

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**IRO-014-1 — Procedures, Processes, or Plans to Support Coordination 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 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. Insert additional lines if necessary.

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

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

**IRO-014-1 — Procedures, Processes, or Plans to Support Coordination 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 Coordinator

**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 shall have Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability. These Operating Procedures, Processes, or Plans shall address Scenarios that affect other Reliability Coordinator Areas as well as those developed in coordination with other Reliability Coordinators.

**R1.1.** These Operating Procedures, Processes, or Plans shall collectively address, as a minimum, the following:

**R1.1.1.** Communications and notifications, including the conditions[[1]](#footnote-1) under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators.

**R1.1.2.** Energy and capacity shortages

**R1.1.3.** Planned or unplanned outage information.

**R1.1.4.** Voltage control, including the coordination of reactive resources for voltage control.

**R1.1.5.** Coordination of information exchange to support reliability assessments

**R1.1.6.** Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas

**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)***

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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 IRO-014-1 R1**

 \_\_\_ Review the evidence provided by the entity to determine if the operating procedures,

processes or plans address the exchange of information, notification, or coordination of the following:

\_\_\_ Communications and notifications as detailed in Requirement 1.1.1

\_\_\_ Energy and capacity shortages

\_\_\_ Planned or unplanned outage information

\_\_\_ Voltage control, including coordinating reactive resources

\_\_\_ Coordination of information exchange

\_\_\_ Authority to act to prevent and mitigate instances that are causing Adverse Reliability

 Impacts to other Reliability Coordinator Areas

**Detailed Notes:**

**R2.** Each Reliability Coordinator’s Operating Procedure, Process, or Plan that requires one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) shall be:

**R2.1.** Agreed to by all the Reliability Coordinators required to take the indicated action(s).

**R2.2.** Distributed to all Reliability Coordinators that are required to take the indicated action(s).

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

***(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 IRO-014-1 R2**

 Review the evidence provided by the entity to determine if the Reliability Coordinator’s Operating Procedure, Process, or Plan that requires one or more other Reliability Coordinators to take action are:

 \_\_\_ Agreed to by all the Reliability Coordinators required to take the indicated action(s).

 \_\_\_ Distributed to all Reliability Coordinators that are required to take the indicated action(s).

**Detailed Notes:**

**R3.** A Reliability Coordinator’s Operating Procedures, Processes, or Plans developed to support a Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan shall include:

**R3.1.** A reference to the associated RC-to-RC Operating Procedures, Processes, or Plans

**R3.2.** The agreed-upon actions from the associated RC-to-RC Operating Procedures, Processes, or Plans

**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 IRO-014-1 R3**

Verify the Reliability Coordinator’s Operating Procedures, Processes, or Plans developed (for its

 System Operators’ internal use) to support a Reliability Coordinator-to-Reliability Coordinator

 Operating Procedure, Process, or Plan received from another Reliability Coordinator:

 \_\_\_Include a reference to the associated Operating Procedure, Process or Plan

 \_\_\_ Support the agreed-upon actions from the Operating Procedure, Process or Plan.

**Detailed Notes:**

**R4.** Each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO-014 Requirement 1 and Requirement 3 shall:

**R4.1.** Include version control number or date.

**R4.2.** Include a distribution list.

**R4.3.** Be reviewed, at least once every three years, and updated if needed.

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

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

# R4 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 IRO-014-1 R4**

Verify each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO- 014 Requirement 1 and Requirement 3 contains:

\_\_\_A version control number or date

\_\_\_A distribution list

\_\_\_The Operating Procedures, Processes, and Plans are reviewed, at least once every three years, and updated if needed.

**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.** | **NF** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **3** |  |  |  |  |  |
| **4** |  |  |  |  |  |

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

**Updated Through March 31, 2009**

**IRO-014-1**

**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.”

P993. The stated purpose of IRO-014-1 is to ensure that each reliability coordinator’s operations are coordinated so that they will not have an adverse reliability impact on other reliability coordinator areas and to preserve the reliability benefits of interconnected operation. Specifically, IRO-014-1 ensures energy balance and transmission by requiring a reliability coordinator to have operating procedures, processes or plans for the exchange of operating information and coordination of operating plans.

P996. For the reasons stated in the NOPR, the Commission approves IRO-014-1as mandatory and enforceable.

**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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1. Examples of conditions when one Reliability Coordinator may need to notify another Reliability Coordinator may include (but aren’t limited to) sabotage events, Interconnection Reliability Operating Limit violations, voltage reductions, insufficient resources, arming of special protection systems, etc. [↑](#footnote-ref-1)