

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.
8. Third posting of revised standards on August 25, 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 original schedule showed completion of the project in 4Q09. The current draft is the fourth posting of the revised standards and represents one additional posting that was not anticipated. 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.	2Q10
2. Post for recirculation ballot.	TBD
3. Submit to BOT.	TBD

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-003-2
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 the data necessary for it to perform its required Operational Planning Analyses and Real-time monitoring. The specification shall include: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - 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.
 - Operating parameters for equipment at voltage levels lower than the Bulk Electric System, at the discretion of the Transmission Operator or Balancing Authority.
 - 1.2. A mutually agreeable format.
 - 1.3. A periodicity for providing data.
 - 1.4. The deadline by which the respondent is to provide the indicated 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 have Facilities monitored by the Balancing Authority and 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. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- R5.** Each Transmission Operator and Balancing Authority shall provide to other Transmission Operators and Balancing Authorities, the data requested by those other Transmission Operators and Balancing Authorities necessary for Operational Planning Analysis and Real-time monitoring. *[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 have Facilities monitored by the Balancing Authority and 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 in accordance with Requirement R4. 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 the data requested by those entities necessary for Operational Planning Analysis and Real-time operation in accordance with Requirement R5. The evidence shall be that there are no Transmission Operators or Balancing Authorities with outstanding requests for data to the subject responsible entity that have been unfilled.

D. Compliance

- 1. Compliance Monitoring Process**
 - 1.1. Compliance Monitoring Process**
 - Regional Entity
 - 1.2. Compliance Monitoring and Enforcement Processes**
 - Compliance Audits
 - Self-Certification
 - Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.3. 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 the data necessary for them to perform their required Operational Planning Analyses and Real-time monitoring 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 have Facilities monitored by the Balancing Authority and 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 90 calendar days that it has satisfied the obligations of the documented specifications for data in accordance with Requirement R4 and Measurement M4.
- Each Transmission Operator and Balancing Authority shall retain evidence for 90 calendar days that it has provided to other Transmission Operators and Balancing Authorities the data requested by those entities necessary for Operational Planning Analysis 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 or the time period specified above, whichever is longer.

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

1.4. Additional Compliance Information

None

2. Violation Severity Levels

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	Lower	Moderate	High	Severe
R1	The responsible entity did not have one of the required elements of the documented specification for the data necessary for them to perform their required Operational Planning Analyses and Real-time monitoring.	The responsible entity did not have two of the required elements of the documented specification for the data necessary for them to perform their required Operational Planning Analyses and Real-time monitoring.	N/A	The responsible entity did not have a documented specification for the data necessary for them to perform their required Operational Planning Analyses and Real-time monitoring.
R2	The Transmission Operator did not distribute its data specification to one reliability entity or 5% or less of the reliability entities whichever is less, that have Facilities monitored by the Transmission Operator or to one reliability entity or 5% or less of the entities whichever is less, that provide Facility status to the Transmission Operator.	The Transmission Operator did not distribute its data specification to two reliability entities or more than 5% and less than or equal to 10% of the reliability entities whichever is less, that have Facilities monitored by the Transmission Operator or to two reliability entities or more than 5% and less than or equal to 10% of the entities whichever is less, that provide Facility status to the Transmission Operator.	The Transmission Operator did not distribute its data specification to three reliability entities or more than 10% and less than or equal to 15% of the reliability entities whichever is less, that have Facilities monitored by the Transmission Operator or three reliability entities or more than 10% and less than or equal to 15% of the reliability entities whichever is less, that provide Facility status to the Transmission Operator.	The Transmission Operator did not distribute its data specification to four or more reliability entities or more than 15% of the entities whichever is less, that have Facilities monitored by the Transmission Operator or four or more of the reliability entities or more than 15% of the reliability entities whichever is less, that provide Facility status to the Transmission Operator.
R3	The Balancing Authority did not distribute its data specification to one reliability entity or 5% or less of the entities whichever is less, that have Facilities monitored by the Balancing Authority and to one reliability entity or 5% or less of the reliability entities whichever is less, that provide Facility status to the Balancing Authority.	The Balancing Authority did not distribute its data specification to two reliability entities or more than 5% and less than or equal to 10% of the entities whichever is less, that have Facilities monitored by the Balancing Authority and to two reliability entities or more than 5% and less than or equal to 10% of the reliability entities whichever is less, that provide Facility status to the Balancing Authority.	The Balancing Authority did not distribute its data specification to three reliability entities or more than 10% and less than or equal to 15% of the entities whichever is less, that have Facilities monitored by the Balancing Authority and to three reliability entities or more than 10% and less than or equal to 15% of the reliability entities whichever is less, that provide Facility status to the Balancing Authority.	The Balancing Authority did not distribute its data specification to four or more reliability entities or more than 15% of the entities whichever is less, that have Facilities monitored by the Balancing Authority and to four or more reliability entities or more than 15% of the reliability entities whichever is less, that provide Facility status to the Balancing Authority.
R4	N/A	N/A	N/A	The responsible entity receiving a data specification in Requirement R2 or R3 did not satisfy the obligations of the

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				documented specifications for data.
R5	N/A	N/A	N/A	The responsible entity did not provide to other Transmission Operators or Balancing Authorities the data and information requested by those entities necessary for Operational Planning Analysis and Real-time monitoring.

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