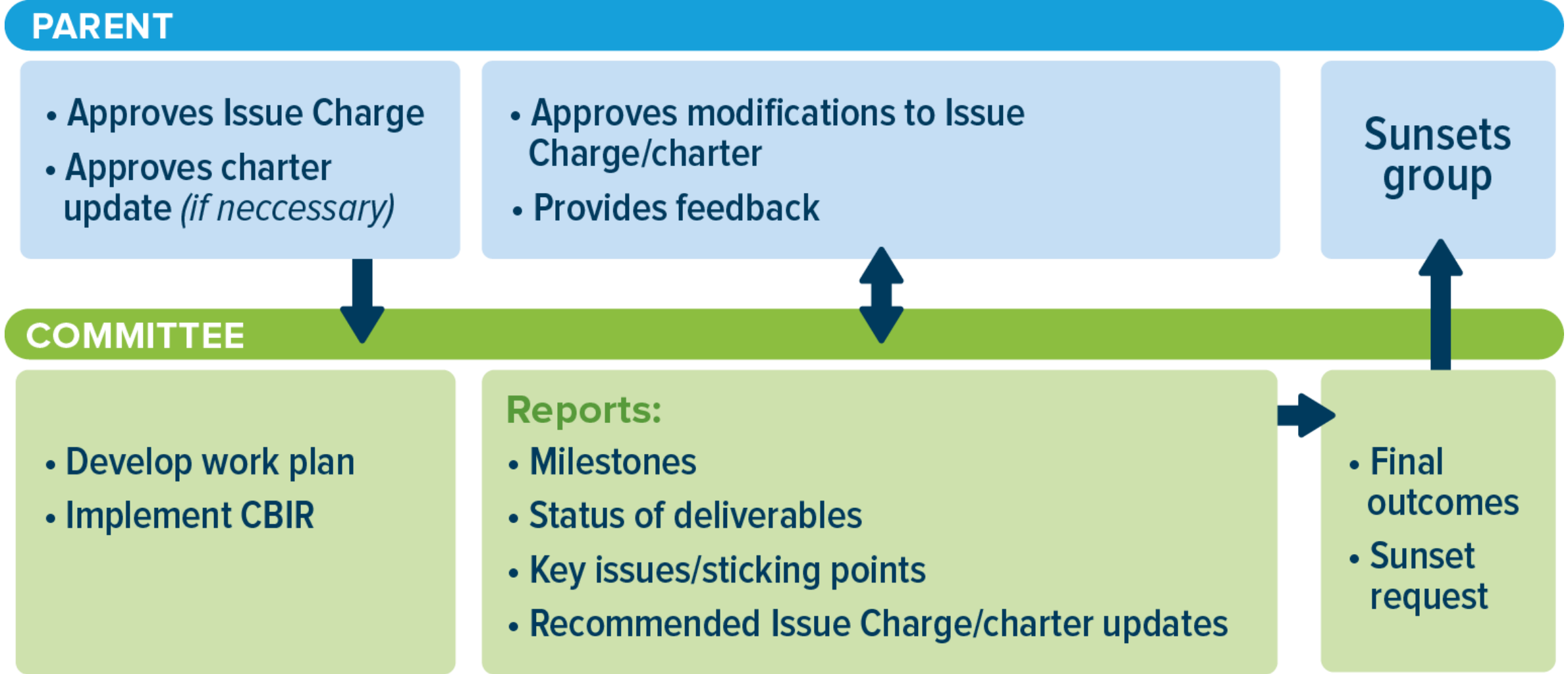
### Includes:

