

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.
11. Sixth posting of revised standard on December 14, 2011.
- 11,12. Seventh posting of revised standard on March 22, 2012.

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-three~~ requirements in PRC-0001-1 be retired due to the fact that those requirements deal with data and data requirements and will be covered in the proposed TOP-003-2.

Future Development Plan:

Anticipated Actions	Anticipated Date
1. Post for successive ballot.	1Q12
2. Post for recirculation ballot.	2Q12
3. Submit to BOT.	3 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:** **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 operational planning and Real-time monitoring responsibilities.
4. **Applicability**
 - 4.1. Transmission Operator.
 - 4.2. Balancing Authority.
 - 4.3. Generator Owner.
 - 4.4. Generator Operator.
 - 4.5. Interchange Authority.
 - 4.6. Load-Serving Entity.
 - 4.7. Transmission Owner.
 - 4.8. Distribution Provider
5. **Effective Date:** All requirements, except Requirement R5, will become effective the first day of the first calendar quarter ten months following applicable regulatory approval. In those jurisdictions where no regulatory approval is required, all the requirements, except Requirement R5, become effective the first day of the first calendar quarter ten months following Board of Trustees' adoption. -Requirement R5 will become effective the first day of the first calendar quarter twelve months following applicable regulatory approval. In those jurisdictions where no regulatory approval is required, Requirement R5 becomes effective the first day of the first calendar quarter twelve months following Board of Trustees' adoption, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- R1. Each Transmission Operator shall create a documented specification for the data necessary for it to perform its Operational Planning Analyses and Real-time monitoring. The specification shall include: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - 1.1. A list of data and information needed by the Transmission Operator to support its Operational Planning Analyses and Real-time monitoring.
 - 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 Balancing Authority shall create a documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring. The specification shall include: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - 2.1. A list of data and information needed by the Balancing Authority to support its analysis functions and Real-time monitoring.
 - 2.2. A mutually-agreeable format.

- 2.3. A periodicity for providing data.
- 2.4. The deadline by which the respondent is to provide the indicated data.
- R3.** Each Transmission Operator shall distribute its data specification₂ as developed in Requirement R1₂ to entities that have data required by the Transmission Operator's Operational Planning Analysis and Real-time monitoring process used in meeting its NERC-mandated reliability requirements. [*Violation Risk Factor: Low*] [*Time Horizon: Operations Planning*]
- R4.** Each Balancing Authority shall distribute its data specification₂ as developed in Requirement R2₂ to entities that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements. [*Violation Risk Factor: Low*] [*Time Horizon: Operations Planning*]
- R5.** Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall satisfy the obligations of the documented specifications for data. [*Violation Risk Factor: Medium*] [*Time Horizon: Operations Planning*]

C. Measures

- M1.** Each Transmission Operator shall make available its dated, current, in-force documented specification for data in accordance with Requirement R1.
- M2.** Each Balancing Authority shall make available its dated, current, in-force documented specification for data in accordance with Requirement R2.
- M3.** Each Transmission Operator shall make available evidence that it has distributed its data specification₂ as developed in Requirement R1₂ to entities that have data required by the Transmission Operator's Operational Planning Analysis and Real-time monitoring process used in meeting its NERC-mandated reliability requirements in accordance with Requirement R3. Such evidence could include₂ but is not limited to₂ web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.
- M4.** Each Balancing Authority shall make available evidence that it has distributed its data specification₂ as developed in Requirement R2₂ to entities that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements₂ in accordance with Requirement R4. Such evidence could include₂ but is not limited to₂ web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, or e-mail records.
- M5.** Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall make available evidence that it has satisfied the obligations of the documented specifications for data₂ in accordance with Requirement R5. Such evidence could include, but is not limited to, electronic or hard copies of data transmittals or attestations of receiving entities.

D. Compliance

1. Compliance Monitoring Process

1.1. Compliance Monitoring Process

- 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 Audit

Self-Certification

Spot Checking

Compliance Investigation

Self-Reporting

Complaint

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 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 shall retain its dated, current, in-force, documented specification for the data necessary for it to perform their 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 Balancing Authority shall retain its dated, current, in-force, documented specification for the data necessary for it to perform their analysis functions and Real-time monitoring, in accordance with Requirement R2 and Measurement M2, 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 as developed in Requirement R1 to entities that have data required by the Transmission Operator's Operational Planning Analysis and Real-time monitoring process used in meeting its NERC-mandated reliability requirements, in accordance with Requirement R3 and Measurement M3.
- Each Balancing Authority shall retain evidence for three calendar years that it has distributed its data specification as developed in Requirement R2 to entities that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements, in accordance with Requirement R4 and Measurement M4.

- Each Balancing Authority, Generator Owner, Generator Operator, Interchange Authority, Load-Serving Entity, Transmission Operator, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall retain evidence for the most recent 90 calendar days that it has satisfied the obligations of the documented specifications for data, 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 mitigation is complete and approved 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 Transmission Operator did not include one of the parts (Part 1.1 through Part 1.4) of the documented specification for the data necessary for it to perform its Operational Planning Analyses and Real-time monitoring.	The Transmission Operator did not include two of the parts (Part 1.1 through Part 1.4) of the documented specification for the data necessary for it to perform its Operational Planning Analyses and Real-time monitoring.	The Transmission Operator did not include three of the parts (Part 1.1 through Part 1.4) of the documented specification for the data necessary for them to perform their Operational Planning Analyses and Real-time monitoring.	The Transmission Operator did not include four of the parts (Part 1.1 through Part 1.4) of the documented specification for the data necessary for them to perform their Operational Planning Analyses and Real-time monitoring. OR, The Transmission Operator did not include a documented specification for the data necessary for it to perform its Operational Planning Analyses and Real-time monitoring.
R2	The Balancing Authority did not include one of the parts (Part 2.1 through Part 2.4) of the documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring.	The Balancing Authority did not include two of the parts (Part 2.1 through Part 2.4) of the documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring.	The Balancing Authority did not include three of the parts (Part 2.1 through Part 2.4) of the documented specification for the data necessary for them to perform their analysis functions and Real-time monitoring.	The Balancing Authority did not include four of the parts (Part 2.1 through Part 2.4) of the documented specification for the data necessary for them to perform their analysis functions and Real-time monitoring. OR, The Balancing Authority did not include a documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring.
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 distribute its data specification, as developed in Requirement R1 to one entity, or 5% or less of the entities, whichever is less, that have data required by the Transmission Operator's Operational Planning Analysis and Real-time monitoring	The Transmission Operator did not distribute its data specification, as developed in requirement R1 to two entities, or more than 5% and less than or equal to 10% of the reliability entities, whichever is less, that have data required by the Transmission Operator's Operational Planning	The Transmission Operator did not distribute its data specification, as developed in Requirement R1 to three entities, or more than 10% and less than or equal to 15% of the reliability entities, whichever is less, that have data required by the	The Transmission Operator did not distribute its data specification, as developed in Requirement R1 to four or more entities, or more than 15% of the entities, whichever is less, that have data required by the Transmission Operator's Operational Planning Analysis and Real-time monitoring

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	process used in meeting its NERC-mandated reliability requirements.	Analysis and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.	Transmission Operator's Operational Planning Analysis and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.	process used in meeting its NERC-mandated reliability requirements.
For the Requirement R4 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.				
R4	The Balancing Authority did not distribute its data specification, as developed in Requirement R2 to one entity, or 5% or less of the entities, whichever is less, that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.	The Balancing Authority did not distribute its data specification, as developed in Requirement R2 to two entities, or more than 5% and less than or equal to 10% of the entities, whichever is less, that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.	The Balancing Authority did not distribute its data specification, as developed in Requirement R2 to three entities, or more than 10% and less than or equal to 15% of the entities, whichever is less, that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.	The Balancing Authority did not distribute its data specification, as developed in Requirement R2 to four or more entities, or more than 15% of the entities, whichever is less, that have data required by the Balancing Authority's analysis functions and Real-time monitoring process used in meeting its NERC-mandated reliability requirements.
R5	N/A	N/A	N/A	The responsible entity receiving a data specification in Requirement R3 or R4 did not satisfy the obligations of the documented specifications for data.

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