

Reliability Standard Audit Worksheet¹

TOP-002-4 – Operations Planning

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	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1													X		
R2													X		
R3													X		
R4	X														
R5	X														
R6													X		
R7	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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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			

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 have an Operational Planning Analysis that will allow it to assess whether its planned operations for the next day within its Transmission Operator Area will exceed any of its System Operating Limits (SOLs).
- M1.** Each Transmission Operator shall have evidence of a completed Operational Planning Analysis. Such evidence could include but is not limited to dated power flow study results.

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 power flow study results.

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-002-4, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Review documentary evidence that demonstrates that the entity has an Operational Planning Analysis that will allow it to assess whether its planned operations for the next-day within its TOP Area will exceed any of its System Operating Limits (SOLs). Walkthrough a sample of OPAs with <u>the</u> entity.
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Note to Auditor: In addition to a review of the documentary evidence, the auditor may conduct an interview with an entity representative to review the Operational Planning Analysis and the process for assessing whether its planned operations for the next-day within its Transmission Operator Area will exceed any of its System Operating Limits (SOLs).

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Transmission Operator shall have an Operating Plan(s) for next-day operations to address potential System Operating Limit (SOL) exceedances identified as a result of its Operational Planning Analysis as required in Requirement R1.
- M2.** Each Transmission Operator shall have evidence that it has an Operating Plan to address potential System Operating Limits (SOLs) identified as a result of the Operational Planning Analysis performed in Requirement R1. Such evidence could include but it is not limited to plans for precluding operating in excess of each SOL that was identified as a result of the Operational Planning Analysis.

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.
Plans as noted in Measure M2.

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-002-4, R2

This section to be completed by the Compliance Enforcement Authority

	(R2) Review evidence demonstrating that the entity’s Operating Plan addressed potential SOLs that were identified as a result of the Operational Planning Analysis it performed in Requirement R1.
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Walkthrough a sample of Operating Plans to verify they addressed SOL exceedances as described in Requirement R2.

Note to Auditor: In addition to a review of the documentary evidence, the auditor may conduct interview(s) with an entity representative(s) to understand how the Operating Plan addresses all potential SOLs that were identified as a result of the Operational Planning Analysis the entity performed in Requirement R1.

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Transmission Operator shall notify impacted entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in those plan(s).
- M3.** Each Transmission Operator shall have evidence that it notified impacted entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in the plan(s). Such evidence could include but is not limited to dated operator logs, 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.
Dated operator logs, email, correspondence, or other evidence, that demonstrates that the entity notified impacted entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in those plan(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):

Compliance Assessment Approach Specific to TOP-002-4, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) Review logs or correspondence that demonstrates that the entity notified impacted entities identified in the Operating Plan(s) cited in Requirement R2 as to their role in those plan(s).
Note to Auditor: In addition to a review of the documentary evidence, the auditor may conduct interviews	

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with an entity representative(s) to understand the notification process for impacted entities identified in the Operating Plan(s) cited in Requirement R2.

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each Balancing Authority shall have an Operating Plan(s) for the next-day that addresses:
- 4.1** Expected generation resource commitment and dispatch
 - 4.2** Interchange scheduling
 - 4.3** Demand patterns
 - 4.4** Capacity and energy reserve requirements, including deliverability capability
- M4.** Each Balancing Authority shall have evidence that it has developed a plan to operate within the criteria identified. Such evidence could include but is not limited to dated operator logs 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.
 Entity's Operating Plan(s) for the next-day.

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-002-4, R4

This section to be completed by the Compliance Enforcement Authority

(R4) Review evidence demonstrating the entity developed a plan to operate within the criteria

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	identified in R4.
	(R4) Review the Operating Plan(s) for the next-day and ensure that it addresses:
	(Part 4.1) expected generation resource commitment and dispatch.
	(Part 4.2) Interchange scheduling.
	(Part 4.3) demand patterns.
	(Part 4.4) capacity and energy reserve requirements, including deliverability capability.
Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if the BA has developed a plan to operate within the criteria identified in R4.	

Auditor Notes:

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R5 Supporting Evidence and Documentation

- R5.** Each Balancing Authority shall notify impacted entities identified in the Operating Plan(s) cited in Requirement R4 as to their role in those plan(s).
- M5.** Each Balancing Authority shall have evidence that it notified impacted entities identified in the plan(s) cited in Requirement R4 as to their role in the plan(s). Such evidence could include but is not limited to dated operator logs 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.
Dated operator logs or e-mail correspondence that demonstrates that the entity notified impacted entities identified in the Operating Plan(s) cited in Requirement R4 as to their role in those plan(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):

Compliance Assessment Approach Specific to TOP-002-4, R5

This section to be completed by the Compliance Enforcement Authority

	(R5) Review logs or correspondence that demonstrates that the entity notified impacted entities identified in the Operating Plan(s) cited in Requirement R4 as to their role in those plan(s).
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Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it notified impacted entities identified in the Operating Plan(s) cited in Requirement R4 as to their role in those plan(s). Auditors should note impacted entities from review of Operating Plan(s) in Requirement R4 and verify notification occurred for Requirement R5.

Auditor Notes:

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R6 Supporting Evidence and Documentation

- R6.** Each Transmission Operator shall provide its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.
- M6.** Each Transmission Operator shall have evidence that it provided its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator. Such evidence could include but is not limited to dated operator logs 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.
Dated operator logs or e-mail correspondence that demonstrates that the entity provided its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.

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-002-4, R6

This section to be completed by the Compliance Enforcement Authority

	(R6) Review correspondence that demonstrates that the entity provided its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.
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Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity representatives to determine if it provided its Operating Plan(s) for next-day operations identified in Requirement R2 to its Reliability Coordinator.

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Balancing Authority shall provide its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator.
- M7.** Each Balancing Authority shall have evidence that it provided its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator. Such evidence could include but is not limited to dated operator logs 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.
Correspondence that demonstrates that the entity provided its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator.

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-002-4, R7

This section to be completed by the Compliance Enforcement Authority

	(R7) Review logs or correspondence that demonstrates that the entity provided its Operating Plan(s) for next-day operations identified in Requirement R4 to its Reliability Coordinator.
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Note to Auditor: In addition to a review of the documentary evidence, the auditor may interview entity

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representatives to review the process for providing its Operating Plan(s) for next-day operations identified in Requirement R4 to its 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, 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.