- 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

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
- Sunseting requirements



# Mutual Gains Theory

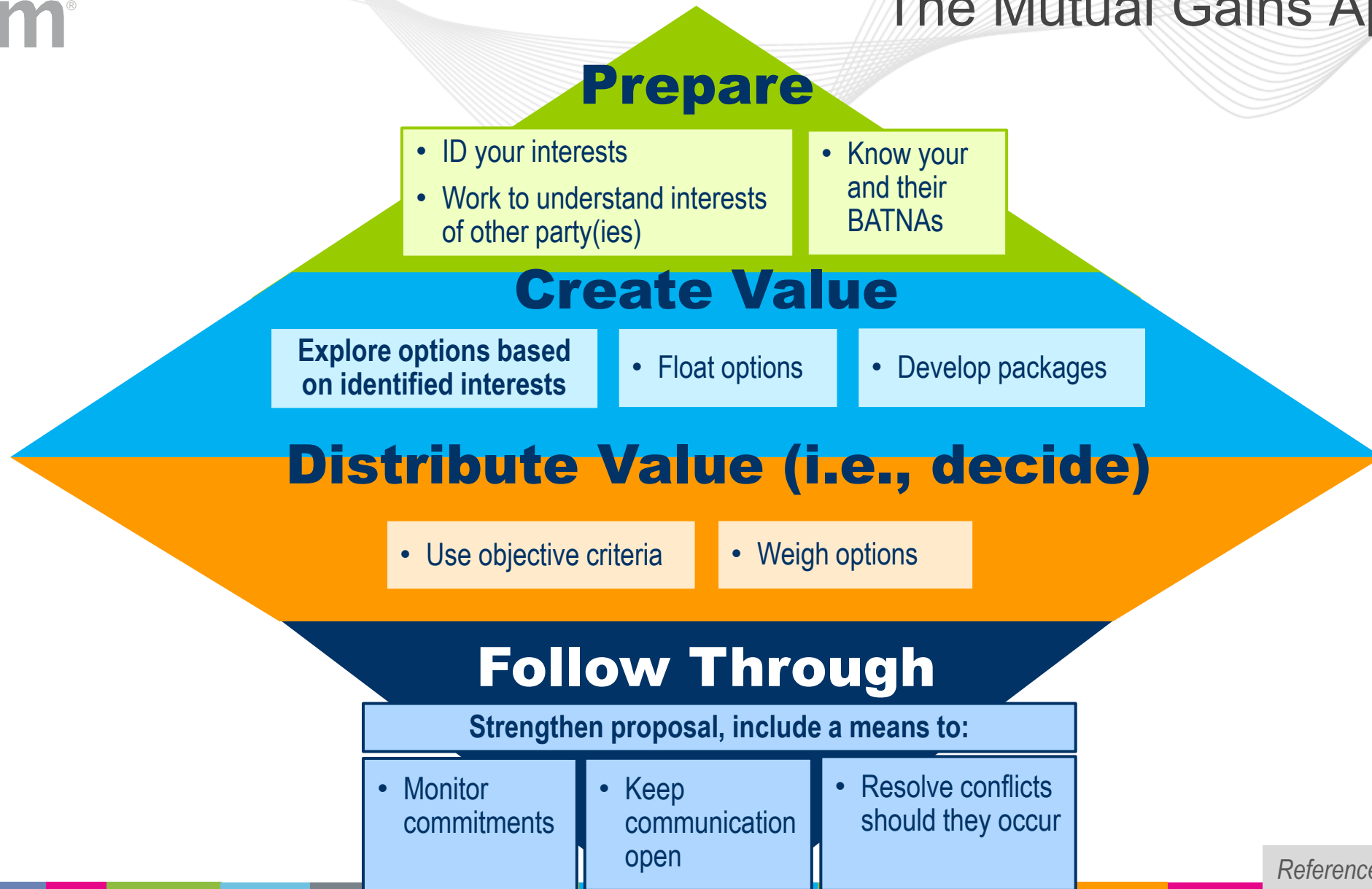
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**Developed at the  
Consensus  
Building Institute,  
with Larry  
Susskind, MIT  
professor**

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**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](http://www.cbuiding.org/cbis-mutual-gains-approach-negotiation)

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## 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

