



[Registered Entity Name]

NERC ID: [NCRXXXXX]

TOP-002-4 - Operations Planning, Requirements 3, 6, and 7

2nd Quarter 2018 Self-Certification



Instructions

1. Populate the cover page by adding your entity's name and NERC identification number.
2. Complete the tasks listed under **Assessment Guidance**.
3. Log into **webCDMS** and complete your self-certification response.
4. Submit via the MRO EFT Encrypted [FTP2](#) Site:
 - a. This completed Worksheet; and
 - b. Specific evidence requested within this document. Please make sure to use unique file names for each evidence file submitted, and identify within your narratives which specific evidence files support each conclusion made. These references and the use of unique file names helps facilitate and expedite MRO's review of the Self-Certification work that has been performed.



Scope

TOP-002-4 - Operations Planning

- R3.** *Each Transmission Operator shall notify entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in those plan(s).*
- M3.** *Each Transmission Operator shall have evidence that it notified entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in the plan(s). Such evidence could include but is not limited to dated operator logs, or e-mail records.*
- R6.** *Each Transmission Operator shall provide its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.*
- M6.** *Each Transmission Operator shall have evidence that it provided its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator. Such evidence could include but is not limited to dated operator logs or e-mail records.*
- R7.** *Each Balancing Authority shall provide its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator.*
- M7.** *Each Balancing Authority shall have evidence that it provided its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator. Such evidence could include but is not limited to dated operator logs or e-mail records.*



Purpose:

To ensure that Transmission Operators and Balancing Authorities have plans for operating within specified limits.

Applicability of Requirements

	BA	DP	GO	GOP	PA	RC	RP	RSG	TO	TOP	TP	TSP
R3										X		
R6										X		
R7	X											



Assessment Guidance

R3 – Transmission Operator

1. Provide a list of Operating Plan(s) for next-day operations to address potential System Operating Limit (SOL) exceedances that were active during the self-certification period.

List of Operating Plan(s) – sampling population	
Filename	
Comments	

2. Select a random sample from your population identified in step #1 using the following sampling logic. (A random sample can be selected using statistical functions available in Microsoft Excel or through use of RAT-STATS, a free sampling tool available from the U.S. Department of Health & Human Services Office of Inspector General.)

From the population:

- a. Select at least 10% of the population (maximum number sampled 10) making sure at least five are sampled (e.g. if fewer than 50 exist in your population, select at least five).
- b. If five or fewer total exist in the population, select the whole population.

Also provide supporting evidence of the sampling process used including: (1) samples selected and (2) output from the statistical function used to perform the sampling (e.g. RAT-STATS output).

<i>File(s) Contents</i>	<i>File Name / Page(s)</i>
Samples Selected	
Statistical Function Output	
Comments	

3. For all Operating Plan(s), or the sample selected in Step #2, provide dated documentation such as dated operator logs or email records to show notification to entities identified in the associated Operating Plan(s) as to their role in the plan(s). Complete the table below and provide the files listed. Add or delete rows as necessary.

Name of Operating Plan	Operating Plan File Name	Name(s) of notified entity(s)	Notification File Name(s)



4. Provide an analysis that includes the determination whether it met or did not meet this requirement.

Analysis	
Filename	
Comments	

Was each sample selected in step #2 shown to follow the appropriate procedure/process?

- Yes, respond “Compliant” for **R3** to the Self-Certification in webCDMS. Include a comment summary and upload supporting documentation to the [FTP2](#) server.
- No, respond “Not Compliant” for **R3** to the Self-Certification in webCDMS. Include a comment summary based on potential issues and upload supporting documentation to the [FTP2](#) server.
- The entity does not meet the applicability requirements, respond “Not Applicable” for **R3** to the Self-Certification in webCDMS. Include comments supporting the “Not Applicable” response and upload supporting documentation to the [FTP2](#) server.

R6 – Transmission Operator

5. For all Operating Plan(s), or the sample selected in Step #2, provide dated documentation such as dated operator logs or email records to show Operating Plan(s) were provided to its Reliability Coordinator. Complete the table below and provide the files listed. Add or delete rows as necessary.

Name of Operating Plan	Operating Plan File Name	Name(s) Reliability Coordinator(s)	Notification File Name(s)

6. Provide an analysis that includes the determination whether it met or did not meet this requirement.

Analysis	
Filename	
Comments	

Was each sample selected in step #2 shown to follow the appropriate procedure/process?

- Yes, respond “Compliant” for **R6** to the Self-Certification in webCDMS. Include a comment summary and upload supporting documentation to the [FTP2](#) server.
- No, respond “Not Compliant” for **R6** to the Self-Certification in webCDMS. Include a comment



summary based on potential issues and upload supporting documentation to the [FTP2](#) server.

The entity does not meet the applicability requirements, respond “Not Applicable” for **R6** to the Self-Certification in webCDMS. Include comments supporting the “Not Applicable” response and upload supporting documentation to the [FTP2](#) server.

R7 – Balancing Authority

7. Provide list of Operating Plan(s) for next-day that address; expected generation resource commitment and dispatch, interchange scheduling, demand patterns, and capacity and energy reserve requirement, including deliverability capability that were active during the self-certification period.

List of Operating Plan(s) – sampling population	
Filename	
Comments	

8. Select a random sample from your population identified in step #7 using the following sampling logic. (A random sample can be selected using statistical functions available in Microsoft Excel or through use of RAT-STATS, a free sampling tool available from the U.S. Department of Health & Human Services Office of Inspector General.)

From the population:

- c. Select at least 10% of the population (maximum number sampled 10) making sure at least five are sampled (e.g. if fewer than 50 exist in your population, select at least five).
- d. If five or fewer total exist in the population, select the whole population.

Also provide supporting evidence of the sampling process used including: (1) samples selected and (2) output from the statistical function used to perform the sampling (e.g. RAT-STATS output).

<i>File(s) Contents</i>	<i>File Name / Page(s)</i>
Samples Selected	
Statistical Function Output	
Comments	

9. For all Operating Plan(s), or the sample selected in Step #8, provide dated documentation such as dated operator logs or email records to show notification provided to its Reliability Coordinator. Complete the table below and provide the files listed. Complete the table below and provide the files listed. Add or delete rows as necessary.

Name of Operating Plan	Operating Plan File Name	Name(s) Reliability Coordinator(s)	Notification File Name(s)



10. Provide an analysis that includes the determination whether it met or did not meet this requirement.

Analysis	
Filename	
Comments	

Was each sample selected in step #8 shown to follow the appropriate procedure/process?

- Yes, respond “Compliant” for **R7** to the Self-Certification in webCDMS. Include a comment summary and upload supporting documentation to the [FTP2](#) server.
- No, respond “Not Compliant” for **R7** to the Self-Certification in webCDMS. Include a comment summary based on potential issues and upload supporting documentation to the [FTP2](#) server.
- The entity does not meet the applicability requirements, respond “Not Applicable” for **R7** to the Self-Certification in webCDMS. Include comments supporting the “Not Applicable” response and upload supporting documentation to the [FTP2](#) server.

Document Submittals

MRO requires copies of the following be submitted with the self-certification response:

- a) This worksheet;
- b) Files to submit:
 - ✓ Transmission Operator: List of Operating Plan population, sampling process files (samples selected and output from the statistical function used to perform the sampling), communication of Operating Plan(s) to entities with roles in those plan(s) and to its Reliability Coordinator, analysis of determination
 - ✓ Balancing Authority: List of Operating Plan population, sampling process files (samples selected and output from the statistical function used to perform the sampling), communication of Operating Plan to its Reliability Coordinator, analysis of determination

Please make sure to use unique file names for each evidence file submitted, and identify within your responses to the steps above which specific evidence files support each conclusion made. These references and the use of unique file names helps facilitate and expedite MRO’s review of the Self-Certification work that has been performed.



All other data related to the registered entity's analysis and self-certification response are to be retained for at least 180 days after the submission date. MRO staff may request submission of additional information at a later date to verify accuracy of self-certification submittals.