

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:** 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.
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 create 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 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 required Real-time monitoring. The specification shall include: *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*
 - 2.1. A list of required data and information needed by the Balancing Authority to support its 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 specification to those entities that have data required by the Transmission Operator's operating analysis assessment processes and

reliability monitoring tools used in meeting its NERC-mandated reliability requirements. *[Violation Risk Factor: Low] [Time Horizon: Operations Planning]*

- R4.** Each Balancing Authority shall distribute its data specification to entities that have data required by the Balancing Authority's reliability monitoring tools 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, and Transmission Owner 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 specification to entities that have data required by the Transmission Operator's operating analysis assessment processes and reliability monitoring tools used in meeting its NERC-mandated reliability requirements in accordance with Requirement R2. Such evidence could include but is not limited to web postings with acknowledgement, 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 specification to entities that have data required by the Balancing Authority's reliability monitoring tools used in meeting its NERC-mandated reliability requirements in accordance with Requirement R3. Such evidence could include but is not limited to web postings with acknowledgement, 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, 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. 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 Audits

Self-Certification

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 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 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 Balancing Authority shall retain their dated, current, in force, documented specification for the data necessary for them to perform their required 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 to entities that have data required by the Transmission Operator's reliability monitoring and operating analysis assessment processes and tools 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 to entities that have data required by the Balancing Authority's reliability monitoring and operating analysis assessment processes and tools 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, and Transmission Owner receiving a data specification in Requirement R3 or R4 shall retain evidence for 90 calendar days that it has satisfied the obligations of the documented specifications for data in accordance with Requirement R5 and Measurement M5.

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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

Standard TOP-003-2 — Operational Reliability Data

	Lower	Moderate	High	Severe
R1	The Transmission Operator did not include one of the required elements of the documented specification for the data necessary for it to perform its required Operational Planning Analyses and Real-time monitoring.	The Transmission Operator did not include two of the required elements of the documented specification for the data necessary for it to perform its required Operational Planning Analyses and Real-time monitoring.	The Transmission Operator did not include three 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 Transmission Operator did not include four or more 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. OR, The Transmission Operator did not include a documented specification for the data necessary for it to perform its required Operational Planning Analyses and Real-time monitoring.
R2	The Balancing Authority did not include one of the required elements of the documented specification for the data necessary for it to perform its required Real-time monitoring.	The Balancing Authority did not include two of the required elements of the documented specification for the data necessary for it to perform its required Real-time monitoring.	The Balancing Authority did not include three of the required elements of the documented specification for the data necessary for them to perform their required Real-time monitoring.	The Balancing Authority did not include four or more of the required elements of the documented specification for the data necessary for them to perform their required Real-time monitoring. OR, The Balancing Authority did not include a documented specification for the data necessary for it to perform its required Real-time monitoring.
R3	The Transmission Operator did not distribute its data specification to one entity or 5% or less of the entities whichever is less, that have data required by the Transmission Operator's operating analysis assessment processes and reliability monitoring tools used in meeting its NERC-mandated reliability requirements.	The Transmission Operator did not distribute its data specification 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 operating analysis assessment processes and reliability monitoring tools used in meeting its NERC-mandated reliability requirements.	The Transmission Operator did not distribute its data specification 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 Transmission Operator's operating analysis assessment processes and reliability monitoring tools used in meeting its NERC-mandated reliability requirements.	The Transmission Operator did not distribute its data specification to four or more entities or more than 15% of the entities whichever is less, that have data required by the Transmission Operator's operating analysis assessment processes and reliability monitoring tools used in meeting its NERC-mandated reliability requirements.

Standard TOP-003-2 — Operational Reliability Data

R4	The Balancing Authority did not distribute its data specification to one entity or 5% or less of the entities whichever is less, that have data required by the Balancing Authority's reliability monitoring tools used in meeting its NERC-mandated reliability requirements.	The Balancing Authority did not distribute its data specification 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 reliability monitoring tools used in meeting its NERC-mandated reliability requirements .	The Balancing Authority did not distribute its data specification 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 reliability monitoring tools used in meeting its NERC-mandated reliability requirements .	The Balancing Authority did not distribute its data specification to four or more entities or more than 15% of the entities whichever is less, that have data required by the Balancing Authority's reliability monitoring tools 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