

Reliability Standard Audit Worksheet¹

TOP-001-3 – Transmission Operations

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	X		X		X									
R4	X	X		X		X									
R5		X		X		X							X		
R6		X		X		X							X		
R7	X												X		
R8															
R9	X												X		
R10													X		
R11	X														
R12													X		
R13													X		
R14													X		

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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	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R15													X		
R16													X		
R17	X														
R18	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

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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			
R6			
R7			
R8			
R9			
R10			
R11			
R12			
R13			
R14			
R15			
R16			
R17			
R18			

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 act, or direct others within its Transmission Operator Area to act by issuing Operating Instructions, to address its reliability functions within its Transmission Operator Area

- M1.** Each Transmission Operator shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted, or directed others to act by issuing Operating Instructions to address its reliability functions within its Transmission Operator Area.

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.

Evidence that each TOP acted, or directed others to act by issuing Operating Instructions to address its reliability functions within its TOP Area.

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-001-3, R1

This section to be completed by the Compliance Enforcement Authority

	Obtain Policy or Procedure for the entity on when and how to issue Operating Instructions. Ensure that
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	document addresses its reliability functions within its TOP Area.
	Interview TOP staff and review evidence to determine if the entity acted or directed others to act by issuing Operating Instructions to address reliability functions within its TOP Area.
Note to Auditor:	

Auditor Notes:

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R2 Supporting Evidence and Documentation

R2. Each Balancing Authority shall act, or direct others within its Balancing Authority Area to act by issuing Operating Instructions, to address its reliability functions within its Balancing Authority Area.

M2. Each Balancing Authority shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted, or directed others to act by issuing Operating Instructions to address its reliability functions within its Balancing Authority Area.

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.

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Evidence Requested ¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that each BA shall act, or direct others within its BA Area to act by issuing Operating Instructions, to address its reliability functions within its BA Area.

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-001-3, R2

This section to be completed by the Compliance Enforcement Authority

	Obtain Policy or Procedure for BA on when and how to issue Operating Instructions. Ensure that document addresses its reliability functions within its BA Area.
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	Review evidence to determine if entity acted or directed others to act, by issuing Operating Instructions to address reliability functions within its BA Area.
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Note to Auditor:

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall comply with each Operating Instruction issued by its Transmission Operator(s), unless such action cannot be physically implemented or it would violate safety, equipment, regulatory, or statutory requirements.
- M3.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence that it complied with each Operating Instruction issued by the Transmission Operator(s) unless such action could not be physically implemented or it would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. In such cases, the Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Transmission Operator’s Operating Instruction. If such a situation has not occurred, the Balancing Authority, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

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.

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Evidence Requested :

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that Each BA, GO, DP, and LSE complied with each Operating Instruction issued by its TOP(s).

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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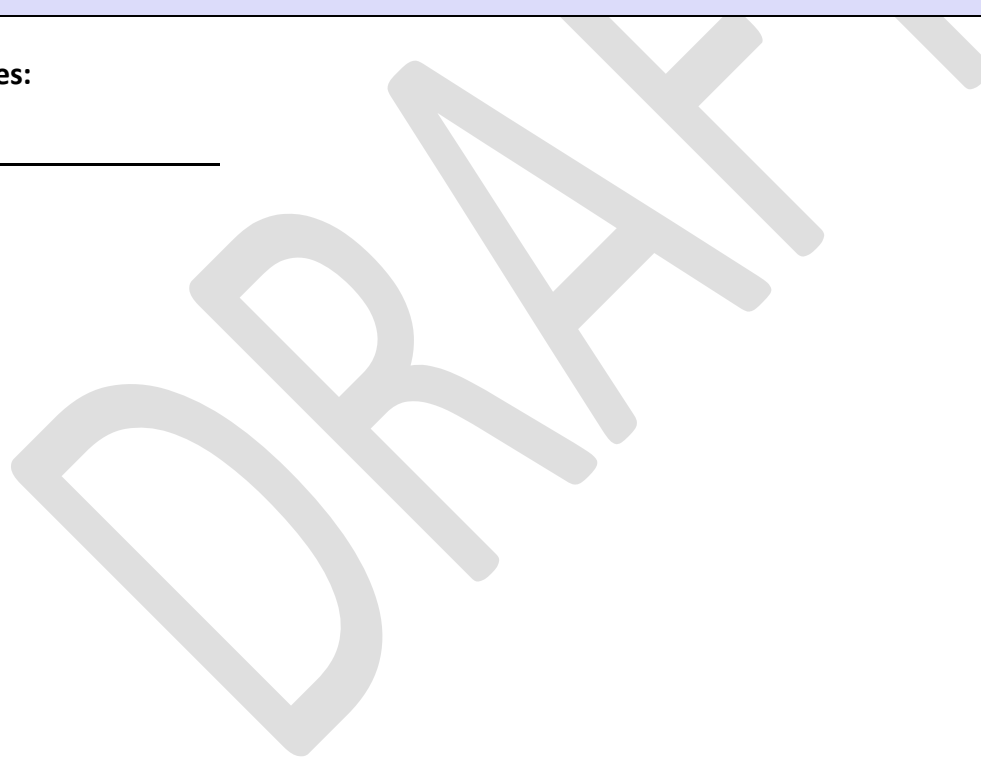
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Compliance Assessment Approach Specific to TOP-001-3, R3

