

DRAFT Reliability Standard Audit Worksheet¹

MOD-032-1 – Data for Power System Modeling and Analysis

This section to be completed by the Compliance Enforcement Authority.

Audit ID: Audit ID if available; or REG-NCRnnnnn-YYYYMMDD
Registered Entity: Registered name of entity being audited
NCR Number: NCRnnnnn
Compliance Enforcement Authority: Region or NERC performing audit
Compliance Assessment Date(s)²: Month DD, YYYY, to Month DD, YYYY
Compliance Monitoring Method: Audit
Names of Auditors: Supplied by CEA

Applicability of Requirements *[RSAW developer to insert correct applicability]*

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1							X ³							X	
R2	X		X			X				X		X			X
R3	X		X			X				X		X			X
R4							X ³								

¹ 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.

² Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs.

³ This proposed standard combines “Planning Authority” with “Planning Coordinator” in the list of applicable functional entities. The NERC Functional Model lists “Planning Coordinator” while the registration criteria lists “Planning Authority,” and they are not yet synchronized. Until that occurs, the proposed standard applies to both Planning Authority and Planning Coordinator.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

Subject Matter Experts

Identify Subject Matter Expert(s) responsible for this Reliability Standard. (Insert additional rows if necessary)

Registered Entity Response (Required):

SME Name	Title	Organization	Requirement(s)

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

R1 Supporting Evidence and Documentation

- R1.** Each Planning Coordinator and each of its Transmission Planners shall jointly develop steady-state, dynamics, and short circuit modeling data requirements and reporting procedures for the Planning Coordinator’s planning area that include:
 - 1.1.** The data listed in Attachment 1; and
 - 1.2.** Specifications of the following items consistent with procedures for building the Interconnection-wide case(s):
 - 1.2.1.** Data format;
 - 1.2.2.** Level of detail to which equipment shall be modeled;
 - 1.2.3.** Case types or scenarios to be modeled; and
 - 1.2.4.** A schedule for submission of data at least once every 13 calendar months.
 - 1.3.** Specifications for distribution or posting of the data requirements and reporting procedures so that they are available to those responsible for providing.
- M1.** Each Planning Coordinator and Transmission Planner shall provide evidence that it has jointly developed the required modeling data requirements and reporting procedures specified in Requirement R1.

Registered Entity Response to General Compliance with this Requirement (Required):

Describe, in narrative form, how you meet compliance with this Requirement. Provide a brief explanation, in your own words, of how you meet compliance with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested⁴:

Provide the following evidence, or other evidence to demonstrate compliance. If the provisioning of this evidence is burdensome or otherwise unreasonable, contact your CEA to arrange for sampling or other means of reduction of the quantity of evidence submitted.
Provide the modeling data requirements and reporting procedures that were developed.
Provide evidence the data requirements and reporting procedures were jointly developed between the applicable Planning Coordinator and Transmission Planners which could consist of emails, meeting minutes, or the inclusion of the names of the jointly collaborating entities in any written procedures.

⁴ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity’s discretion.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

Registered Entity Evidence (Required):

The following information is recommended for all evidence submitted:
File Name, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description
Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to MOD-032-1, R1

This section to be completed by the Compliance Enforcement Authority

	The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.
	Review evidence and verify procedures cover items listed in parts 1.1 through 1.3 for the Planning Coordinator's planning area.

Note to Auditor: Auditor will seek evidence that the specific data reporting requirements of each of the items in Attachment 1 are included in the developed data requirements and reporting procedures. Auditor will seek evidence that the entity jointly developed the requirements and reporting procedures as required. Entities will be assessed based on whether there was joint development. Joint agreement on data requirements and reporting procedures constitutes joint development. Evidence regarding the participation, or lack thereof, of an entity not under audit may be used as evidence of compliance at the time of such other entity's audit or other formal compliance monitoring process.

Auditor Notes:

R2 Supporting Evidence and Documentation

- R2.** Each Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, and Transmission Service Provider shall provide steady-state, dynamics, and short circuit modeling data to its Transmission Planner(s) and Planning Coordinator(s) according to the data requirements and reporting procedures developed by its Planning Coordinator and Transmission Planner in Requirement R1. For data that has not changed since the last submission, a written confirmation that the data has not changed is sufficient.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

M2. Each registered entity identified in Requirement R2 shall provide evidence, such as email records or postal receipts showing recipient and date, that it has submitted the required modeling data to its Transmission Planner(s) and Planning Coordinator(s); or written confirmation that the data has not changed.

Registered Entity Response to General Compliance with this Requirement (Required):

Describe, in narrative form, how you meet compliance with this Requirement. Provide a brief explanation, in your own words, of how you meet compliance with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested⁵:

Provide the following evidence, or other evidence to demonstrate compliance. If the provisioning of this evidence is burdensome or otherwise unreasonable, contact your CEA to arrange for sampling or other means of reduction of the quantity of evidence submitted.

Evidence such as noted in M2.

Provide evidence that the data submitted meets the parameters of the data requirements and reporting procedures developed by its Planning Coordinator and Transmission Planner in Requirement R1.

