

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**TOP-007-0 — Reporting System Operating Limit (SOL) and**

**Interconnection Reliability Operating Limit (IROL) 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, 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)***

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

# Reliability Standard Language

**TOP-007-0 — Reporting System Operating Limit (SOL) and Interconnection Reliability Operating Limit (IROL) Violations**

**Purpose:**

This standard ensures SOL and IROL violations are being reported to the Reliability Coordinator so that the Reliability Coordinator may evaluate actions being taken and direct additional corrective actions as needed.

**Applicability:**

Transmission Operators

Reliability Coordinators

**NERC BOT Approval Date: 2/8/2005**

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

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

**Requirements:**

* 1. A Transmission Operator shall inform its Reliability Coordinator when an IROL or SOL has been exceeded and the actions being taken to return the system to within limits.

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

**Question**: Have there been previous incidents where you exceeded an IROL or SOL during the audit period? Please provide details.

**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-007-0 R1**

\_\_\_Review the evidence to verify if the entity exceeded an SOL or IROL.

\_\_\_Review the evidence provided by the entity to verify if the entity informed its Reliability Coordinator regarding the exceeded IROL or SOL.

\_\_\_Review the evidence provided to verify if the entity communicated the action being taken to return the system to within safe limits.

**Detailed notes:**

* 1. Following a Contingency or other event that results in an IROL violation, the Transmission Operator shall return its transmission system to within IROL as soon as possible, but not longer than 30 minutes.

**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-007-0 R2**

\_\_\_Review the evidence provided by the entity to verify if the Transmission Operator returned its transmission system to within IROL within 30 minutes after a contingency occurs that resulted in an IROL violation as identified in Requirement 1.

**Detailed notes:**

* 1. A Transmission Operator shall take all appropriate actions up to and including shedding firm load, or directing the shedding of firm load, in order to comply with Requirement R2.

**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-007-0 R3**

\_\_\_Determine if the Transmission Operator took all appropriate actions to comply with Requirement 2. Some or all of the actions taken may be identified in the action plan developed under IRO‑004‑1 Requirement 3.

**Detailed notes:**

* 1. The Reliability Coordinator shall evaluate actions taken to address an IROL or SOL violation and, if the actions taken are not appropriate or sufficient, direct actions required to return the system to within limits.

**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-007-0 R4**

\_\_\_Review the evidence provided by the entity to verify if the Reliability Coordinator evaluated actions to address an IROL or a SOL violation.

\_\_\_Review the evidence provided by the entity to verify if the actions taken were not appropriate or sufficient.

\_\_\_Review the evidence provided by the entity to verify if the Reliability Coordinator directed any actions required to return the system to within limits.

**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-007-0**

**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 1666. TOP-007-0 requires that violations of SOL and IROL be promptly reported to the reliability coordinator so that it can direct corrective action and inform other affected systems. It also requires a transmission operator to mitigate an IROL violation as soon as possible but in no longer than 30 minutes. A transmission operator must take “all appropriate actions up to and including shedding firm load” to return its system to a stable state within IROL. Finally, the Reliability Standard requires that the reliability coordinator take action to mitigate an SOL or IROL violation if the transmission operator’s actions are not effective.

P 1667. The Commission proposed in the NOPR to approve TOP-007-0 as mandatory and enforceable.

P 1674. Accordingly, the Commission approves Reliability Standard TOP-007-0 as mandatory and enforceable.

**Revision History**

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | October 2009 | QRSAW WG | 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. |
| 1.1 | September 2011 | Craig Struck | Format changes for 2012. |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |