

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**IRO-003-2 — Reliability Coordination — Wide-Area View**

**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)***

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

 **IRO-003-2 — Reliability Coordination — Wide-Area View**

**Purpose:**

The Reliability Coordinator must have a wide-area view of its own Reliability Coordinator Area and that of neighboring Reliability Coordinators.

**Applicability:**

Reliability Coordinators

**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**:

1. Each Reliability Coordinator shall monitor all Bulk Electric System facilities, which may include sub-transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.

**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-003-2 R1.**

 \_\_\_ Determine if the Reliability Coordinator monitored all Bulk Electric System facilities including the sub-transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, so that it can determine any potential System Operating Limit and Interconnection Reliability Operating Limit violation within its Reliability Coordinator Area.

 **Note to Auditor:**

Where a NERC Software Tool is not available and a NERC Reliability Standard Requirement:

A. does not require the use of a NERC Software Tool by naming a NERC Software Tool, however

B. a registered entity relies upon a NERC Software Tool, although there are other tools available

A CEA is to verify that a registered entity used an alternate method or back-up tool and met the requirement of the standard. CEAs are to look for alternate methods that may include basic processes such as email notifications or phone records that indicate the entity called the applicable party with the required information.

**Detailed notes:**

1. Each Reliability Coordinator shall know the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation. Reliability Coordinators shall also know the status of any facilities that may be required to assist area restoration objectives.

 **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-003-2 R2.**

 \_\_\_ Determine if the Reliability Coordinator knows the current status of all critical facilities

 whose failure, degradation or disconnection could result in an SOL or IROL violation.

 \_\_\_ Determine if the Reliability Coordinator knows the status of any facilities that may be

 required to assist area restoration objectives.

**Note to Auditor:**

If entity relies on a NERC software tool that is unavailable, a CEA is to verify that a registered entity used an alternate method or back-up tool and met the requirement of the standard. CEAs are to look for alternate methods that may include basic processes such as email notifications or phone records that indicate the entity called the applicable party with the required information.

**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** |  |  |  |  |  |

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

**Updated Through March 31, 2009**

**IRO-003-2**

**Order 693**

P 888. 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.

P 909. The purpose of IRO-003-2 is for a reliability coordinator to have a wide-area view of its own and adjacent areas to maintain situational awareness. Wide-area view also facilitates a reliability coordinator’s ability to calculate SOL and IROL as well as determine potential violations in its own area.

913. For the reasons stated in the NOPR,the Commission approves proposed Reliability Standard IRO-003-2 as mandatory and enforceable. NERC’s November 2006 revision to the Reliability Standard satisfies the proposal to include Measures and Levels of Non-Compliance.

**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. |
| 1.1 | March 2014 | RSAW Task Force | Compliance guidance from CAN-0015 added to RSAW. |
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