

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.

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 schedule shows completion of the project in 3Q09. The current draft is the second posting of the revised standards. As part of the proposed revisions, TOP-005-1, TOP-006-1, TOP-007-0, and 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.	July 2009
2. Post for re-ballot.	September 2009
3. Submit to BOT.	September 2009
4. Submit to regulatory authorities for approval.	October 2009

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:** Coordination of Transmission Operations
2. **Number:** TOP-001-2
3. **Purpose:**
To ensure coordination between and among reliability entities for the reliability of the Bulk Electric System (BES).
4. **Applicability**
 - 4.1. Balancing Authorities
 - 4.2. Transmission Operators
 - 4.3. Generator Operators
 - 4.4. Distribution Providers
 - 4.5. Load-Serving Entities
5. **Effective Date:** All requirements 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 Balancing Authority, Distribution Provider, Load-Serving Entity, and Generator Operator shall comply with each reliability directive issued by the Transmission Operator, unless the respective entity informs the Transmission Operator that such actions would violate safety, equipment, regulatory or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Operations Planning, Same-day Operations, Real-Time Operations]*
- R2. Each Transmission Operator shall inform its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions. *[Violation Risk Factor: High] [Time Horizon: Same-day Operations, Real-Time Operations]*
- R3. Each Transmission Operator shall render emergency assistance to other Transmission Operators, as requested and available, unless such actions would violate safety, equipment, regulatory or statutory requirements. *[Violation Risk Factor: High] [Time Horizon: Real-Time Operations]*
- R4. Each Transmission Operator and Generator Operator shall coordinate its respective operations known or expected to have a reliability impact on other reliability entities with those entities unless conditions do not permit such coordination. *[Violation Risk Factor: Medium] [Time Horizon: Operations Planning, Same-day Operations, Real-Time Operations]*
- R5. Each Transmission Operator shall inform its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded. *[Violation Risk Factor: Medium] [Time Horizon: Real-Time Operations]*

- R6. The Transmission Operator shall act or direct others to act, to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v . [*Violation Risk Factor: High*] [*Time Horizon: Real-time Operations*]

C. Measures

- M1. The Balancing Authority, Distribution Provider, Load-Serving Entity, and Generator Operator shall each make available upon request, in accordance with Requirement R1, evidence that it either: (a) complied with each reliability directive issued by the Transmission Operator or, (b) informed the Transmission Operator that such actions would violate safety, equipment, regulatory, or statutory requirements. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format.
- M2. The Transmission Operator shall make available upon request, evidence that it has informed its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions in accordance with Requirement R2. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format.
- M3. The Transmission Operator shall make available upon request, evidence that requested and available emergency assistance was rendered to other Transmission Operators in accordance with Requirement R3 unless such actions would violate safety, equipment, regulatory, or statutory requirements. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format.
- M4. The Transmission Operator and Generator Operator shall each make available upon request, evidence that operations were coordinated among impacted reliability entities in accordance with Requirement R4 unless conditions do not permit such coordination. Such evidence could include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence.
- M5. The Transmission Operator shall make available evidence that it has informed its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded in accordance with Requirement R5. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, or dated computer printouts.
- M6. The Transmission Operator shall make available evidence of when it acted or directed others to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v in accordance with Requirement R6. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, or dated computer printouts.

D. Compliance

1. **Compliance Monitoring Process**
- 1.1. **Compliance Enforcement Authority**

Regional Entity

1.2. Compliance Monitoring and Reset Time Frame

Not applicable.

1.3. Compliance Monitoring and Enforcement Processes

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

1.4. Data Retention

The Balancing Authority, Transmission Operator, Distribution Provider, Load-Serving Entity, and Generator Operator shall each keep data or evidence to show compliance for each applicable Requirement and Measure for the current calendar year and one previous calendar year unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation.

If a Balancing Authority, Transmission Operator, Distribution Provider, Load-Serving Entity, or Generator Operator is found non-compliant, it shall keep information related to the non-compliance until found compliant.

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

1.5. Additional Compliance Information

None.

2. Violation Severity Levels

	Lower	Moderate	High	Severe
R1	N/A	N/A	N/A	The Balancing Authority, Distribution Provider, Load-Serving Entity, or Generator Operator did not comply with a reliability directive issued by the Transmission Operator, and the respective entity did not inform the Transmission Operator that such action would violate safety, equipment, regulatory, or statutory requirements.
R2	The Transmission Operator did not inform its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions on one occasion.	The Transmission Operator did not inform its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions on two occasions.	The Transmission Operator did not inform its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions on three occasions.	The Transmission Operator did not inform its Reliability Coordinator and affected Transmission Operators of actual and anticipated Emergency conditions on four or more occasions.
R3	N/A	N/A	N/A	The Transmission Operator did not render emergency assistance to other Transmission Operators, as requested and available, and such actions would not violate safety, equipment, regulatory, or statutory requirements.

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	Lower	Moderate	High	Severe
R4	The Transmission Operator or Generator Operator did not coordinate their respective operations known or expected to impact other reliability entities with 25% or less of the affected reliability entities unless conditions did not permit such coordination.	The Transmission Operator or Generator Operator did not coordinate their respective operations known or expected to impact other reliability entities with more than 25% or less than or equal to 50% of the affected reliability entities unless conditions did not permit such coordination.	The Transmission Operator or Generator Operator did not coordinate their respective operations known or expected to impact other reliability entities with more than 50% or less than or equal to 75% of the affected reliability entities unless conditions did not permit such coordination.	The Transmission Operator or Generator Operator did not coordinate their respective operations known or expected to impact other reliability entities with more than 75% of the affected entities unless conditions did not permit such coordination.
R5	The Transmission Operator did not make available evidence that it had informed its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded on one occasion.	The Transmission Operator did not make available evidence that it had informed its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded on two occasions.	The Transmission Operator did not make available evidence that it had informed its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded on three occasions.	The Transmission Operator did not make available evidence that it had informed its Reliability Coordinator of actions being taken to return the system to within limits when an IROL or SOL has been exceeded on four or more occasions.
R6	The Transmission Operator did not make available evidence of its actions or when it directed others to act, to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v on one occasion.	The Transmission Operator did not make available evidence of its actions or when it directed others to act, to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v on two occasions.	The Transmission Operator did not make available evidence of its actions or when it directed others to act, to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v on three occasions.	The Transmission Operator did not make available evidence of its actions or when it directed others to act, to mitigate the magnitude and duration of exceeding an IROL within the IROL's T_v on four or more occasions.

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	Revisions pursuant to Project 2007-03	Revised