

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 twelve 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 twelve 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 reliability internal to its Transmission Operator Area, 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]*

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 for a rolling six-month period for analyses, the most recent 90 calendar days 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 | The Transmission Operator did not notify two NERC-registered entities, or more than 5%, and | 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 |

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| | NERC-registered entities, whichever is less identified in the plan(s) cited, as to their role in the plan(s). | less 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). | than15% of the NERC-registered entities identified in the plan(s) as to their role in the plan(s). |
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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 | May 9, 2012 | Changes pursuant to Project 2007-03 | Revised |
| 3 | May 9, 2012 | Adopted by Board of Trustees | |