

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**PRC-016-0.1 — Special Protection System Misoperations**

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

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

**Applicable Function(s):** TO, GO, DP

**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 at <http://www.nerc.com/page.php?cid=2|20>. 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. Include additional sheets if necessary.

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

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

**PRC‑016‑0.1 – Special Protection System Misoperations**

**Purpose:**

To ensure that all Special Protection Systems (SPS) are properly designed, meet performance requirements, and are coordinated with other protection systems. To ensure that maintenance and testing programs are developed and misoperations are analyzed and corrected.

**Applicability:**

Transmission Owner that owns a SPS

Generator Owner that owns a SPS

Distribution Provider that owns a SPS

**NERC BOT Approval Date: 10/29/2008**

**FERC Approval Date: 5/13/2009**

**Reliability Standard Enforcement Date in the United States: 5/13/2009**

**Requirements:**

1. The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall analyze its SPS operations and maintain a record of all misoperations in accordance with the Regional SPS review procedure specified in Reliability Standard PRC-012-0\_R1.

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

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

**Question:** Describe your process for analyzing Special Protection System operations. Describe the process for documenting all Special Protection System misoperations in accordance with NERC Reliability Standard PRC-012-0.

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

**Question:** Have you experienced any operations or misoperations of SPS during the audit period? If yes, provide description of the event(s).

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

# R1 Supporting Evidence and Documentation

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

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| --- | --- | --- | --- |
|  | **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 PRC-016-0.1 R1**

\_\_\_ Review the evidence provided by the entity to verify that the entity analyzed all operations.

\_\_\_ Review the evidence provided by the entity to determine if the entity has had any misoperations

on its Special Protection System.

\_\_\_ Review the evidence provided by the entity to verify that the entity has maintained a record of all misoperations in accordance with Regional Special Protection System review procedures specified in Reliability Standard PRC-012-0 R1.

**Detailed notes:**

1. The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall take corrective actions to avoid future misoperations.

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

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

**Question:** After completing an investigation, describe the process your company would employ to develop a corrective action plan to prevent future Special Protection System misoperations.

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

# R2 Supporting Evidence and Documentation

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

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| --- | --- | --- | --- |
|  | **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 PRC-016-0.1 R2**

\_\_\_ Review the evidence provided by the entity to verify the entity has taken corrective action to prevent future misoperations on its Special Protection System.

**Detailed notes:**

1. The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of the misoperation analyses and the corrective action plans to its Regional Reliability Organization and NERC on request (within 90 calendar days).

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

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

# R3 Supporting Evidence and Documentation

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

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| --- | --- | --- | --- |
|  | **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 PRC-016-0.1 R3**

If the entity had any misoperations as determined in R1:

\_\_\_ Determine if NERC or the Regional Reliability Organization/Regional Entity requested the analysis and/or corrective action plan.

\_\_\_ Determine if the entity supplied the requested documentation within 90 calendar days.

**NOTE:** If the provided information was incomplete, the entity may be in violation of R1 and/or R2.

**Detailed notes:**

# Supplemental Information

**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.** | **C** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **3** |  |  |  |  |  |

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

**Updated Through March 31, 2009**

**PRC-016-0**

**Order 693**

P 1418. Protection and Control systems (PRC) on Bulk-Power System elements are an integral part of reliable grid operation. Protection systems are designed to detect and isolate faulty elements on a system, thereby limiting the severity and spread of system disturbances, and preventing possible damage to protected elements. The function, settings and limitations of a protection system are critical in establishing SOLs and IROLs. The PRC Reliability Standards apply to transmission operators, transmission owners, generator operators, generator owners, distribution providers and regional reliability organizations and cover a wide range of topics related to the protection and control of power systems.

P 1534. PRC-016-0 requires transmission owners, generator owners and distribution providers to provide the regional reliability organization with documentation, analyses and corrective action plans for misoperation of special protection systems.

P 1538. PRC-016-0 states that transmission owners, generator owners and distribution providers that own a special protection system must analyze the system operations and maintain a record of misoperations in accordance with the review procedure specified in PRC-012-0. As we explained above in the context of PRC-015-0, applicable entities are expected to comply with PRC-015-0, and the procedures specified in PRC-012-0 will continue to be maintained by the regional reliability organizations pursuant to the ERO Rules of Procedure and the Commission’s reliability information provision. We ]… conclude that PRC-016-0 is enforceable as of the effective date of this rulemaking. As stated in the Common Issues section, a reference to an unapproved Reliability Standard may be considered in an enforcement action, but is not a reason to delay approving and enforcing this Reliability Standard. The Commission expects that the plans will be sent to the Regional Entities (instead of the regional reliability organizations) after they are approved.

P 1539. The Commission concludes that Reliability Standard PRC-016-0 is just, reasonable, not unduly discriminatory or preferential, and in the public interest, and approves it as mandatory and enforceable. We observe that a maximum allowable interval for maintenance and testing of special protection systems is not relevant to PRC-016-0, where the primary purpose is to analyze and report all misoperations of special protection systems. The Commission, therefore, will not adopt the proposal to require the ERO to modify PRC-016-0 to include a requirement for a maximum allowable interval for maintenance and testing.

P 1540. The Commission concludes that Reliability Standard PRC-016-0 is just, reasonable, not unduly discriminatory or preferential and in the public interest, and approves it as mandatory and enforceable.

**Revision History**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | October 2009 | RSAW Working Group | New Document. |
| 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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