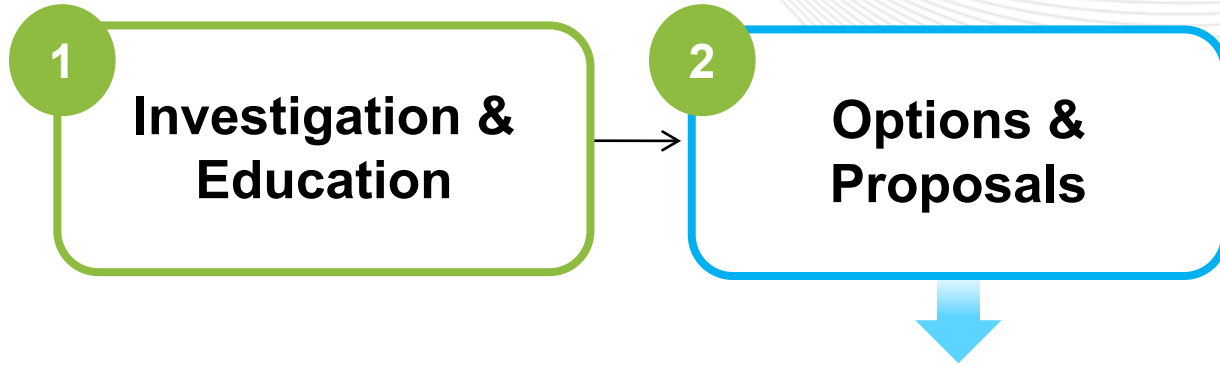


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## Investigation & Education

### Identify Interests

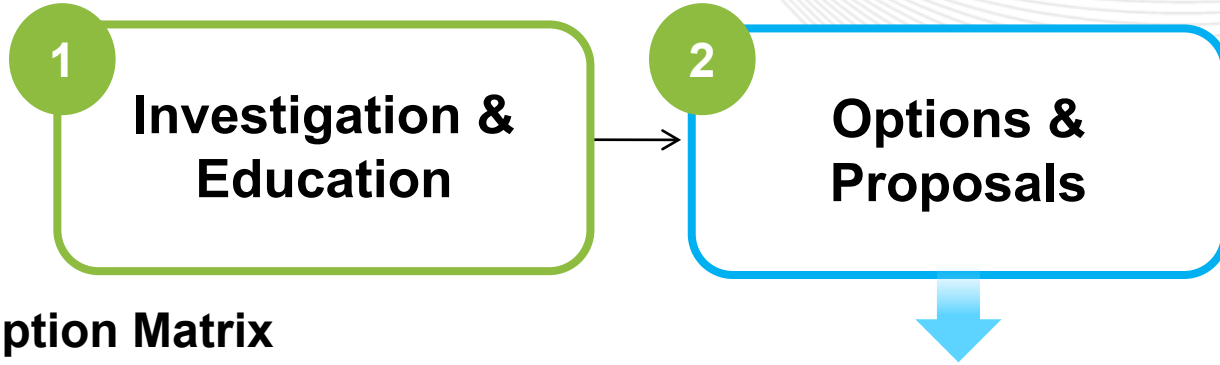
- Ask participants to communicate the importance of the issue to their organization
- Ask participants to share the most and least important interests in regard to the issue
- Consolidate responses
- Batch and present visible themes



## Brainstorm solution options and proposals using a two-step process

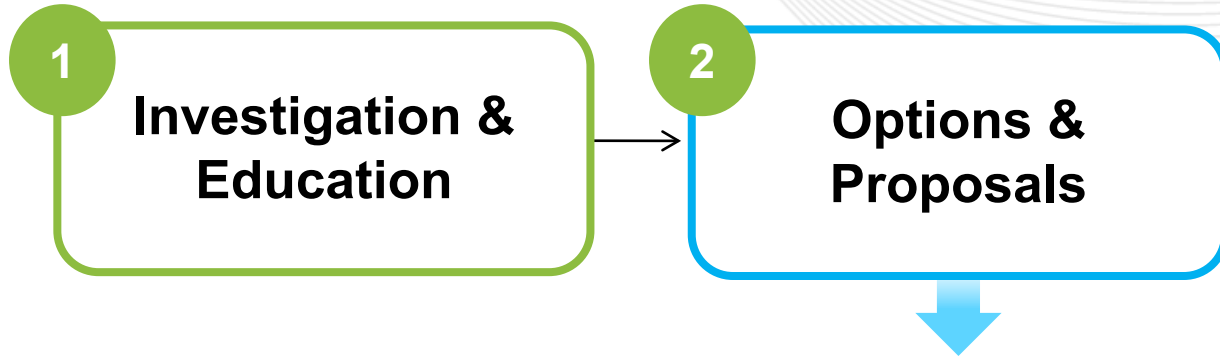
### Step 1: Options Matrix

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



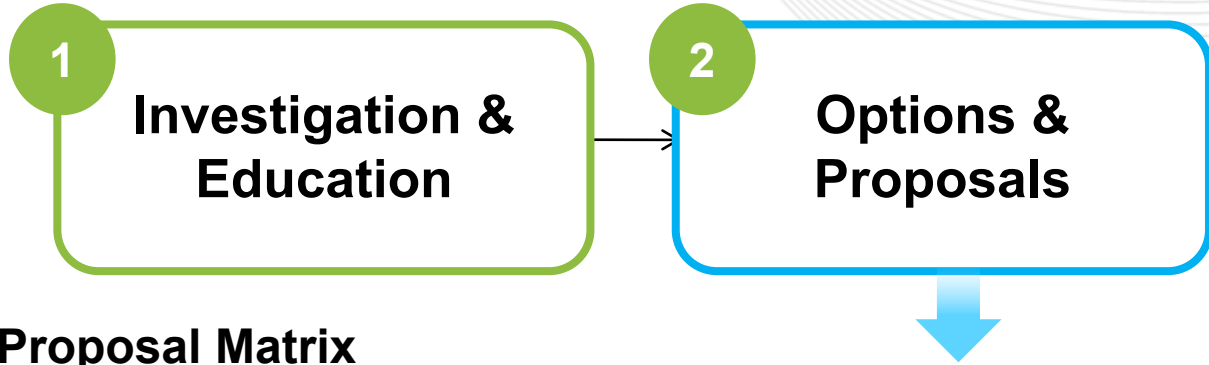
## Option Matrix

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		



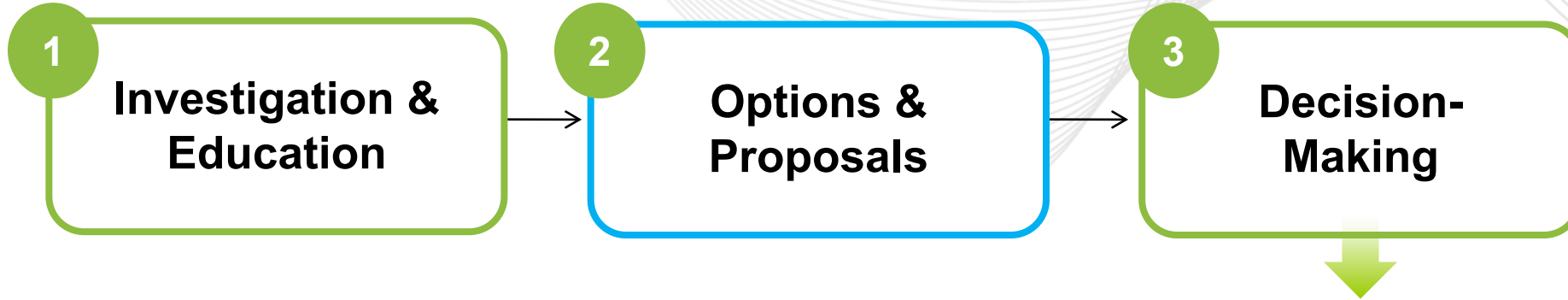
## Step 2: Proposal Matrix

- 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



# Switch to Live Matrix

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

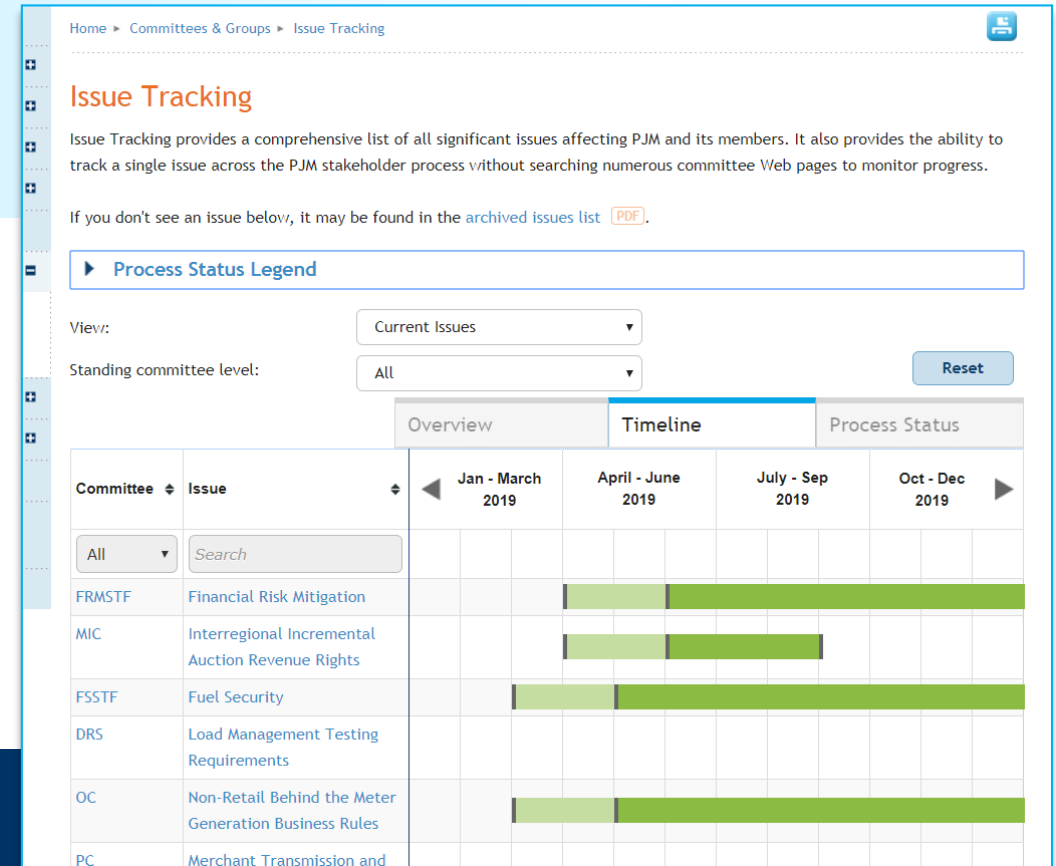


The objective of the annual plan is to document the work to be completed in the coming year

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](http://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 of 2019: Jan - March, April - June, July - Sep, and Oct - Dec. The table lists several issues with green bars indicating their active periods.

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 Calendar

New Member Quick Guide

At a Glance: The PJM Stakeholder Process

Stakeholder Process Forum

Committee Meetings

PJM Learning Center

- 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 interface. At the top, there is a navigation bar with links for 'about pjim', 'training', 'committees & groups', 'planning', 'markets & operations', and 'library'. A search bar is located on the right. Below the navigation bar, the main content area is divided into sections. On the left, there is a 'My PJM Home' sidebar with a dropdown menu containing 'My Email Lists'. A blue callout box highlights this 'My Email Lists' option. In the center, the 'My PJM Home' section contains a heading 'My PJM Home' and a sub-heading 'Manage your meeting registrations and subscriptions to newsletters and email lists.' Below this, there is a 'My Links' section with a list of links: 'Member Community', 'Learning Center', 'Meeting Center', and 'PJM Tools Sign In'. A blue callout box highlights the 'Meeting Center' link. On the right, there is a 'RELATED INFORMATION' section with links for 'Training Events', 'About PJM', and 'Committees'. Below that is an 'FAQs' section with two questions. At the bottom right, there is a 'CONTACT INFORMATION' section with a 'Member Community' logo and phone numbers: '(866) 400-8980' and '(610) 666-8980'.

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](#)

[pjm](#) | [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

<a href="#">Member Community</a>	<a href="#">Secure Content Areas</a>
<a href="#">Learning Center</a>	<a href="#">User Interface Standards</a>
<a href="#">Meeting Center</a>	
<a href="#">PJM Tools Sign In</a>	

#### 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

Search

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

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 <a href="#">Capacity Capability Senior Task Force</a>	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](#).

Meeting Center  
Pandemic Coordination  
Committees  
User Groups  
Subcommittees  
Task Forces  
ARR FTR Market Task Force  
Carbon Pricing Senior Task Force  
Capacity Capability Senior Task Force

Home ▶ Committees & Groups ▶ Task Forces

## Task Forces

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.

Open task forces can be found in the navigation to the left.

Closed task forces

### RELATED INFORMATION

- Facilitator Feedback Form
- Roster Update Form
- Stakeholder Process Quick Guides & Templates
- M34
- Committee Structure Diagram

### CONTACT INFORMATION

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

\* 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



# 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	<del>Rye</del>
Sweetener	Medium	White Sugar	Brown Sugar	Honey	
Shape	Low	Flat	Round	Bundt	
Flavor	High	Vanilla	Chocolate	Strawberry	<del>Almond</del>
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.

