

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**IRO-016-1 — Coordination of Real-time Activities between Reliability Coordinators**

 **Registered Entity:** *(Must be completed by the Compliance Enforcement Authority)*

 **NCR Number:** *(Must be completed by the Compliance Enforcement Authority)*

 **Applicable Function(s):** RC

**Auditors:**

**Disclaimer**

 NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The NERC RSAW language contained within this document provides a non‑exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

# Subject Matter Experts

Identify your company’s subject matter expert(s) responsible for this Reliability Standard. Include the person's title, organization and the requirement(s) for which they are responsible. Insert additional lines if necessary.

**Response: *(Registered Entity Response Required)***

|  |  |  |  |
| --- | --- | --- | --- |
| **SME Name** | **Title** | **Organization** | **Requirement** |
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# Reliability Standard Language

**IRO-016-1 — Coordination of Real-time Activities Between Reliability Coordinators**

**Purpose:**

To ensure that each Reliability Coordinator’s operations are coordinated such that they will not have an Adverse Reliability Impact on other Reliability Coordinator Areas and to preserve the reliability benefits of interconnected operations.

**Applicability:**

Reliability Coordinators

**NERC BOT Approval Date: 2/7/2006**

**FERC Approval Date: 3/16/2007**

**Reliability Standard Enforcement Date in the United States: 6/18/2007**

**Requirements**:

1. The Reliability Coordinator that identifies a potential, expected, or actual problem that requires the actions of one or more other Reliability Coordinators shall contact the other Reliability Coordinator(s) to confirm that there is a problem and then discuss options and decide upon a solution to prevent or resolve the identified problem.
	1. If the involved Reliability Coordinators agree on the problem and the actions to take to prevent or mitigate the system condition, each involved Reliability Coordinator shall implement the agreed-upon solution, and notify the involved Reliability Coordinators of the action(s) taken.
	2. If the involved Reliability Coordinators cannot agree on the problem(s) each Reliability Coordinator shall re-evaluate the causes of the disagreement (bad data, status, study results, tools, etc.).
		1. If time permits, this re-evaluation shall be done before taking corrective actions.
		2. If time does not permit, then each Reliability Coordinator shall operate as though the problem(s) exist(s) until the conflicting system status is resolved.
	3. If the involved Reliability Coordinators cannot agree on the solution, the more conservative solution shall be implemented.

**Describe, in narrative form, how you meet compliance with this requirement:**

***(Registered Entity Response Required)***

# R1 Supporting Evidence and Documentation

**Response: *(Registered Entity Response Required)***

|  |  |
| --- | --- |
|  |   **Provide the following:** **Document Title and/or File Name, Page & Section, Date & Version** |
| **Title** | **Date** | **Version** |
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| *Audit Team: Additional Evidence Reviewed:* |  |  |
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***This section must be completed by the Compliance Enforcement Authority***

**Compliance Assessment Approach Specific to IRO-016-1 R1**

Verify the Reliability Coordinator contacted any other Reliability Coordinator(s) when a potential, expected, or actual problem existed, requiring action by one or more other Reliability Coordinators, in order to confirm the problem, discuss options and a solution(s)

If a problem existed and action was agreed upon:

\_\_\_ Verify the Reliability Coordinators implemented the agreed-upon solution and notified each

 other of the action(s) taken

If the problem was not agreed upon:

 \_\_\_Did the Reliability Coordinator re-evaluate the cause of the disagreement?

 \_\_\_If time permitted; did this re-evaluation take place before taking corrective actions?

*OR*

\_\_\_ If time did not permit, did the Reliability Coordinator operate as though the problem(s) existed until the conflicting system status was resolved?

\_\_\_ If a solution was not agreed-upon was the more conservative solution implemented?

**Detailed Notes:**

1. The Reliability Coordinator shall document (via operator logs or other data sources) its actions taken for either the event or for the disagreement on the problem(s) or for both.

(Retirement approved by FERC effective January 21, 2014.)

# Supplemental Information

**Question:** Describe your methodology for determining if a potential, expected, or actual problem requires the action of one or more other Reliability Coordinators. Provide evidence of contact of other Reliability Coordinators for potential, expected, or actual problems that required the action of one or more Reliability Coordinators.

**Entity** **Response: *(Registered Entity Response Required)***

**Question:** Describe your methodology for addressing situations set forth in Requirement 1.2, Requirement 1.2.1, Requirement 1.2.2 and Requirement 1.3.

**Entity** **Response: *(Registered Entity Response Required)***

**Question:** Describe your methodology for documenting actions to mitigate system events with affected Reliability Coordinators. Include in your description occurrences where this was necessary and the outcome.

**Entity** **Response: *(Registered Entity Response Required)***

**Other –** The list of questions above is not all inclusive of evidence required to show compliance with the Reliability Standard. Provide additional information here**, as necessary that** demonstrates compliance with this Reliability Standard.

  **Entity** **Response: *(Registered Entity Response)***

# Compliance Findings Summary (to be filled out by auditor)

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| --- | --- | --- | --- | --- | --- |
| **Req.** | **NF** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** | (Retirement approved by FERC effective January 21, 2014.) |

**Excerpts from FERC Orders -- For Reference Purposes Only**

**Updated Through March 31, 2009**

**IRO-016-1**

Order 693

P888. The Interconnection Reliability Operations and Coordination (IRO) group of Reliability Standards detail the responsibilities and authorities of a reliability coordinator.The IRO Reliability Standards establish requirements for data, tools and wide-area view, all of which are intended to facilitate a reliability coordinator’s ability to perform its responsibilities and ensure the reliable operation of the interconnected grid.

P1001. IRO-016-1 establishes Requirements for coordinated real-time operations, including: (1) notification of problems to neighboring reliability coordinators and (2) discussions and decisions for agreed-upon solutions for implementation. It also requires a reliability coordinator to maintain records of its actions.”

P1004. For the reasons stated in the NOPR, the Commission approves IRO-016-1 as mandatory and enforceable.

P1005. We construe Level of Non-Compliance 2.1 as requiring evidence of coordination, but allowing flexibility on the type of evidence.

**Revision History**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | December 2010 | QRSAW WG | Revised Findings Table, modified Supporting Evidence tables and Added Revision History |
| 1 | January 2011 | Craig Struck | Reviewed for format consistency and content. |
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