

### A. Introduction

1. **Title:** Normal Operations Planning
2. **Number:** TOP-002-2
3. **Purpose:** Current operations plans and procedures are essential to being prepared for reliable operations, including response for unplanned events.
4. **Applicability**
  - 4.1. Balancing Authority.
  - 4.2. Transmission Operator.
  - 4.3. Generator Operator.
  - 4.4. Load Serving Entity.
  - 4.5. Transmission Service Provider.
5. **Effective Date:** January 1, 2007

Six months after effective date of VAR-001-1.

### B. Requirements

- R1. Each Balancing Authority and Transmission Operator shall maintain a set of current plans that are designed to evaluate options and set procedures for reliable operation through a reasonable future time period. In addition, each Balancing Authority and Transmission Operator shall be responsible for using available personnel and system equipment to implement these plans to ensure that interconnected system reliability will be maintained.
- R2. Each Balancing Authority and Transmission Operator shall ensure its operating personnel participate in the system planning and design study processes, so that these studies contain the operating personnel perspective and system operating personnel are aware of the planning purpose.
- R3. Each Load Serving Entity and Generator Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and Transmission Service Provider shall coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.
- R4. Each Balancing Authority and Transmission Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.
- R5. Each Balancing Authority and Transmission Operator shall plan to meet scheduled system configuration, generation dispatch, interchange scheduling and demand patterns.
- R6. Each Balancing Authority and Transmission Operator shall plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1 Contingency planning) in accordance with NERC, Regional Reliability Organization, subregional, and local reliability requirements.
- R7. Each Balancing Authority shall plan to meet capacity and energy reserve requirements, including the deliverability/capability for any single Contingency.

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- R8.** Each Balancing Authority shall plan to meet voltage and/or reactive limits, including the deliverability/capability for any single contingency.
- R9.** Each Balancing Authority shall plan to meet Interchange Schedules and ramps.
- R10.** Each Balancing Authority and Transmission Operator shall plan to meet all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs).
- R11.** The Transmission Operator shall perform seasonal, next-day, and current-day Bulk Electric System studies to determine SOLs. Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update these Bulk Electric System studies as necessary to reflect current system conditions; and shall make the results of Bulk Electric System studies available to the Transmission Operators, Balancing Authorities (subject to confidentiality requirements), and to its Reliability Coordinator.
- R12.** The Transmission Service Provider shall include known SOLs or IROLs within its area and neighboring areas in the determination of transfer capabilities, in accordance with filed tariffs and/or regional Total Transfer Capability and Available Transfer Capability calculation processes.
- R13.** At the request of the Balancing Authority or Transmission Operator, a Generator Operator shall perform generating real and reactive capability verification that shall include, among other variables, weather, ambient air and water conditions, and fuel quality and quantity, and provide the results to the Balancing Authority or Transmission Operator operating personnel as requested.
- R14.** Generator Operators shall, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including but not limited to:
  - R14.1.** Changes in real and reactive output capabilities. (Retired August 1, 2007)
  - R14.1.** Changes in real output capabilities. (Effective August 1, 2007)
  - R14.2.** Automatic Voltage Regulator status and mode setting. (Retired August 1, 2007)
- R15.** Generation Operators shall, at the request of the Balancing Authority or Transmission Operator, provide a forecast of expected real power output to assist in operations planning (e.g., a seven-day forecast of real output).
- R16.** Subject to standards of conduct and confidentiality agreements, Transmission Operators shall, without any intentional time delay, notify their Reliability Coordinator and Balancing Authority of changes in capabilities and characteristics including but not limited to:
  - R16.1.** Changes in transmission facility status.
  - R16.2.** Changes in transmission facility rating.
- R17.** Balancing Authorities and Transmission Operators shall, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.
- R18.** Neighboring Balancing Authorities, Transmission Operators, Generator Operators, Transmission Service Providers and Load Serving Entities shall use uniform line identifiers when referring to transmission facilities of an interconnected network.
- R19.** Each Balancing Authority and Transmission Operator shall maintain accurate computer models utilized for analyzing and planning system operations.

