

A. Introduction

1. **Title:** **Transmission Operations**
2. **Number:** TOP-004-1
3. **Purpose:** To ensure that the transmission system is operated so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single Contingency and specified multiple Contingencies.
4. **Applicability:**
 - 4.1. Transmission Operators
5. **Effective Date:** October 1, 2007

B. Requirements

- R1.** Each Transmission Operator shall operate within the Interconnection Reliability Operating Limits (IROLs) and System Operating Limits (SOLs).
- R2.** Each Transmission Operator shall operate so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single contingency.
- R3.** Each Transmission Operator shall, when practical, operate to protect against instability, uncontrolled separation, or cascading outages resulting from multiple outages, as specified by Regional Reliability Organization policy.
- R4.** If a Transmission Operator enters an unknown operating state (i.e. any state for which valid operating limits have not been determined), it will be considered to be in an emergency and shall restore operations to respect proven reliable power system limits within 30 minutes.
- R5.** Each Transmission Operator shall make every effort to remain connected to the Interconnection. If the Transmission Operator determines that by remaining interconnected, it is in imminent danger of violating an IROL or SOL, the Transmission Operator may take such actions, as it deems necessary, to protect its area.
- R6.** Transmission Operators, individually and jointly with other Transmission Operators, shall develop, maintain, and implement formal policies and procedures to provide for transmission reliability. These policies and procedures shall address the execution and coordination of activities that impact inter- and intra-Regional reliability, including:
 - R6.1.** Equipment ratings.
 - R6.2.** Monitoring and controlling voltage levels and real and reactive power flows.
 - R6.3.** Switching transmission elements.
 - R6.4.** Planned outages of transmission elements.
 - R6.5.** Development of IROLs and SOLs.
 - R6.6.** Responding to IROL and SOL violations.

C. Measures

- M1.** Each Transmission Operator that enters an unknown operating state for which valid limits have not been determined, shall have and provide upon request evidence that could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, alarm program printouts, or other equivalent evidence that will be used to determine if it restored operations to respect proven reliable power system limits within 30 minutes as specified in Requirement 4.

- M2.** Each Transmission Operator shall have and provide upon request current policies and procedures that address the execution and coordination of activities that impact inter- and intra-Regional reliability for each of the topics listed in Requirements 6.1 through 6.6.

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 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

Each Transmission Operator shall keep 90 days of historical data for Measure 1.

Each Transmission Operator shall have current, in-force policies and procedures, as evidence of compliance to Measure 2.

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:

2.1. Level 1: Not applicable.

2.2. Level 2: Did not have formal policies and procedures to address one of the topics listed in R6.1 through R6.6.

2.3. Level 3: Did not have formal policies and procedures to address two of the topics listed in R6.1 through R6.6.

2.4. Level 4: There shall be a separate Level 4 non-compliance, for every one of the following requirements that is in violation:

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- 2.4.1 Did not restore operations to respect proven reliable power system limits within 30 minutes as specified in R4.
- 2.4.2 Did not have formal policies and procedures to address three or more of the topics listed in R6.1 through R6.6.

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