

## Compliance Application Notice – 0026

TOP-006 R3 Protective Relays

Posted: June 17, 2011

Revised: December 9, 2011

### Primary Interest Groups

Compliance Enforcement Authority (CEA)<sup>1</sup>

NERC

Regional Entity

Transmission Operator (TOP)

Balancing Authority (BA)

Reliability Coordinator (RC)

Generator Operator (GOP)

### Issue: What is the scope of “protective relays” under TOP-006 R3?

For the purpose of aiding a CEA, this CAN provides instruction for assessing whether each RC, TOP and BA included the necessary protective relays when it provided the “appropriate technical information concerning protective relays to their operating personnel.”

### Compliance Application

TOP-006 provides, in pertinent part:

*R3. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide appropriate technical information concerning protective relays to their operating personnel.*

CEAs are to verify that each RC, TOP and BA provided to its operating personnel the appropriate technical information concerning the protective relays:

1. that are applied in the applicable entity’s area, and
2. that may impact that entity (the RC, TOP or BA), regardless of whether another entity has ownership or maintenance responsibility.

### Effective Period for CAN

This revised CAN supersedes the original CAN, as well as all prior communications. CEAs are to use this CAN to assess compliance from June 17, 2011, regardless of the start date of the violation. It will remain in effect until such time that a future version of a FERC or other applicable government authority

<sup>1</sup> Compliance Enforcement Authorities include ERO auditors, investigators, enforcement personnel or any person authorized to assess issues of concern, potential non-compliance, and possible, alleged or confirmed violations of NERC Reliability Standard and requirements.

approved standard or interpretation becomes effective and addresses the specific issue contained in this CAN.

For any enforcement action in process and for audits that have been initiated,<sup>2</sup> a CEA will apply the appropriate discretion, including consideration of the specific facts and circumstances of the non-compliance, in determining whether to assess compliance pursuant to this CAN.

### **Evidence of Compliance**

CEAs are to verify that RCs, BAs and TOPs provided the appropriate technical information to their operating personnel for the following protective relays:

- a. protective relays that are applied in the applicable entity's area, and
- b. protective relays, regardless of ownership or maintenance responsibility of the associated relays, that may impact that entity (the RC, TOP or BA).

This evidence could include but is not limited to operator logs, voice recordings and electronic communications.

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*This document is designed to convey compliance monitoring instruction to achieve a measure of consistency among auditors and Compliance Enforcement Authorities. It is not intended to establish new requirements under NERC's Reliability Standards or to modify the requirements in any existing NERC Reliability Standard. Compliance will continue to be assessed based on language in the currently enforceable NERC Reliability Standards. This document is not intended to define the exclusive method an entity must use to comply with a particular standard or requirement, or foreclose a registered entity's demonstration by alternative means that it has complied with the language and intent of the standard or requirement, taking into account the facts and circumstances of a particular registered entity. Implementation of information in this document is not a substitute for compliance with requirements in NERC's Reliability Standards.*

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<sup>2</sup> "Initiated" means that a registered entity has received notification of the upcoming audit.

**Revision History**

<b>Posted Date</b>	<b>Action</b>	<b>Revision</b>
<b>June 17, 2011</b>	<b>Posted Final CAN</b>	
<b>December 9, 2011</b>	<b>Posted Revised CAN</b>	<b>Revised target audience to CEAs</b>