This section to be completed by the Compliance Enforcement Authority

	Obtain a list with times and dates that the TOP issued Operating Instructions to the required entity.
	Review sample of communication records and operating documentation to determine if the entity complied with the Operating Instructions (if any were received).
	If the entity was unable to comply with the Operating Instructions, determine if it informed the TOP of the reason.
Note to Auditor:	

Auditor Notes:



R4 Supporting Evidence and Documentation

R4. Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall inform its Transmission Operator of its inability to perform an Operating Instruction issued by its Transmission Operator in Requirement R3 citing one of the specific reasons shown in Requirement R3.

M4. Each Balancing Authority, Generation Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence which may include, but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent evidence in electronic or hard copy format, that it informed its Transmission Operator of its inability to comply with its Operating Instruction issued in Requirement R3 citing one of the specific reasons shown in Requirement R3. If such a situation has not occurred, the Balancing Authority, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that entity informed its TOP of its inability to comply with its Operating Instruction issued in Requirement R3 citing one of the specific reasons shown in Requirement R3.

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-001-3, R4

This section to be completed by the Compliance Enforcement Authority

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	Obtain a list of Operating Instructions issued by the TOP with a note indicating whether the instruction was followed or not.
	If the documentation above is unavailable, interview entity representative to find out if the entity was unable to comply with the Operating Instructions issued by its TOP. If it was not able to comply with the Instructions, determine if Entity informed the TOP of this inability.
	Review sample of evidence to verify representative's statement.
Note to Auditor:	

Auditor Notes:

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R5 Supporting Evidence and Documentation

- R5.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall comply with each Operating Instruction issued by its Balancing Authority, unless such action cannot be physically implemented or it would violate safety, equipment, regulatory, or statutory requirements.
- M5.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence that it complied with each Operating Instruction issued by the Transmission Operator(s) unless such action could not be physically implemented or it would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. In such cases, the Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Balancing Authority’s Operating Instruction. If such a situation has not occurred, the Transmission Operator, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that entity (TOP, GO, DP, and LSE) complied with each Operating Instruction issued by its BA.

