

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**IRO-015-1 — Notifications and Information Exchange 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-015-1 — Notifications and Information Exchange 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 shall follow its Operating Procedures, Processes, or Plans for making notifications and exchanging reliability-related information with other Reliability Coordinators.
	1. The Reliability Coordinator shall make notifications to other Reliability Coordinators of conditions in its Reliability Coordinator Area that may impact 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-015-1 R1**

 \_\_\_ Verify that the Reliability Coordinator followed its procedures, processes, or plans for making notifications and exchanging reliability-related information with other RCs.

 \_\_\_ Verify that if the Reliability Coordinator identified a condition that may impact another Reliability Coordinator Area, the other Reliability Coordinator was notified.

**Detailed Notes:**

1. The Reliability Coordinator shall participate in agreed upon conference calls and other communication forums with adjacent Reliability Coordinators.
	1. The frequency of these conference calls shall be agreed upon by all involved Reliability Coordinators and shall be at least weekly.

**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)***

|  |  |
| --- | --- |
|  |   **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-015-1 R2**

Verify that the Reliability Coordinator participated in the agreed upon conference calls and other

 communication forums.

 \_\_\_ Verify those calls were on, at least, a weekly basis.

**Detailed notes:**

1. The Reliability Coordinator shall provide reliability-related information as requested by other Reliability Coordinators.

**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-015-1 R3**

 \_\_\_ Review the evidence provided by the entity to determine if other Reliability Coordinators requested reliability-related information. (This might come from, but is not limited to, a complaint, a neighbor’s questionnaire, Reliability Coordinator Information System (RCIS), or the audited entity’s internal logs.)

 \_\_\_ Review the evidence provided by the entity to determine if the Reliability Coordinator provided the above requested information.

**Detailed notes:**

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# Supplemental Information

**Question:** Describe your communication forums and conference calls with adjacent Reliability Coordinators.

**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** |  |  |  |  |  |
| **3** |  |  |  |  |  |

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

**Updated Through March 31, 2009**

**IRO-015-1**

**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.

P997. IRO-015-1 establishes Requirements for a reliability coordinator to share and exchange reliability-related information among its neighbors and participate in agreed upon conference calls and other communication forums with adjacent reliability coordinators.

P1000. For the reasons stated in the NOPR, the Commission approves IRO-015-1 as 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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