### C. Measures

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- M1.** Each Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, documented planning procedures, copies of current day plans, copies of seasonal operations plans, or other equivalent evidence that will be used to confirm that it maintained a set of current plans. (Requirement 1 Part 1).
- M2.** Each Balancing Authority and Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, copies of current day plans or other equivalent evidence that will be used to confirm that its plans address Requirements 5, 6, and 10.
- M3.** Each Balancing Authority shall have and provide upon request evidence that could include, but is not limited to, copies of current day plans or other equivalent evidence that will be used to confirm that its plans address Requirements 7, 8, and 9.
- M4.** Each Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, its next-day, and current-day Bulk Electric System studies used to determine SOLs or other equivalent evidence that will be used to confirm that its studies reflect current system conditions. (Requirement 11 Part 1)
- M5.** Each Transmission Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that the results of Bulk Electric System studies were made available to the Transmission Operators, Balancing Authorities (subject to confidentiality requirements), and to its Reliability Coordinator. (Requirement 11 Part 2)
- M6.** Each Generator Operator shall have and provide upon request evidence that, when requested by either a Transmission Operator or Balancing Authority, it performed a generating real and reactive capability verification and provided the results to the requesting entity in accordance with Requirement 13.
- M7.** Each Generator Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that without any intentional time delay, it notified its Balancing Authority and Transmission Operator of changes in real and reactive capabilities and AVR status. (Requirement 14)
- M8.** Each Generator Operator shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that, on request, it provided a forecast of expected real power output to assist in operations planning. (Requirement 15)
- M9.** Each Transmission Operators shall have and provide upon request evidence that could include, but is not limited to, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence that will be used to confirm that, without any intentional time delay, it notified its Balancing Authority and Reliability Coordinator of changes in capabilities and characteristics. (Requirement 16)
- M10.** Each Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider and Load Serving Entity shall have and provide upon request evidence that could include, but is not limited to, a list of interconnected transmission facilities and their line identifiers at each end or other equivalent evidence that will be used to confirm that it used uniform line identifiers when referring to transmission facilities of an interconnected network. (Requirement 18)

### D. Compliance

#### 1. Compliance Monitoring Process

##### 1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

##### 1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 calendar days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

##### 1.3. Data Retention

For Measures 1 and 2, each Transmission Operator shall have its current plans and a rolling 6 months of historical records (evidence).

For Measures 1, 2, and 3 each Balancing Authority shall have its current plans and a rolling 6 months of historical records (evidence).

For Measure 4, each Transmission Operator shall keep its current plans (evidence).

For Measures 5 and 9, each Transmission Operator shall keep 90 days of historical data (evidence).

For Measures 6, 7 and 8, each Generator Operator shall keep 90 days of historical data (evidence).

For Measure 10, each Balancing Authority, Transmission Operator, Generator Operator, Transmission Service Provider, and Load-serving Entity shall have its current list interconnected transmission facilities and their line identifiers at each end or other equivalent evidence as evidence.

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all supporting compliance data

##### 1.4. Additional Compliance Information

None.

- 2. Levels of Non-Compliance for Balancing Authorities:**
  - 2.1. Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.
  - 2.2. Level 2:** Not applicable.
  - 2.3. Level 3:** Not applicable.
  - 2.4. Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
    - 2.4.1** Did not maintain an updated set of current-day plans as specified in R1.
    - 2.4.2** Plans did not meet one or more of the requirements specified in R5 through R10.
- 3. Levels of Non-Compliance for Transmission Operators**
  - 3.1. Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.
  - 3.2. Level 2:** Not applicable.
  - 3.3. Level 3:** One or more of Bulk Electric System studies were not made available as specified in R11.
  - 3.4. Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
    - 3.4.1** Did not maintain an updated set of current-day plans as specified in R1.
    - 3.4.2** Plans did not meet one or more of the requirements in R5, R6, and R10.
    - 3.4.3** Studies not updated to reflect current system conditions as specified in R11.
    - 3.4.4** Did not notify its Balancing Authority and Reliability Coordinator of changes in capabilities and characteristics as specified in R16.
- 4. Levels of Non-Compliance for Generator Operators:**
  - 4.1. Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.
  - 4.2. Level 2:** Not applicable.
  - 4.3. Level 3:** Not applicable.
  - 4.4. Level 4:** There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:
    - 4.4.1** Did not verify and provide a generating real and reactive capability verification and provide the results to the requesting entity as specified in R13.
    - 4.4.2** Did not notify its Balancing Authority and Transmission Operator of changes in capabilities and characteristics as specified in R14.
    - 4.4.3** Did not provide a forecast of expected real power output to assist in operations planning as specified in R15.
- 5. Levels of Non-Compliance for Transmission Service Providers and Load-serving Entities:**
  - 5.1. Level 1:** Did not use uniform line identifiers when referring to transmission facilities of an interconnected network as specified in R18.

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5.2. Level 2: Not applicable.

5.3. Level 3: Not applicable.

5.4. Level 4: Not applicable.

### 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	November 1, 2006	Adopted by Board of Trustees	Revised
2	June 14, 2007	Fixed typo in R11., (subject to ...)	Errata