

Appendix B: Compliance Assessment Report

Compliance Assessment Process for Events and Disturbances

The ERO Enterprise encourages registered entities to perform an initial compliance assessment (CA) concurrent with the registered entity’s event review and analysis. When completing a CA, the registered entity should follow these steps:

1. Refer to the causes and contributing factors of the event as determined by the registered entity’s events analysis process.
2. Identify all applicable NERC Reliability Standards and Requirements potentially implicated by the causes and contributing factors of the event.
3. After reviewing the facts and circumstances of the event, develop conclusions applicable to relevant NERC Reliability Standards and Requirements (see Step 2 above).
4. Self-report any findings of noncompliance to the RE per the CMEP procedures.
5. Provide a copy of the CA report to the RE compliance organization. The CA should be accompanied by the separate Event Analysis Report, Brief Report, or similar document that provides sufficient information for the RE to understand the event.

Sample Compliance Assessment Report Template

Event Cause or Contributing Factor	Applicable Reliability Standards and Requirements	Details of CA Efforts	Findings
Cause–Example 1	AAA-000-0 R 1	<ol style="list-style-type: none"> 1. Identify the process used to assess compliance with this Requirement 2. Identify any evidence that demonstrates compliance 3. Identify any evidence that suggests noncompliance 	Finding conclusion
Equipment failure of a high-side transformer—cleared along with two transmission lines	TOP-002-2a R6. Each BA and TOP shall plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1 contingency planning) in accordance with NERC, Regional Reliability Organization, sub-regional and local reliability Requirements	Established transfer limits were followed such that the event did not result in instability. The limit for operating across this internal interface is established in the RC. “XYZ Interface All Lines In Stability Guide” (document provided)	No findings of noncompliance