

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**TOP-008-1 — Response To Transmission Limit Violations**

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

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

**Applicable Function(s): TOP**

**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)***

|  |  |  |  |
| --- | --- | --- | --- |
| **SME Name** | **Title** | **Organization** | **Requirement** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Reliability Standard Language

**TOP-008-1 — Response To Transmission Limit Violations**

**Purpose:**

To ensure Transmission Operators take actions to mitigate SOL and IROL violations.

**Applicability:**

Transmission Operators

**NERC BOT Approval Date: 11/1/2006**

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

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

**Requirements:**

**R1.** The Transmission Operator experiencing or contributing to an IROL or SOL violation shall take immediate steps to relieve the condition, which may include shedding firm load.

**Describe, in narrative form, how you meet compliance with this requirement: *(Registered Entity Response Required)***

**Question**: Did you experience or contribute to an IROL or SOL violation during the audit period?

**Entity** **Response: *(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** | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |
| *Audit Team: Additional Evidence Reviewed:* | |  |  | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to TOP-008-1 R1.**

**\_\_\_** Verify that the Transmission Operator, that experienced or contributed to an IROL or SOL violation, took immediate steps to relieve the condition.

Note: This could include shedding load.

**Auditors Detailed notes:**

**R2.** Each Transmission Operator shall operate to prevent the likelihood that a disturbance, action, or inaction will result in an IROL or SOL violation in its area or another area of the Interconnection. In instances where there is a difference in derived operating limits, the Transmission Operator shall always operate the Bulk Electric System to the most limiting parameter.

**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** | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |
| *Audit Team: Additional Evidence Reviewed:* | |  |  | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to TOP-008-1 R2.**

**\_\_\_** Verify that the Transmission Operator worked to prevent the likelihood that a disturbance, action, or inaction would result in an IROL or SOL violation in its area or another area of the Interconnection.

**\_\_\_** In instances where there was a difference in derived operating limits, verify that the Transmission Operator always operated the Bulk Electric System to the most limiting parameter.

**Auditors Detailed notes:**

**R3.** The Transmission Operator shall disconnect the affected facility if the overload on a transmission facility or abnormal voltage or reactive condition persists and equipment is endangered. In doing so, the Transmission Operator shall notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection prior to switching, if time permits, otherwise, immediately thereafter.

**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)***

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Provide the following:**  **Document Title and/or File Name, Page & Section, Date & Version** | | |
| **Title** | | **Date** | **Version** | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |
| *Audit Team: Additional Evidence Reviewed:* | |  |  | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to TOP-008-1 R3.**

**\_\_\_** Verify that the Transmission Operator disconnected the affected facility if the overload on a transmission facility or abnormal voltage or reactive condition persisted and equipment was endangered.

**\_\_\_** Verify that, if this was implemented, the Transmission Operator notified its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection either

prior to switching, if time permitted, or immediately thereafter.

**Auditors Detailed notes:**

**R4.** The Transmission Operator shall have sufficient information and analysis tools to determine the cause(s) of SOL violations. This analysis shall be conducted in all operating timeframes. The Transmission Operator shall use the results of these analyses to immediately mitigate the SOL violation.

**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)***

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Provide the following:**  **Document Title and/or File Name, Page & Section, Date & Version** | | |
| **Title** | | **Date** | **Version** | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |
| *Audit Team: Additional Evidence Reviewed:* | |  |  | |
|  | |  |  | |
|  | |  |  | |
|  | |  |  | |

***This section must be completed by the Compliance Enforcement Authority.***

**Compliance Assessment Approach Specific to TOP-008-1 R4.**

**\_\_\_** Verify that the Transmission Operator has sufficient information and analysis tools to determine the causes of SOL violations.

**\_\_\_** Verify the analysis are conducted during all operating time frames.

Verify the TOP uses the results of these analyses to immediately mitigate the SOL violation.

**Auditors 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)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Req.** | **C** | **PV** | **OEA** | **NA** | **Statement** |
| **1** |  |  |  |  |  |
| **2** |  |  |  |  |  |
| **3** |  |  |  |  |  |
| **4** |  |  |  |  |  |

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

**Updated Through March 31, 2009**

**TOP-008-1**

**Order 693**

P 1567. The eight Transmission Operations (TOP) Reliability Standards apply to transmission operators, generator operators and balancing authorities. The goal of these Reliability Standards is to ensure that the transmission system is operated within operating limits. Specifically, these Reliability Standards cover the responsibilities and decision-making authority for reliable operations, requirements for operations planning, planned outage coordination, real-time operations, provision of operating data, monitoring of system conditions, reporting of operating limit violations and actions to mitigate such violations. The Interconnection Reliability Operations and Coordination (IRO) group of Reliability Standards complement these proposed TOP Reliability Standards.

P 1675. TOP-008-1 requires a transmission owner to take immediate steps to mitigate SOL and IROL violations.

P 1679. For the reasons stated in the NOPR,the Commission approves TOP-008-1 as mandatory and enforceable….

P 1680. We agree … that the reliability coordinator merely receives information provided by the transmission operator and does not play any substantive role under TOP-008-1. We also agree … that the reliability coordinators’ responsibility related to IROL violations are outlined in connection with the IRO Reliability Standards and therefore there is no need to modify the applicability section of TOP-008-1 to include the reliability coordinator.

P 1682. Accordingly, the Commission approves Reliability Standard TOP-008-1 as mandatory and enforceable.”

**July 19, 2007, Order No. 693-A, Mandatory Reliability Standards for the Bulk-Power System, Docket No. RM06-16-001**

P 155. … The transmission operator is the correct applicable entity in Reliability Standard TOP-008-1.

**Revision History**

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | December 2010 | RSAW Working Group | Revised Findings Table, modified Supporting Evidence tables, added Revision History and added Compliance Assessment Approach to R4. |
| 1 | January 2011 | Craig Struck | Reviewed for format consistency and content. |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |