

Reliability Standard Audit Worksheet¹

TOP-003-3– Operational Reliability Data

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: [On-site Audit | Off-site Audit | Spot Check]
Names of Auditors: Supplied by CEA

Applicability of Requirements

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1													X		
R2	X														
R3													X		
R4	X														
R5	X	X	X	X	X	X						X	X		

Legend:

Text with blue background:	Fixed text – do not edit
Text entry area with Green background:	Entity-supplied information
Text entry area with white background:	Auditor-supplied information

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.

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Findings

(This section to be completed by the Compliance Enforcement Authority)

Req.	Finding	Summary and Documentation	Functions Monitored
R1			
R2			
R3			
R4			
R5			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

Registered Entity Response **(Required; Insert additional rows if needed):**

SME Name	Title	Organization	Requirement(s)

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R1 Supporting Evidence and Documentation

- R1.** Each Transmission Operator shall maintain a documented specification for the data necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. The data specification shall include, but not be limited to:
- 1.1** A list of data and information needed by the Transmission Operator to support its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including ~~sub-100 kV~~non-BES data and external network data as deemed necessary by the Transmission Operator.
 - 1.2** Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
 - 1.3** A periodicity for providing data.
 - 1.4** The deadline by which the respondent is to provide the indicated data.

M1. Each Transmission Operator shall make available its dated, current, in force documented specification for data.

Compliance Narrative (Required):

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.

Documented specification for the data necessary for the entity to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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

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Compliance Assessment Approach Specific to TOP-003-3, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Review the documented specification and verify that it met the following criteria outlined in Requirement R1:
	(Part 1.1) A list of data and information needed by the entity to support its OO Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including sub-100kV <u>non-BES</u> data and external network data as deemed necessary by the entity.
	(Part 1.2) Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
	(Part 1.3) A periodicity for providing data.
	(Part 1.4) The deadline by which the respondent is to provide the indicated data.
Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it maintained a documented specification for the data necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.	

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Balancing Authority shall maintain a documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring. The data specification shall include, but not be limited to:
- 2.1** A list of data and information needed by the Balancing Authority to support its analysis functions and Real-time monitoring.
 - 2.2** Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
 - 2.3** A periodicity for providing data.
 - 2.4** The deadline by which the respondent is to provide the indicated data.

M2. Each Balancing Authority shall make available its dated, current, in force documented specification for data.

Compliance Narrative (Required):

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Documented specification for the data necessary for entity to perform its analysis functions and Real-time monitoring.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.					
File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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

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Compliance Assessment Approach Specific to TOP-003-3, R2

This section to be completed by the Compliance Enforcement Authority

	(R2) Review the documented specification and verify that it met the following criteria outlined in Requirement R2.
	(Part 2.1) A list of data and information needed by the entity to support its analysis functions and Real-time monitoring.
	(Part 2.2) Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
	(Part 2.3) A periodicity for providing data.
	(Part 2.4) The deadline by which the respondent is to provide the indicated data.
Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it maintained a documented specification for the data necessary for it to perform its analysis functions and Real-time monitoring.	

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Transmission Operator shall distribute its data specification to entities that have data required by the Transmission Operator’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessment.
- M3.** Each Transmission Operator shall make available evidence that it has distributed its data specification to entities that have data required by the Transmission Operator’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.

Compliance Narrative (Required):

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

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, e-mail records ,etc., that demonstrate that the entity distributed its data specification to other entities that have data required by the entity’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessment.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.					
File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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

Compliance Assessment Approach Specific to TOP-003-3, R3

This section to be completed by the Compliance Enforcement Authority

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(R3) Review web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, e-mail records, etc., that demonstrate that the entity distributed its data specification to other entities that have data required by the entity's Operational Planning Analyses, Real-time monitoring, and Real-time Assessment.

Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it distributed its data specification to other entities that have data required by its Operational Planning Analyses, Real-time monitoring, and Real-time Assessment.

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each Balancing Authority shall distribute its data specification to entities that have data required by the Balancing Authority’s analysis functions and Real-time monitoring.
- M4.** Each Balancing Authority shall make available evidence that it has distributed its data specification to entities that have data required by the Balancing Authority’s analysis functions and Real-time monitoring. Such evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, or e-mail records.

Compliance Narrative (Required):

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

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, e-mail records, or other evidence outlined in Measure M4, that demonstrate the entity distributed its data specification to entities that have data required by the its analysis functions and Real-time monitoring.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.					
File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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

Compliance Assessment Approach Specific to TOP-003-3, R4

This section to be completed by the Compliance Enforcement Authority

	(R4) Review evidence that demonstrates ^{ss} that the entity distributed its data specifications to other
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entities that have data required by the entity's analysis functions and Real-time monitoring.

Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it distributed its data specification to entities that have data required by its analysis functions and Real-time monitoring.

Auditor Notes:

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R5 Supporting Evidence and Documentation

R5. Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall satisfy the obligations of the documented specifications using:

- 5.1** A mutually agreeable format
- 5.2** Mutually agreeable process for resolving data conflicts
- 5.3** A mutually agreeable security protocol

~~M5.~~ **M5.** Each Transmission Operator, Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R3 or R4 shall make available evidence that it has satisfied the obligations of the documented specifications. Such evidence could include, but is not limited to, electronic or hard copies of data transmittals or attestations of receiving entities.

Registered Entity Response (Required):

Question: Did entity have any data conflicts during the compliance monitoring period? Yes No
If Yes, describe how conflicts were resolved and provide examples. If No, proceed to the Compliance Narrative section below.

[Note: A separate spreadsheet or other document may be used. If so, provide the document reference below.]

Compliance Narrative (Required):

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

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.

Data specification(s) received by entity.

Electronic or hard copies of data transmittals showing satisfaction of the entity's obligations for the data specifications received.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s)	Description of Applicability of Document
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				or Section(s)	

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

Compliance Assessment Approach Specific to TOP-003-3, R5

This section to be completed by the Compliance Enforcement Authority

	(R5) For all data specifications received by the entity, review evidence and verify that the entity satisfied its obligations under the specification using:
	(Part 5.1) A mutually agreeable format.
	(Part 5.2) Mutually agreeable process for resolving data conflicts.
	(Part 5.3) A mutually agreeable security protocol.

Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Sampling Methodology

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

Regulatory Language

To be inserted by NERC Legal prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Selected Glossary Terms

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/20/2014	Posted for Industry Review	New Document
2	08/29/2014	NERC Compliance, NERC Standards, RSAWTF	Revisions to the standards and comments received.
<u>3</u>	<u>10/16/2014</u>	<u>NERC Compliance, NERC Standards</u>	<u>Revisions based on comments received during second comment period.</u>

¹ 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.