

## Compliance Application Notice — 0028

Compliance Application: TOP-006<sup>1</sup> R1.2 Reporting  
Responsibilities

Posted [DATE]

### Primary Interest Groups

NERC  
Regional Entities  
Transmission Operators (TOP)  
Balancing Authorities (BA)  
Generator Operators (GOP)  
Reliability Coordinators (RC)

### Issue: What are resource reporting responsibilities for the Balancing Authorities (BA) and Transmission Operators (TOP) under TOP-006?

NERC received a request for clarification of whether a BA is responsible for reporting generation or transmission resources available for use to RCs and other affected BAs and TOPs under TOP-006 Requirement (R) 1.2.

NERC also received a request for clarification of whether a TOP is responsible for reporting transmission or generation resources available for use to RCs and other affected BAs and TOPs under TOP-006 R1.2.

### Reliability Objective

The Reliability Objective is to have current resource information available to ensure critical reliability parameters are monitored in real-time.

### Background

TOP-006 requires BAs and TOPs to report the availability of generation or transmission resources; however BAs are not responsible for transmission resources.

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<sup>1</sup> Version 1 of the standard is effective in the United States. Version 2 of the standard was approved by the NERC Board of Trustees on October 17, 2008 and went into effect for the Canadian Provinces pursuant to Canadian Memorandum of Understandings on April 1, 2009. Version 2 will become effective in the United States on the first day of the first calendar quarter, three months after FERC approval.

This issue is also addressed in IRO-010-1a *Reliability Coordination Data Specification and Collection*, R3, which specifies that the BA and TOP shall each provide data and information to RCs with which it has a relationship.

### **Compliance Application**

TOP-006-1 and TOP-006-2 provide, in pertinent part:

*R1. Each Transmission Operator and Balancing Authority shall know the status of all generation and transmission resources available for use.*

...

*R1.2. Each Transmission Operator and Balancing Authority shall inform the Reliability Coordinator and other affected Balancing Authorities and Transmission Operators of all generation and transmission resources available for use.*

Within the context of TOP-006 R1.2:

1. the BA is the responsible entity for the reporting of generation resources available for use to the appropriate RC and the other affected BAs and TOPs; and
2. the TOP is the responsible entity for the reporting of transmission resources available for use to the appropriate RC and the other affected BAs and TOPs.

### **Effective Period for CAN**

This CAN covers Versions 1 and 2 of the standard, is effective upon posting on the NERC Web site and will remain in effect until such time that a future version of the standard or interpretation addresses this specific issue and is enforceable.

### **Providing Evidence of Compliance**

A BA and TOP must be able to provide an auditor or Compliance Enforcement Authority:

1. Evidence of its communications to its RC and other affected BAs and TOPs of the applicable generation or transmission resources available for use. This evidence could include but is not limited to, operator logs, voice recordings, electronic communications, or other equivalent. Each BA and TOP must have 90 days of historical data as evidence to provide an auditor or Compliance Enforcement Authority, and
2. Its processes, procedures, or other corroborating evidence to demonstrate compliance for the remainder of the audit period.

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*This document is designed to convey compliance guidance from NERC's various activities. It is not intended to establish new requirements under NERC's Reliability Standards or to modify the requirements in any existing NERC Reliability Standards. Compliance will continue to be determined based on language in the NERC Reliability Standards as they may be amended from time to time. Implementation of this compliance application notice is not a substitute for compliance with requirements in NERC's Reliability Standards.*