

**Compliance Questionnaire and**

**Reliability Standard Audit Worksheet**

**PER-001-0.2 — Operating Personnel Responsibility and Authority**

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

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

**Applicable Function(s): TOP, BA**

**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** |
|  |  |  |  |
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# Reliability Standard Language

 **PER-001-0.2 — Operating Personnel Responsibility and Authority**

**Purpose:**

Transmission Operator and Balancing Authority operating personnel must have the responsibility and authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.

**Applicability:**

 Transmission Operators

 Balancing Authorities

**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. Each Transmission Operator and Balancing Authority shall provide operating personnel with the responsibility and authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.

**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)***

|  |  |
| --- | --- |
|  |   **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 PER-001-0.2 R1.**

 \_\_\_\_ Verify that the entity provides (and has provided) operating personnel with the responsibility and authority to implement real‑time actions to ensure the stable and reliable operation of the Bulk Electric System.

**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** |  |  |  |  |  |

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

**Updated Through April 15, 2013**

**PER-001-0**

**Order 693**

P 1324. The four proposed Personnel Performance, Training and Qualifications (PER) Reliability Standards are applicable to transmission operators, reliability coordinators and balancing authorities with the intention of ensuring the safe and reliable operation of the interconnected grid through the retention of suitably trained and qualified personnel in positions that can impact the reliable operation of the Bulk-Power System. The PER Reliability Standards address: (1) operating personnel responsibility and authority; (2) operating personnel training; (3) operating personnel credentials and (4) reliability coordination staffing.

P 1325. PER-001-0 requires that transmission operator and balancing authority personnel have the responsibility and authority to direct actions in real-time. PER-001-0 also requires clear documentation that operating personnel have the responsibility and authority to implement real-time action to ensure the stable and reliable operation of the Bulk-Power System.

P 1330. Accordingly, the Commission approves PER-001-0 as mandatory and enforceable. We find that the Reliability Standard is just, reasonable, not unduly discriminatory or preferential and in the public interest.

**North American Electric Reliability Corporation, Docket No. RD09-9-000, Letter Order (December 10, 2009)**

On August 12, 2009, NERC submitted a filing requesting approval of three revised versions of Commission-approved Reliability Standards, including PER-001-0.1 — Operating Personnel Responsibility and Authority. These proposed changes have been reviewed by stakeholders and were approved by the NERC Standards Committee. Note explains that on October 29, 2008, the NERC Board of Trustees gave blanket approval to any errata changes that go through the errata process and are approved by the Standards Committee. In Measure M1.1, the word “position” changed to the word “job.”

In addition, NERC notes its standard version approach recognizes standard errata changes. When a FERC-approved NERC Reliability Standard requires errata changes, NERC will not change the original version number *per se*. Rather, NERC will add a supplemental version mechanism to supplement the current version on file with FERC that takes the form of a “.1” for the first errata change, “.2” for the second, and so on. For example, for the original FERC-approved version of Reliability Standard PER-001-0, the first errata change has been designated as PER-001-0.1.

NERC’s uncontested filing is accepted pursuant to the relevant authority delegated to the Director, Office of Electric Reliability, under 18 C.F.R. § 375.303.

**North American Electric Reliability Corporation, 140 FERC ¶ 61,191 (September 13, 2012)**

On June 5, 2012, NERC submitted a filing that requested approval of errata changes to seven Reliability including:

• PER-001-0.1 Operating Personnel Responsibility and Authority – correct transposition error of two words in a Measure. NERC made a minor clarifying correction to the language in Measure M1.4 by changing the placement of the word “Interconnection.” Measure M1.4 stated: “Such actions shall include shedding of firm load to prevent or alleviate System Operating Limit Interconnection or Reliability Operating Limit violations.” NERC’s errata clarifies that the correct term intended to apply in this Measure is “Interconnection Reliability Operating Limit,” which is a defined term in the NERC Glossary of Terms Used in Reliability Standards. As a result of this change, this standard will be numbered “PER-001-0.2” on a going-forward basis. NERC has also updated the version history table to reflect this revision.

NERC’s uncontested filing is approved pursuant to the relevant authority delegated to the Director, Office of Electric Reliability, under 18 C.F.R. § 375.303, as of the date of this order [September 13, 2012].

**Revision History**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | May 6, 2010 | Craig Struck | Added revision History. Verified errata changes included. |
| 1 | December 2010 | QRSAW WG | Revised Findings Table, modified Supporting Evidence tables. |
| 1 | January 2011 | Craig Struck | Reviewed for format consistency and content. |
| 1.1 | February 2013 | Jacki Power | Reviewed for Reliability Standard errata change:RSAW title changed from PER-001-0.1 to PER-001-0.2. |
| 1.1 | April 15, 2013 | NERC Legal | Updated excerpts from FERC orders from March 31, 2009 through and including April 15, 2013. |
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