

A. Introduction

1. **Title:** **Emergency Operations Planning**
2. **Number:** EOP-001-1
3. **Purpose:** Each Transmission Operator and Balancing Authority needs to develop, maintain, and implement a set of plans to mitigate operating emergencies. These plans need to be coordinated with other Transmission Operators and Balancing Authorities, and the Reliability Coordinator.
4. **Applicability**
 - 4.1. Balancing Authorities.
 - 4.2. Transmission Operators.
5. **Proposed Effective Dates:**

In those jurisdictions where no regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after Board of Trustee adoption.

In those jurisdictions where regulatory approval is required, the standard shall become effective on the latter of either April 1, 2009 or the first day of the first calendar quarter, three months after applicable regulatory approval.

B. Requirements

- R1. Balancing Authorities shall have operating agreements with adjacent Balancing Authorities that shall, at a minimum, contain provisions for emergency assistance, including provisions to obtain emergency assistance from remote Balancing Authorities.
- R2. Each Transmission Operator and Balancing Authority shall:
 - R2.1. Develop, maintain, and implement a set of plans to mitigate operating emergencies for insufficient generating capacity.
 - R2.2. Develop, maintain, and implement a set of plans to mitigate operating emergencies on the transmission system.
 - R2.3. Develop, maintain, and implement a set of plans for load shedding.
 - R2.4. Develop, maintain, and implement a set of plans for system restoration.
- R3. Each Transmission Operator and Balancing Authority shall have emergency plans that will enable it to mitigate operating emergencies. At a minimum, Transmission Operator and Balancing Authority emergency plans shall include:
 - R3.1. Communications protocols to be used during emergencies.
 - R3.2. A list of controlling actions to resolve the emergency. Load reduction, in sufficient quantity to resolve the emergency within NERC-established timelines, shall be one of the controlling actions.
 - R3.3. The tasks to be coordinated with and among adjacent Transmission Operators and Balancing Authorities.
 - R3.4. Staffing levels for the emergency.
- R4. Each Transmission Operator and Balancing Authority shall include the applicable elements in Attachment 1-EOP-001-0 when developing an emergency plan.

- R5.** The Transmission Operator and Balancing Authority shall annually review and update each emergency plan. The Transmission Operator and Balancing Authority shall provide a copy of its updated emergency plans to its Reliability Coordinator and to neighboring Transmission Operators and Balancing Authorities.
- R6.** The Transmission Operator and Balancing Authority shall coordinate its emergency plans with other Transmission Operators and Balancing Authorities as appropriate. This coordination includes the following steps, as applicable:
 - R6.1.** The Transmission Operator and Balancing Authority shall establish and maintain reliable communications between interconnected systems.
 - R6.2.** The Transmission Operator and Balancing Authority shall arrange new interchange agreements to provide for emergency capacity or energy transfers if existing agreements cannot be used.
 - R6.3.** The Transmission Operator and Balancing Authority shall coordinate transmission and generator maintenance schedules to maximize capacity or conserve the fuel in short supply. (This includes water for hydro generators.)
 - R6.4.** The Transmission Operator and Balancing Authority shall arrange deliveries of electrical energy or fuel from remote systems through normal operating channels.

C. Measures

- M1.** The Transmission Operator and Balancing Authority shall have its emergency plans available for review by the Regional Reliability Organization at all times.
- M2.** The Transmission Operator and Balancing Authority shall have its two most recent annual self-assessments available for review by the Regional Reliability Organization at all times.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Responsibility

Regional Reliability Organization.

1.2. Compliance Monitoring Period and Reset Time Frame

The Regional Reliability Organization shall review and evaluate emergency plans every three years to ensure that the plans consider the applicable elements of Attachment 1-EOP-001-0.

The Regional Reliability Organization may elect to request self-certification of the Transmission Operator and Balancing Authority in years that the full review is not done.

Reset: one calendar year.

1.3. Data Retention

Current plan available at all times.

1.4. Additional Compliance Information

Not specified.

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2. Violation Severity Levels:

| Requirement | Lower | Moderate | High | Severe |
|--------------------|--|---|--|--|
| R1 | The Balancing Authority failed to demonstrate the existence of the necessary operating agreements for less than 25% of the adjacent BAs. Or less than 25% of those agreements do not contain provisions for emergency assistance. | The Balancing Authority failed to demonstrate the existence of the necessary operating agreements for 25% to 50% of the adjacent BAs. Or 25 to 50% of those agreements do not contain provisions for emergency assistance. | The Balancing Authority failed to demonstrate the existence of the necessary operating agreements for 50% to 75% of the adjacent BAs. Or 50% to 75% of those agreements do not contain provisions for emergency assistance. | The Balancing Authority failed to demonstrate the existence of the necessary operating agreements for 75% or more of the adjacent BAs. Or more than 75% of those agreements do not contain provisions for emergency assistance. |
| R2 | The Transmission Operator or Balancing Authority failed to comply with one (1) of the sub-components. | The Transmission Operator or Balancing Authority failed to comply with two (2) of the sub-components. | The Transmission Operator or Balancing Authority has failed to comply with three (3) of the sub-components. | The Transmission Operator or Balancing Authority has failed to comply with four (4) of the sub-components. |
| R2.1 | The Transmission Operator or Balancing Authority's emergency plans to mitigate insufficient generating capacity are missing minor details or minor program/procedural elements. | The Transmission Operator or Balancing Authority's has demonstrated the existence of emergency plans to mitigate insufficient generating capacity emergency plans but the plans are not maintained. | The Transmission Operator or Balancing Authority's emergency plans to mitigate insufficient generating capacity emergency plans are neither maintained nor implemented. | The Transmission Operator or Balancing Authority has failed to develop emergency mitigation plans for insufficient generating capacity. |
| R2.2 | The Transmission Operator or Balancing Authority's plans to mitigate transmission system emergencies are missing minor details or minor program/procedural elements. | The Transmission Operator or Balancing Authority's has demonstrated the existence of transmission system emergency plans but are not maintained. | The Transmission Operator or Balancing Authority's transmission system emergency plans are neither maintained nor implemented. | The Transmission Operator or Balancing Authority has failed to develop, maintain, and implement operating emergency mitigation plans for emergencies on the transmission system. |

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| Requirement | Lower | Moderate | High | Severe |
|--------------------|--|--|---|--|
| R2.3 | The Transmission Operator or Balancing Authority's load shedding plans are missing minor details or minor program/procedural elements. | The Transmission Operator or Balancing Authority's has demonstrated the existence of load shedding plans but are not maintained. | The Transmission Operator or Balancing Authority's load shedding plans are partially compliant with the requirement but are neither maintained nor implemented. | The Transmission Operator or Balancing Authority has failed to develop, maintain, and implement load shedding plans. |
| R2.4 | The Transmission Operator or Balancing Authority's system restoration plans are missing minor details or minor program/procedural elements. | The Transmission Operator or Balancing Authority's system restoration plans are partially compliant with the requirement but are not maintained. | The Transmission Operator or Balancing Authority's restoration plans are neither maintained nor implemented. | The Transmission Operator or Balancing Authority has failed to develop, maintain, and implement operating emergency mitigation plans for system restoration. |
| R3 | The Transmission Operator or Balancing Authority failed to comply with one (1) of the sub-components. | The Transmission Operator or Balancing Authority failed to comply with two (2) of the sub-components. | The Transmission Operator or Balancing Authority has failed to comply with three (3) of the sub-components. | The Transmission Operator or Balancing Authority has failed to comply with all four (4) of the sub-components. |
| R3.1 | The Transmission Operator or Balancing Authority's communication protocols included in the emergency plan are missing minor program/procedural elements. | N/A | N/A | The Transmission Operator or Balancing Authority has failed to include communication protocols in its emergency plans to mitigate operating emergencies. |
| R3.2 | The Transmission Operator or Balancing Authority's list of controlling actions has resulted in meeting the intent of the requirement but is missing minor program/procedural elements. | N/A | The Transmission Operator or Balancing Authority provided a list of controlling actions, however the actions fail to resolve the emergency within NERC-established timelines. | The Transmission Operator or Balancing Authority has failed to provide a list of controlling actions to resolve the emergency. |

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| Requirement | Lower | Moderate | High | Severe |
|--------------------|--|--|---|---|
| R3.3 | The Transmission Operator or Balancing Authority has demonstrated coordination with Transmission Operators and Balancing Authorities but is missing minor program/procedural elements. | N/A | N/A | The Transmission Operator or Balancing Authority has failed to demonstrate the tasks to be coordinated with adjacent Transmission Operator and Balancing Authorities as directed by the requirement. |
| R3.4 | The Transmission Operator or Balancing Authority's emergency plan does not include staffing levels for the emergency | N/A | N/A | N/A |
| R4 | The Transmission Operator and Balancing Authority's emergency plan has complied with 90% or more of the number of sub-components. | The Transmission Operator and Balancing Authority's emergency plan has complied with 70% to 90% of the number of sub-components. | The Transmission Operator and Balancing Authority's emergency plan has complied with between 50% to 70% of the number of sub-components. | The Transmission Operator and Balancing Authority's emergency plan has complied with 50% or less of the number of sub-components |
| R5 | The Transmission Operator and Balancing Authority is missing minor program/procedural elements. | The Transmission Operator and Balancing Authority has failed to annually review one of it's emergency plans | The Transmission Operator and Balancing Authority has failed to annually review two of its emergency plans or communicate with one of it's neighboring Balancing Authorities. | The Transmission Operator and Balancing Authority has failed to annually review and/or communicate any emergency plans with its Reliability Coordinator, neighboring Transmission Operators or Balancing Authorities. |
| R6 | The Transmission Operator and/or the Balancing Authority failed to comply with one (1) of the sub-components. | The Transmission Operator and/or the Balancing Authority failed to comply with two (2) of the sub-components. | The Transmission Operator and/or the Balancing Authority has failed to comply with three (3) of the sub-components. | The Transmission Operator and/or the Balancing Authority has failed to comply with four (4) or more of the sub-components. |

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| Requirement | Lower | Moderate | High | Severe |
|-------------|--|----------|------|--------|
| R6.1 | The Transmission Operator or Balancing Authority has failed to establish and maintain reliable communication between interconnected systems. | N/A | N/A | N/A |
| R6.2 | The Transmission Operator or Balancing Authority has failed to arrange new interchange agreements to provide for emergency capacity or energy transfers with required entities when existing agreements could not be used. | N/A | N/A | N/A |
| R6.3 | The Transmission Operator or Balancing Authority has failed to coordinate transmission and generator maintenance schedules to maximize capacity or conserve fuel in short supply. | N/A | N/A | N/A |
| R6.4 | The Transmission Operator or Balancing Authority has failed to arrange for deliveries of electrical energy or fuel from remote systems through normal operating channels. | N/A | N/A | N/A |

E. Regional Differences

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 | | Deleted R2 Replaced Levels of Non-compliance with the February 28, 2008 BOT approved Violation Severity Levels Corrected typographical errors in BOT approved version of VSLs | Revised |
| | | | |

Attachment 1-EOP-001-0

Elements for Consideration in Development of Emergency Plans

1. Fuel supply and inventory — An adequate fuel supply and inventory plan that recognizes reasonable delays or problems in the delivery or production of fuel.
2. Fuel switching — Fuel switching plans for units for which fuel supply shortages may occur, e.g., gas and light oil.
3. Environmental constraints — Plans to seek removal of environmental constraints for generating units and plants.
4. System energy use — The reduction of the system's own energy use to a minimum.
5. Public appeals — Appeals to the public through all media for voluntary load reductions and energy conservation including educational messages on how to accomplish such load reduction and conservation.
6. Load management — Implementation of load management and voltage reductions, if appropriate.
7. Optimize fuel supply — The operation of all generating sources to optimize the availability.
8. Appeals to customers to use alternate fuels — In a fuel emergency, appeals to large industrial and commercial customers to reduce non-essential energy use and maximize the use of customer-owned generation that rely on fuels other than the one in short supply.
9. Interruptible and curtailable loads — Use of interruptible and curtailable customer load to reduce capacity requirements or to conserve the fuel in short supply.
10. Maximizing generator output and availability — The operation of all generating sources to maximize output and availability. This should include plans to winterize units and plants during extreme cold weather.
11. Notifying IPPs — Notification of cogeneration and independent power producers to maximize output and availability.
12. Requests of government — Requests to appropriate government agencies to implement programs to achieve necessary energy reductions.
13. Load curtailment — A mandatory load curtailment plan to use as a last resort. This plan should address the needs of critical loads essential to the health, safety, and welfare of the community. Address firm load curtailment.
14. Notification of government agencies — Notification of appropriate government agencies as the various steps of the emergency plan are implemented.
15. Notifications to operating entities — Notifications to other operating entities as steps in emergency plan are implemented.