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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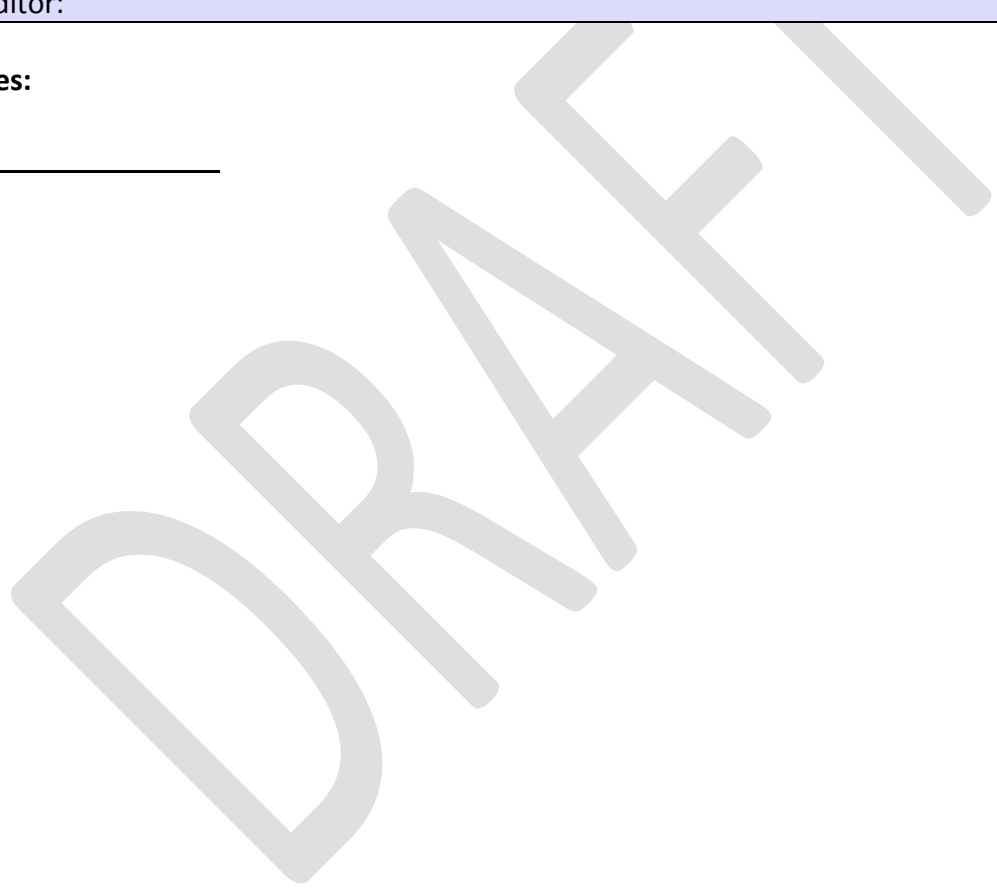
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Compliance Assessment Approach Specific to TOP-001-3, R5

This section to be completed by the Compliance Enforcement Authority

	Obtain a list of Operating Instructions issued by the BA with a note indicating whether the instruction was followed or not.
	If the documentation above is unavailable, interview an entity representative to find out if the entity received any Operating Instructions from its BA.
	Review sample of documentary evidence (outlined in Measure M5) to verify if the entity complied with the Operating Instructions from its BA.
	If the entity was unable to comply with the Operating Instructions, did it inform the BA of the reason (it would violate safety, equipment, regulatory, or statutory requirements).
Note to Auditor:	

Auditor Notes:



R6 Supporting Evidence and Documentation

R6. Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall inform its Balancing Authority of its inability to perform an Operating Instruction issued by that Balancing Authority.

M6. Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence which may include, but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent evidence in electronic or hard copy format, that it informed its Balancing Authority of its inability to comply with its Operating Instruction. If such a situation has not occurred, the Balancing Authority, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

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 ¹:

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

Evidence that an entity informed its BA of its inability to comply with its Operating Instruction, if the entity was unable to comply with the Operating Instruction.

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-001-3, R6

This section to be completed by the Compliance Enforcement Authority

If applicable, review documentation (audio recordings, operator logs, etc...) of entity response to BA

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	after it failed to perform an Operating Instruction.
	If the documentation above is unavailable, interview an entity representative to determine if an entity informed its BA of the inability to perform an Operating Instruction issued by that BA.
Note to Auditor:	

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Transmission Operator and Balancing Authority shall assist Transmission Operators, if requested, provided that the requesting entity has implemented its emergency procedures, unless such actions cannot be physically implemented or would violate safety, equipment, regulatory, or statutory requirements.
- M7.** Each Transmission Operator and Balancing Authority shall make available upon request, evidence that requested assistance was provided to other Transmission Operators unless such actions cannot be physically implemented or would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. If no request for assistance was received, the Transmission Operator may provide an attestation.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated operator logs, voice records, electronic communications, etc.

