

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.
9. Fourth posting of revised standard on August 4, 2010.
10. Fifth posting of revised standard on April 26, 2011.

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. 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. The SDT is also recommending that 3 requirements in PRC-0001-1 be retired due to the fact that those requirements deal with data and data requirements will be covered in the proposed TOP-003-2.

Future Development Plan:

| Anticipated Actions | Anticipated Date |
|-----------------------------------|------------------|
| 1. Post for successive ballot. | 4Q11 |
| 2. Post for recirculation ballot. | 1Q12 |
| 3. Submit to BOT. | 2Q12 |

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:** Operations Planning
2. **Number:** TOP-002-3
3. **Purpose:** To ensure that Transmission Operators have plans for operating within specified limits.
4. **Applicability**
 - 4.1. Transmission Operator.
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 shall have an Operational Planning Analysis that represents projected System conditions that will allow it to assess whether the planned operations for the next day within its Transmission Operator Area will exceed any of its Facility Ratings or Stability Limits during anticipated normal and Contingency event conditions. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- R2. Each Transmission Operator shall develop a plan to operate within each Interconnection Reliability Operating Limit (IROL) and each System Operating Limit (SOL) which, while not an IROL, has been identified by the Transmission Operator as supporting its internal area reliability, identified as a result of the Operational Planning Analysis performed in Requirement R1. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*
- R3. Each Transmission Operator shall notify all NERC registered entities identified in the plan(s) cited in Requirement R2 as to their role in those plan(s). *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning]*

Rationale for Requirement R1:

By stating this Requirement in this manner, the SDT is stating that a Transmission Operator must have a process for performing the Operational Planning Analysis (or has contracted the service). Since the Requirement does not mandate how the analysis is completed, it may be completed by procedures or by tools but if tools are used, the Transmission Operator must be able to complete the analysis even if those tools are not available.

C. Measures

- M1. Each Transmission Operator shall have evidence of a completed Operational Planning Analysis in accordance with Requirement R1. Such evidence could include but is not limited to dated power flow study results.
- M2. Each Transmission Operator shall have evidence that it has developed a plan to operate within each IROL and each SOL which, while not an IROL, has been identified by the Transmission Operator as supporting its internal area reliability, identified as a result of the Operational Planning Analysis performed in Requirement R1 in accordance with Requirement R2. Such evidence could include but it is not limited to plans for precluding operating in excess of each IROL and each SOL which, while not an IROL, was identified as a result of the Operational Planning Analysis.

- M3.** Each Transmission Operator shall have evidence that it notified all NERC registered entities identified in the plan(s) cited in Requirement R2 as to their role in the plan(s) in accordance with Requirement R3. 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 Enforcement Authority

- For entities that do not work for the Regional Entity, the Regional Entity shall serve as the Compliance Enforcement Authority.
- For functional entities that work for their Regional Entity, the ERO shall serve as the Compliance Enforcement Authority.

1.2. Compliance Monitoring and Enforcement Processes

Compliance Audits

Self-Certifications

Spot Checking

Compliance Investigations

Self-Reporting

Complaints

1.3. Data Retention

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

Each Transmission Operator shall keep data or evidence to show compliance for each Requirement and Measure for a rolling six month period for analyses, the most recent three months for voice recordings, and 12 months for operating logs and e-mail records unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Transmission Operator 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.

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2. Violation Severity Levels

| R# | Lower | Moderate | High | Severe |
|---|---|--|--|--|
| R1 | N/A | N/A | N/A | The Transmission Operator did not have an Operational Planning Analysis that represented projected System conditions allowing it to assess whether the planned operations for the next day within its Transmission Operator Area will exceed any of its Facility Ratings or Stability Limits during anticipated normal and Contingency event conditions. |
| R2 | N/A | N/A | N/A | The Transmission Operator did not develop a plan to operate within those IROLs and each SOL which, while not an IROL, has been identified by the Transmission Operator as supporting its internal area reliability, identified as a result of the Operational Planning Analysis performed in Requirement R1. |
| For the Requirement R3 VSL only, the intent of the SDT is to start with the Severe VSL first and then to work your way to the left until you find the situation that fits. In this manner, the VSL will not be discriminatory by size of entity. If a small entity has just one affected reliability entity to inform, the intent is that that situation would be a Severe violation. | | | | |
| R3 | The Transmission Operator did not notify one NERC registered entity or 5% or less of the NERC | The Transmission Operator did not notify two NERC registered entities or more than 5% and less | The Transmission Operator did not notify three NERC registered entities or more than 10% and | The Transmission Operator did not notify four or more NERC registered entities or more 15% of |

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|--|--|--|---|---|
| | registered entities identified in the plan(s) cited as to their role in the plan(s). | than or equal to 10% of the NERC registered entities whichever is less, identified in the plan(s) as to their role in the plan(s). | less than or equal to 15% of the NERC registered entities whichever is less, identified in the plan(s) as to their role in the plan(s). | the NERC registered entities identified in the plan(s) as to their role in the plan(s). |
|--|--|--|---|---|

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 | November 1, 2006 | Adopted by Board of Trustees | Revised |
| 2 | TBD | Changes pursuant to Project 2007-03 | Revised |