

Reliability Standard Audit Worksheet¹

IRO-017-1 – Outage Coordination

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 *{RSAW developer to insert correct applicability}*

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

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 Reliability Coordinator shall develop, implement, and maintain an outage coordination process for generation and Transmission outages within its Reliability Coordinator Area. The outage coordination process shall:
- 1.1** Identify applicable roles and reporting responsibilities including:
 - 1.1.1 Development and communication of outage schedules.
 - 1.1.2 Assignment of coordination responsibilities for outage schedules between Transmission Operator(s) and Balancing Authority(s).
 - 1.2** Specify outage submission timing requirements.
 - 1.3** Define the process to evaluate the impact of Transmission and generator outages within its Wide Area.
 - 1.4** Define the process to coordinate the resolution of identified outage conflicts with its Transmission Operators and Balancing Authorities, and other Reliability Coordinators.
- M1.** Each Reliability Coordinator shall make available its dated, current, in force outage coordination process for generation and Transmission outages within its Reliability Coordinator 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 Requested:

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

Dated current outage coordination process for generation and Transmission outages within its Reliability Coordinator 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 IRO-017-1, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Determine if the entity developed, implemented, and maintained an outage coordination process for generation and Transmission outages within its <u>Reliability Coordinator that: Area by identifying applicable roles and reporting responsibilities including development and communication of outage schedules and assignment of coordination responsibilities for outage schedules between Transmission Operators and Balancing Authorities.</u>
	<u>(Part 1.1) Identified applicable roles and reporting responsibilities including:</u>
	<u>(Part 1.1.1) Development and communication of outage schedules and:</u>
	<u>(Part 1.1.2) Assignment of coordination responsibilities for outage schedules between Transmission Operators and Balancing Authorities.</u>
	<u>(Part 1.2) Determine if the entity's outage coordination process specified outage submission timing requirements.Specified outage submission timing requirements</u>
	<u>(Part 1.3) Determine if the entity's outage coordination process defined the process to evaluate the impact of Transmission and generator outages within its Wide Area.Defined the process to evaluate the <u>impact of Transmission and generator outages within its Wide Area</u></u>
	<u>(Part 1.4) Determine if the entity's outage coordination process definedDefined the process to coordinate the resolution of identified outage conflicts with its Transmission Operators and Balancing Authorities, and other Reliability Coordinators.</u>
Note to Auditor:	

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Transmission Operator and Balancing Authority shall perform the functions specified in its Reliability Coordinator outage coordination process.
- M2.** Each Transmission Operator and Balancing Authority shall provide evidence upon request that it performed the functions specified in its Reliability Coordinator outage coordination process. 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 Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Reliability Coordinator outage coordination process for the entity.
Documentary evidence such as web postings (with an electronic notice of posting), dated operator logs, voice recordings, postal receipts, and e-mails that it followed its Reliability Coordinator outage coordination process.

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 IRO-017-1, R2

This section to be completed by the Compliance Enforcement Authority

	(R2) For all, or a sample of, BES events involving outages, review evidence to verify <u>the</u> entity performed
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functions specified in its Reliability Coordinator outage coordination process.

Note to Auditor: Auditors are advised to monitor compliance with Requirement R2 during events, due to the importance of compliance in such instances. Auditors can obtain a population of events for sampling from NERC's, or the Regional Entity's, records of mandatory event reports, other information available at the Regional Entities, or a query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity's system occurring during the compliance monitoring period. ~~Auditors can obtain a population of events for sampling from NERC's Event Database, information available at the Regional Entities, or query of the entity. Auditors shall monitor compliance during the most critical events on the entity's system occurring during the compliance monitoring period, generally category 2 events or higher.~~

Auditor Notes:

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R3 Supporting Evidence and Documentation

R3. Each Planning Coordinator and Transmission Planner shall provide its Planning Assessment to impacted Reliability Coordinators.

M3. Each Planning Coordinator and Transmission Planner shall provide evidence upon request showing that it provided its Planning Assessment to impacted Reliability Coordinators. 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 Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence such as web postings, dated operator logs, voice recordings, postal receipts, and e-mails that the entity provided its Planning Assessment to impacted Reliability Coordinators.

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 IRO-017-1, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) Review documentary evidence to determine if the entity provided its Planning Assessment to all impacted Reliability Coordinators.
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Note to Auditor:

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Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each Planning Coordinator and Transmission Planner shall jointly develop solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-Term Transmission Planning Horizon.
- M4.** Each Planning Coordinator, and Transmission Planner shall provide evidence upon request showing that it jointly developed solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-term Transmission Planning Horizon. 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.
Evidence such as web postings, dated operator logs, voice recordings, postal receipts, or e-mail records (in accordance with Measure M4) that the entity jointly developed solutions with its respective Reliability Coordinator(s) for identified issues or conflicts with planned outages in its Planning Assessment for the Near-term Transmission Planning Horizon.

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 IRO-017-1, R4

This section to be completed by the Compliance Enforcement Authority

(R4) Review evidence to verify the entity jointly developed solutions with its respective Reliability Coordinator for identified issues or conflicts with planned outages in its Planning Assessment for the Near-Term Transmission Planning Horizon.

Note to Auditor: In cases where no issues or conflicts are identified, the aAuditor should consider obtaining corroborating evidence from the entity's Reliability Coordinator.

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	Initial Posting	New Document
2	08/29/2014	NERC Compliance, NERC Standards, RSAWTF	Revisions for updated standard language and comments received during comment period.
<u>3</u>	<u>10/16/2014</u>	<u>NERC Compliance,</u> <u>NERC Standards</u>	<u>Revisions for comments received during second comment period.</u>

ⁱ 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.