Registered Entity Evidence (Required):

The following information is recommended for all evidence submitted:

File Name, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description

Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to MOD-032-1, R2

This section to be completed by the Compliance Enforcement Authority

	The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer's Guide for more information.
	Determine if entity's data submissions match the requirements developed by its Planning Coordinator and

⁵ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity's discretion.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

	Transmission Planner. Based on auditor judgment, a sampling of data submissions may be used as opposed to the auditor examining the entire population of data submissions.

Note to Auditor: This standard does not specify criteria around quality of data, so auditors are not to make any assessments in that regard. Auditor will seek evidence that the data submitted meets the parameters of the data requirements and reporting procedures developed by its Planning Coordinator, including a sampling of steady state, dynamics and short circuit data as specified in Attachment 1. The auditor may also contact the applicable Planning Coordinator(s) or Transmission Planner(s) for additional confirmation that required modeling data was submitted according to the developed procedures.

Auditor Notes:

R3 Supporting Evidence and Documentation

- R3.** Upon receipt of written notification from its Planning Coordinator or Transmission Planner regarding technical concerns with the data submitted under Requirement R2, including the technical basis or reason for the technical concerns, each notified Balancing Authority, Generator Owner, Load Serving Entity, Resource Planner, Transmission Owner, or Transmission Service Provider shall respond to the notifying Planning Coordinator or Transmission Planner as follows:
 - 3.1.** Provide either updated data or an explanation with a technical basis for maintaining the current data;
 - 3.2.** Provide the response within 90 calendar days of receipt, unless a longer time period is agreed upon by the notifying Planning Coordinator or Transmission Planner.

- M3.** Each registered entity identified in Requirement R3 that has received written notification from its Planning Coordinator or Transmission Planner regarding technical concerns with the data submitted under Requirement R2 shall provide evidence, such as email records or postal receipts showing recipient and date, that it has provided either updated data or an explanation with a technical basis for maintaining the current data to its Planning Coordinator or Transmission Planner within 90 calendar days of the request, or a statement that it has not received written notification regarding technical concerns with the data submitted.

Registered Entity Response to General Compliance with this Requirement (Required):

Describe, in narrative form, how you meet compliance with this Requirement. Provide a brief explanation, in your own words, of how you meet compliance with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

Evidence Requested⁶:

Provide the following evidence, or other evidence to demonstrate compliance. If the provisioning of this evidence is burdensome or otherwise unreasonable, contact your CEA to arrange for sampling or other means of reduction of the quantity of evidence submitted.

Evidence as outlined in M3.

Registered Entity Evidence (Required):

The following information is recommended for all evidence submitted:

File Name, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description

Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to MOD-032-1, R3

This section to be completed by the Compliance Enforcement Authority

	The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer’s Guide for more information.
	(R3) Review evidence provided to determine if any notifications were received by entity.
	(part 3.1) Review evidence to verify entity responded by updating data or providing an explanation with a technical basis for maintaining the current data.
	(part 3.2) Review evidence to determine if entity responded, per part 3.1, within 90 calendar days as outlined in the requirement.

Note to Auditor: Based on the auditor’s judgment, he or she may inquire with entity’s Planning Coordinator or Transmission Planner regarding whether any such notifications were made or simply confirm with the entity under audit.

⁶ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity’s discretion.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

Auditor Notes:

R4 Supporting Evidence and Documentation

- R4.** Each Planning Coordinator shall make available models for its planning area reflecting data provided to it under Requirement R2 to the Electric Reliability Organization (ERO) or its designee to support creation of the Interconnection-wide case(s) that includes the Planning Coordinator’s planning area.

- M4.** Each Planning Coordinator shall provide evidence, such as email records or postal receipts showing recipient and date, that it has submitted models for its planning area reflecting data provided to it under Requirement R2 when requested by the ERO or its designee.

Registered Entity Response to General Compliance with this Requirement (Required):

Describe, in narrative form, how you meet compliance with this Requirement. Provide a brief explanation, in your own words, of how you meet compliance with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested⁷:

Provide the following evidence, or other evidence to demonstrate compliance. If the provisioning of this evidence is burdensome or otherwise unreasonable, contact your CEA to arrange for sampling or other means of reduction of the quantity of evidence submitted.

Evidence as outlined in M4.

Registered Entity Evidence (Required):

The following information is recommended for all evidence submitted:
File Name, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description
Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

⁷ Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity’s discretion.

**DRAFT NERC Reliability Standard Audit Worksheet
TEMPLATE**

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Compliance Assessment Approach Specific to MOD-032-1, R4

This section to be completed by the Compliance Enforcement Authority

	The RSAW Developer will complete this section with a set of detailed steps for the audit process. See the RSAW Developer’s Guide for more information.
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	(R4) Review evidence provided to determine if entity made models available to the ERO or its designee in accordance with the requirement.
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Note to Auditor: Auditor should verify with personnel within the ERO, or its designee, regarding its requests made of the entity to support creation of the Interconnection-wide case(s). If ERO personnel inform that entity provided required information, then no further testing of this requirement is necessary.

Auditor Notes:

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Revision History

Version	Date	Reviewers	Revision Description
1	10/31/2013	NERC compliance, Standards	New Document