

Standard Development Roadmap

This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.

Development Steps Completed:

1. SAR version 1 posted on May 15, 2007.
2. SAR version 1 comment period closed on June 13, 2007.
3. SAR version 2 posted on August 7, 2007.
4. SAR version 2 comment period closed on September 7, 2007.
5. SAR approved by SC on November 1, 2007.
6. First posting of revised standards on October 7, 2008.
7. Second posting of revised standards on April 7, 2009.

Proposed Action Plan and Description of Current Draft:

The SDT began meeting in January 2008 following the approval of the SAR by the SC. The schedule shows completion of the project in 4Q09. The current draft is the second posting of the revised standards. As part of the proposed revisions, TOP-004-2, TOP-005-1, TOP-006-1, TOP-007-0, TOP-008-0, and PER-001-0 will be retired. The requirements in those standards have been eliminated or moved to other standards within this project. Some changes made in this project are dependent on corresponding changes to Project 2006-06, Reliability Coordination, being approved.

Future Development Plan:

| Anticipated Actions | Anticipated Date |
|------------------------|------------------|
| 1. Post for ballot. | September 2009 |
| 2. Post for re-ballot. | November 2009 |
| 3. Submit to BOT. | December 2009 |

Definitions of Terms Used in Standard

This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.

There are no new or revised definitions proposed in this standard revision.

A. Introduction

1. **Title:** Operational Reliability Data
2. **Number:** TOP-003-12
3. **Purpose:** To ensure that the Transmission Operator and Balancing Authority have the data needed to fulfill their functional responsibilities.
4. **Applicability**
 - 4.1. Transmission Operators.
 - 4.2. Balancing Authorities.
 - 4.3. Generator Owners.
 - 4.4. Generator Operators.
 - 4.5. Interchange Authorities.
 - 4.6. Load-Serving Entities.
 - 4.7. Transmission Owners.
5. **Effective Date:** All requirements will become effective the first day of the first calendar quarter twenty-four months following applicable regulatory approval. In those jurisdictions where no regulatory approval is required, the requirements become effective the first day of the first calendar quarter twenty-four months following Board of Trustees adoption.

B. Requirements

- R1. Each Transmission Operator and Balancing Authority shall have a documented specification for data [necessary for Real-time monitoring and reliability assessments](#)~~required to fulfill their respective responsibilities per the NERC Functional Model~~. The specification shall include: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - ~~R1.1.1.1.~~ R1.1.1.1. A list of required data to be exchanged including, but not limited to:
 - Long term outages of Bulk Electric System equipment, [as specified by the Transmission Operator or Balancing Authority](#), ~~when they are known,~~
 - Equipment at voltage levels lower than the Bulk Electric System, at the discretion of the Transmission Operator or Balancing Authority.
 - ~~R1.2.1.2.~~ R1.2.1.2. A mutually agreeable format.
 - ~~R1.3.1.3.~~ R1.3.1.3. A timeframe and periodicity for providing data.
- R2. Each Transmission Operator shall distribute its data specification to entities that have Facilities monitored by the Transmission Operator and to entities that provide Facility status to the Transmission Operator. *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*

- R3. Each Balancing Authority shall distribute its data specification to entities that provide Facility status to the Balancing Authority. *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
- R4. Each Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, and Transmission Owner receiving a data specification in Requirement R2 or R3 shall satisfy the obligations of the documented specifications for data. ~~provide data, as specified in Requirement R1, to its Transmission Operator(s) and Balancing Authority(ies).~~ *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, ~~Same-day Operations, Real-Time Operations~~]*
- ~~C.~~R5. Each Transmission Operator and Balancing Authority shall provide to other Transmission Operators and Balancing Authorities ~~with immediate responsibility for operational reliability,~~ the data requested by those other Transmission Operators and Balancing Authorities necessary for Real-time monitoring and reliability assessments. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same-day Operations, Real-Time Operations]*

C. Measures

- M1. Each Transmission Operator and Balancing Authority shall make available its dated, current, in force documented specification for data in accordance with Requirement R1.
- M2. Each Transmission Operator shall make available evidence that it has distributed its data specification to entities that have Facilities monitored by the Transmission Operator and to entities that provide Facility status to the Transmission Operator in accordance with Requirement R2. Such evidence could include but is not limited to dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.
- M3. Each Balancing Authority shall make available evidence that it has distributed its data specification to entities that provide Facility status to the Balancing Authority in accordance with Requirement R3. Such evidence could include but is not limited to dated operator logs, voice recordings, postal receipts showing the recipient, or e-mail records.
- M4. Each Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, and Transmission Owner receiving a data specification in Requirement R2 or R3 shall make available evidence that it has satisfied the obligations of the documented specifications for data ~~provided data, as specified in Requirement R1, to its Transmission Operator(s) and Balancing Authority(ies)~~ in accordance with Requirement R4. ~~The data is limited to that needed by the Transmission Operator to support Operational Planning Analyses and reliability assessments. Such evidence could include but is not limited to dated operator logs, voice recordings, or e-mail records. The evidence shall be that there are no~~ Transmission Operators as identified in Requirement R2 or Balancing Authorities as identified in Requirement R3 with outstanding requests for data to the subject entity that have been unfilled.
- M5. Each Transmission Operator and Balancing Authority shall make available evidence that it has provided to other Transmission Operators and Balancing Authorities ~~with~~

~~immediate responsibility for operational reliability~~, the data requested by those entities necessary for reliability assessments and Real-time operation in accordance with Requirement R5. Such evidence could include but is not limited to dated operator logs, voice recordings, or e-mail records.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Process

Regional Entity

1.2. Compliance Monitoring Period and Reset Timeframe

Not applicable

1.3. Compliance Monitoring and Enforcement Processes

Compliance Audits

Self-Certification

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.4. Data Retention

Each responsible entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

- Each Transmission Operator and Balancing Authority shall retain their dated, current, in force, documented specification for data [necessary for Real-time monitoring and reliability assessments](#) in accordance with Requirement R1 and Measurement M1 as well as any documents in force since the last compliance audit.
- Each Transmission Operator shall retain evidence for three calendar years that it has distributed its data specification to entities that have Facilities monitored by the Transmission Operator and to entities that provide Facility status to the Transmission Operator in accordance with Requirement R2 and Measurement M2.
- Each Balancing Authority shall retain evidence for three calendar years that it has distributed its data specification to entities that provide Facility status to the Balancing Authority in accordance with Requirement R3 and Measurement M3.
- Each Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, and Transmission Owner [receiving a data specification in Requirement R2 or R3](#) shall retain

evidence for ~~three~~90 calendar ~~years~~days that it has satisfied the obligations of the documented specifications for data ~~provided data, as specified in Requirement R1 to its Transmission Operator(s) and Balancing Authority(ies)~~ in accordance with Requirement R4 and Measurement M4.

- Each Transmission Operator and Balancing Authority shall retain evidence for ~~three~~90 calendar ~~years~~days that it has provided to other Transmission Operators and Balancing Authorities ~~with immediate responsibility for operational reliability~~, the data requested by those entities necessary for reliability assessments and Real-Time operations in accordance with Requirement R5 and Measurement M5.

If a responsible entity is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.5. Additional Compliance Information

None

2. Violation Severity Levels

| | Lower | Moderate | High | Severe |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| R1 | The Transmission Operator or Balancing Authority -responsible entity did not have one of the required elements of the documented specification for data <u>necessary for Real-time monitoring and reliability assessments</u> . | The Transmission Operator or Balancing Authority -responsible entity did not have two of the required elements of the documented specification for data <u>necessary for Real-time monitoring and reliability assessments</u> . | N/A | The Transmission Operator or Balancing Authority -responsible entity did not have a documented specification for data <u>necessary for Real-time monitoring and reliability assessments</u> . |
| R2 | The Transmission Operator did not distribute its data specification to 25% or less of the entities that has Facilities monitored by the Transmission Operator or to 25% or less of the entities that provide Facility status to the Transmission Operator. | The Transmission Operator did not distribute its data specification to more than 25% and less than or equal to 510% of the entities that have Facilities monitored by the Transmission Operator or to more than 25% and less than or equal to 510% of the entities that provide Facility status to the Transmission Operator. | The Transmission Operator did not distribute its data specification to more than 510% and less than or equal to 715% of the entities that have Facilities monitored by the Transmission Operator or more than 510% and less than or equal to 715% of the entities that provide Facility status to the Transmission Operator. | The Transmission Operator did not distribute its data specification to more than 715% of the entities that have Facilities monitored by the Transmission Operator or more than 715% of the entities that provide Facility status to the Transmission Operator. |
| R3 | The Balancing Authority did not distribute its data specification to 25% or less of the entities that provide Facility status to the Balancing Authority. | The Balancing Authority did not distribute its data specification to more than 25% and less than or equal to 510% of the entities that provide Facility status to the Balancing Authority. | The Balancing Authority did not distribute its data specification to more than 510% and less than or equal to 715% of the entities that provide Facility status to the Balancing Authority. | The Balancing Authority did not distribute its data specification to more than 715% of the entities that provide Facility status to the Balancing Authority. |
| R4 | N/A | N/A | N/A | The Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, or Transmission Owner -responsible entity receiving a data specification in Requirement R2 or R3 did not <u>satisfy the obligations of the documented specifications for data, provide data and information, as specified in</u> |

| | | | | |
|----|-----|-----|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | | Requirement R1, to its Transmission Operator(s) or Balancing Authority(ies). |
| R5 | N/A | N/A | N/A | The Transmission Operator or Balancing Authority <u>responsible entity</u> did not provide to other Transmission Operators or Balancing Authorities with immediate responsibility for operational reliability, the data and information requested by those entities necessary for real-time monitoring and reliability assessments. |

E. Regional Variances

None identified.

Version History

| Version | Date | Action | Change Tracking |
|---------|----------------|----------------------------------------|-----------------|
| 0 | April 1, 2005 | Effective Date | New |
| 0 | August 8, 2005 | Removed “Proposed” from Effective Date | Errata |
| 1 | TBD | Changes pursuant to Project 2007-03 | Revised |
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