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-001-3, R7

This section to be completed by the Compliance Enforcement Authority

	If applicable, obtain a list of requests received by the entity that originated from a TOP that has implemented its emergency procedures.
	If requested, and the entity was unable to provide assistance to the TOP, review evidence to determine if the entity doing so would violate safety, equipment, regulatory, or statutory requirements.
	Interview an entity representative to determine if the TOP and BA assisted other TOPs in response to a request for assistance from another TOP in an emergency.
Note to Auditor:	

Auditor Notes:

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R8 Supporting Evidence and Documentation

- R8.** Each Transmission Operator shall inform its Reliability Coordinator, impacted Balancing Authorities, and impacted Transmission Operators of its actual or expected operations that result in, or could result in, an Emergency. Examples of such operations are relay or equipment failures; and changes in generation, Transmission, or Load.
- M8.** Each Transmission Operator shall make available upon request, evidence that it informed its Reliability Coordinator and other Transmission Operators of its actual or expected operations that result in, or could result in, an Emergency. Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence. If no Emergency has occurred, the Transmission Operator may provide an attestation.

Registered Entity Response (Required):

Question: Did you have any Emergencies during the compliance monitoring period?

Yes No

If Yes, provide a list of such Emergencies.

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

Evidence Requested:

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

Documentary evidence (such as outlined in M8) to support that the TOP informed its RC, impacted BAs, and impacted TOPs of the actual or expected operations that result in, or could result in, an Emergency.

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-001-3, R8

This section to be completed by the Compliance Enforcement Authority

	Obtain a list of dates and times that the TOP experienced operational conditions that that could or did result in an Emergency.
	For all or a sample of Emergencies, review documentary evidence to determine if TOP informed its RC, impacted BAs, and impacted TOPs of the actual or expected operations that result in, or could result in, an Emergency.
	If the documentation requested above is unavailable, for all or a sample of Emergencies, interview entity representatives to determine if it informed its RC, impacted BAs, and impacted TOPs of its operations that resulted in an Emergency.
Note to Auditor:	

Auditor Notes:

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R9 Supporting Evidence and Documentation

R9. Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator and negatively impacted interconnected NERC registered entities of outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels between the affected entities.

M9. Each Balancing Authority and Transmission Operator shall make available upon request, evidence that it notified its Reliability Coordinator and negatively impacted interconnected NERC registered entities of planned outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels . Such evidence could include, but is not limited to, dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence. If such a situation has not occurred, the Balancing Authority or Transmission Operator may provide an attestation.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M9) that demonstrates that entity notified its RC and negatively impacted interconnected NERC registered entities of planned outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels.

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-001-3, R9

This section to be completed by the Compliance Enforcement Authority

	Obtain a list of outages of equipment specified in R9 and who the outage impacted. Verify notification was made to the RC and negatively impacted registered entity(s).
	If the documentation above is not available, interview an entity representative to determine if BA and TOP notified its RC and negatively impacted interconnected NERC registered entities of outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels between the affected entities.
Note to Auditor:	

Auditor Notes:

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R10 Supporting Evidence and Documentation

R10. Each Transmission Operator shall monitor Facilities within its Transmission Operator Area and neighboring Transmission Operator Areas to maintain reliability within its Transmission Operator Area including sub-100 kV facilities needed to maintain reliability and the status of Special Protection Systems within its Transmission Operator Area.

M10. Each Transmission Operator shall have, and provide upon request, evidence that could include, but is not limited to, Energy Management System description documents, computer printouts, SCADA data collection, or other equivalent evidence that will be used to confirm that it monitors Facilities within its Transmission Operator Area and neighboring Transmission Operator Areas to maintain reliability within its Transmission Operator Area including sub-100 kV facilities needed to maintain reliability and the status of Special Protection Systems within its Transmission Operator Area.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M10) that demonstrates that TOP monitored Facilities within its TOP Area and neighboring TOP Areas to maintain reliability within its TOP Area including sub-100 kV facilities needed to maintain reliability and the status of Special Protection Systems within its TOP Area.

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-001-3, R10

This section to be completed by the Compliance Enforcement Authority

	Obtain a list of all Facilities as outlined in R10. Verify a sample of the Facilities were monitored based on the evidence provided.
	If documentation is not available, interview a entity representatives to determine if they monitored Facilities within its TOP Area and neighboring TOP Areas to maintain reliability within its TOP Area including sub-100 kV facilities needed to maintain reliability and the status of Special Protection Systems within its TOP Area.
Note to Auditor:	

Auditor Notes:

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R11 Supporting Evidence and Documentation

R11. Each Balancing Authority shall monitor its Balancing Authority Area, including the status of Special Protection Systems that impact generation or Load, to ensure that it is able to perform its reliability functions.

M11. Each Balancing Authority shall have, and provide upon request, evidence that could include, but is not limited to, system description documents, computer printouts, SCADA data collection, or other equivalent evidence that will be used to confirm that it monitors its Balancing Authority Area, including the status of Special Protection Systems that impact generation or Load, to ensure that it is able to perform its reliability functions.

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.

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Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M11) that demonstrates that BA monitors its BA Area.

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-001-3, R11

This section to be completed by the Compliance Enforcement Authority

	Review the documentation provided to verify that the BA Areas was monitored.
	If documentation is unavailable, interview a entity representatives to determine if BA monitored its BA

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	Area, including the status of Special Protection Systems that impact generation or Load, to ensure that it is able to perform its reliability functions.
Note to Auditor:	

Auditor Notes:

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R12 Supporting Evidence and Documentation

R12. Each Transmission Operator shall not operate outside any identified Interconnection Reliability Operating Limit (IROL) for a continuous duration exceeding its associated IROL T_v.

M12. Each Transmission Operator shall make available evidence for any occasion in which it has operated outside any identified Interconnection Reliability Operating Limit (IROL) for a continuous duration exceeding its associated IROL T_v. Such evidence could include but is not limited to dated computer logs or reports in electronic or hard copy format specifying the date, time, duration, and details of the excursion. If such a situation has not occurred, the Transmission Operator may provide an attestation that an event has not occurred.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M12) that demonstrates that entity did not operate outside any identified IROL for a continuous duration exceeding its associated IROL T _v .

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-001-3, R12

This section to be completed by the Compliance Enforcement Authority

	Review attestations, if applicable, that demonstrates that the entity did not operate outside any
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	identified Interconnection Reliability Operating Limit (IROL) for a continuous duration exceeding its associated IROL T _v .
Note to Auditor:	

Auditor Notes:

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R13 Supporting Evidence and Documentation

R13. Each Transmission Operator shall perform a Real-time Assessment at least once every 30 minutes.

M13. Each Transmission Operator shall have, and make available upon request, evidence to show it conducted a Real-Time Assessment at least once every 30 minutes. This evidence could include, but is not limited to, dated computer logs showing times the assessment was conducted, dated checklists, or other evidence.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (as outlined in M13) that demonstrates that TOP performed a Real-time Assessment at least once every 30 minutes.

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-001-3, R13

This section to be completed by the Compliance Enforcement Authority

	Review documentary evidence that demonstrates that TOP performed a Real-time Assessment at least once every 30 minutes.
	If documentation is unavailable, interview entity representatives to understand its process for determining if it performed a Real-time Assessment at least once every 30 minutes.

Note to Auditor:

Auditor Notes:

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R14 Supporting Evidence and Documentation

R14. Each Transmission Operator shall initiate its Operating Plan to mitigate an SOL exceedance identified as part of its Real-time monitoring or Real-time Assessment.

M14. Each Transmission Operator shall have evidence that it initiated its Operating Plan for mitigating SOL exceedances identified as part of its Real-time monitoring or Real-time Assessments. This evidence could include, but is not limited to, dated computer logs showing times the Operating Plan was initiated, dated checklists, or other evidence.

Registered Entity Response (Required):

Question: Did entity have any SOL exceedances during the compliance monitoring period?

Yes No

If Yes, provide a list of such exceedances.

[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 Requested:

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

Documentary evidence (as outlined in M14) that demonstrates that TOP initiated its Operating Plan to mitigate an SOL exceedance identified as part of its Real-time monitoring or 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):

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Compliance Assessment Approach Specific to TOP-001-3, R14

This section to be completed by the Compliance Enforcement Authority

	For all or a sample of SOL exceedances, review documentary evidence that demonstrates that entity initiated its Operating Plan to mitigate an SOL exceedance identified as part of its Real-time monitoring or Real-time Assessment.
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Note to Auditor:

Auditor Notes:

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R15 Supporting Evidence and Documentation

- R15.** Each Transmission Operator shall inform its Reliability Coordinator of its actions to return the system to within limits when an SOL has been exceeded.
- M15.** Each Transmission Operator shall make available evidence that it informed its Reliability Coordinator of actions taken to return the system to within limits when an SOL was exceeded. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, or dated computer printouts. If such a situation has not occurred, the Transmission Operator may provide an attestation.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M15) that demonstrates that TOP informed its RC of its actions to return the system to within limits when an SOL has been exceeded.

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-001-3, R15

This section to be completed by the Compliance Enforcement Authority

	For all or a sample of SOL exceedances, review documentary evidence that demonstrates the entity informed its RC of its actions to return the system to within limits when an SOL has been exceeded.
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Note to Auditor:

Auditor Notes:

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R16 Supporting Evidence and Documentation

R16. Each Transmission Operator shall provide its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.

M16. Each Transmission Operator shall have, and provide upon request, evidence that could include, but is not limited to, a documented procedure or equivalent evidence that will be used to confirm that the Transmission Operator has provided its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.

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.
Documentary evidence (as outlined in M16) that demonstrates that entity provided its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.

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-001-3, R16

This section to be completed by the Compliance Enforcement Authority

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	Review documentary evidence, such as job descriptions or desk procedure(s), that demonstrates the entity provided its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.
	Interview an entity representatives to determine if TOP provided its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.
Note to Auditor: This transfer of authority can also be confirmed during Operator interview questions.	

Auditor Notes:

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R17 Supporting Evidence and Documentation

R17. Each Balancing Authority shall provide its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.

M17. Each Balancing Authority shall have, and provide upon request, evidence that could include, but is not limited to, a documented procedure or equivalent evidence that will be used to confirm that the Balancing Authority has provided its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M17) that demonstrates that BA provided its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.

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-001-3, R17

This section to be completed by the Compliance Enforcement Authority

	Review documentary evidence that demonstrates that BA provided its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.
	Interview an entity representative to determine if BA provided its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.

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Note to Auditor: This transfer of authority can also be confirmed during Operator interview questions.	

Auditor Notes:

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R18 Supporting Evidence and Documentation

R18. Each Transmission Operator, Balancing Authority, and Generator Operator shall always operate to the most limiting parameter in instances where there is a difference in derived limits.

M18. Each Transmission Operator, Balancing Authority, and Generator Operator shall have, and provide upon request, evidence that could include, but is not limited to, operator logs, voice recordings, electronic communications, or equivalent evidence that will be used to determine if it operated to the most limiting parameter in instances where there is a difference in derived limits.

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.

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Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M18) that demonstrates that TOP, BA, and GO always operate to the most limiting parameter in instances where there is a difference in derived limits.

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-001-3, R18

This section to be completed by the Compliance Enforcement Authority

	If there was a difference in derived limits, obtain a list of the most limiting elements for Facilities
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	where there was a difference in derived limits during the audit period.
	Review documentary evidence that demonstrates that entity always operates to the most limiting parameter in instances where there is a difference in derived limits.
	Interview entity representatives to determine their process for for always operating to the most limiting parameter in instances where there is a difference in derived limits.
Note to Auditor:	

Auditor Notes:

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Additional Information:

Reliability Standard

The full text of TOP-001-3 may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

Selected Glossary Terms

Please refer to the NERC web site for the current enforceable terms.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/20/2014	Posted for Industry Review	New Document

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.

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