

Reliability Standard Audit Worksheet¹

IRO-014-3 – Coordination Among Reliability Coordinators

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						
R6									X						
R7									X						
R8									X						
R9									X						

Legend:

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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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			

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 have Operating Procedures, Operating Processes, or Operating Plans, for activities that require notification or coordination of actions that may impact other Reliability Coordinator Areas, to support Interconnection reliability. These Operating Procedures, Operating Processes, or Operating Plans shall include, but are not limited to, the following:
 - R1.1** Communications and notifications, and the process to follow in making those notifications.
 - R1.2** Energy and capacity shortages.
 - R1.3** Control of voltage, including the coordination of reactive resources.
 - R1.4** Exchange of information including planned and unplanned outage information to support its Operational Planning Analyses and Real-time Assessments.
 - R1.5** Authority to act to prevent and mitigate system conditions which could adversely impact other Reliability Coordinator Areas.
 - R1.6** Provisions for weekly conference calls.

- M1.** Each Reliability Coordinator shall have available the latest approved documented version of its Operating Procedures, Operating Processes, and Operating Plans that require notifications, or the coordination of actions among impacted Reliability Coordinators for conditions or activities that impact other Reliability Coordinator Areas. This documentation shall include dated, current in force documentation with the specified elements.

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.
Operating Procedures that require notification or the coordination of actions among impacted RCs for conditions or activities that impact other RC Areas.

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

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

Compliance Assessment Approach Specific to IRO-014-3, R1

This section to be completed by the Compliance Enforcement Authority

	Interview RC's management to determine how RC documents its Procedures and Plans for activities that require notification or coordination of actions that may impact other RC Areas, to support Interconnection reliability.
	Review documented coordination procedures and confirm that the Operating Plans cover the following topics: <ul style="list-style-type: none">• communications and notifications procedures• energy and capacity shortages• control of voltage, including the coordination of reactive resources• exchange of information including planned and unplanned outage information to support its Operational Planning Analyses and Real-time Assessments.• Authority to act to prevent and mitigate system conditions which could adversely impact other RC Areas.• Provisions for weekly conference calls.
Note to Auditor:	

Auditor Notes:

R2 Supporting Evidence and Documentation

R2. Each Reliability Coordinator shall maintain its Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1 as follows:

R2.1 Review and update annually with no more than 15 months between reviews.

R2.2 Obtain written agreement from all of the Reliability Coordinators required to take the indicated action(s) for each update.

R2.3 Distribute to all Reliability Coordinators that are required to take the indicated action(s) within 30 days of an update.

M2. Each Reliability Coordinator shall have dated evidence that the Operating Procedures, Operating Processes, and Operating Plans that require one or more other Reliability Coordinators to take action were maintained as specified. This evidence may include, but is not limited to, dated documentation with confirmation of receipt, dated notice of acceptance or agreement to take specified actions, or dated electronic communications with confirmation of receipt and acceptance or agreement to take specified actions.

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 of annual review of entity's operating procedures identified in Requirement R1.
If the most recent changes to the Operating Procedures required one or more other RCs to take action, provide evidence that:
Entity received written agreement from all other RC's required to take action RC required to take action received an update within 30 days of an update.

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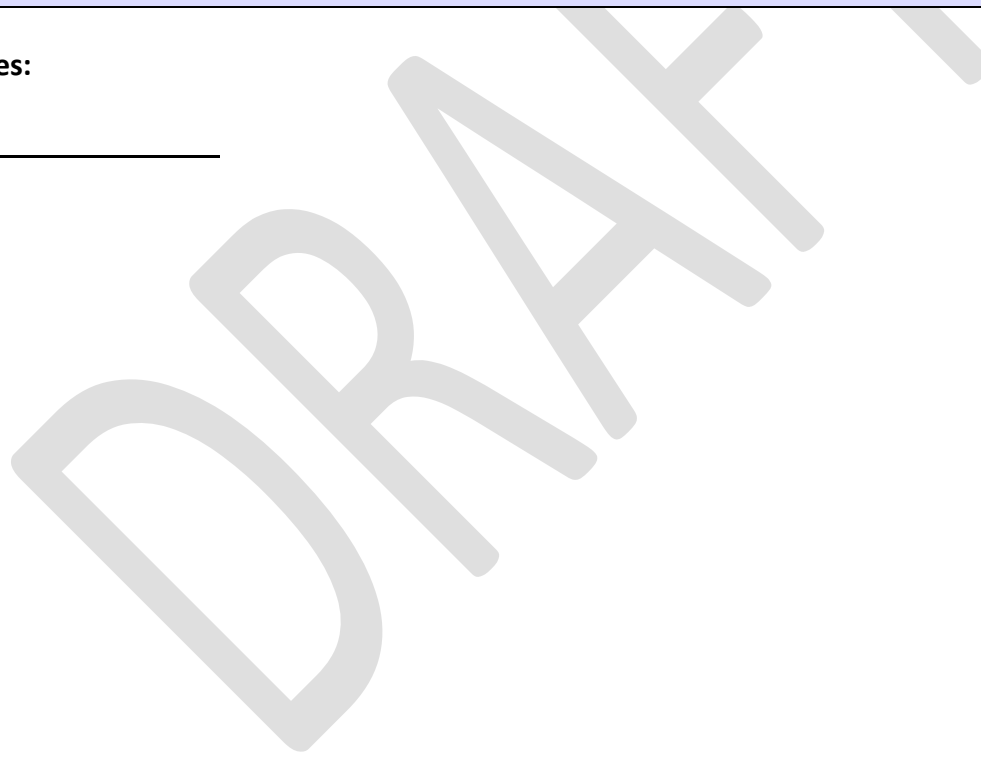
Audit Team Evidence Reviewed (This section to be completed by the Compliance Enforcement Authority):

Compliance Assessment Approach Specific to IRO-014-3, R2

This section to be completed by the Compliance Enforcement Authority

	Review evidence that entity reviewed and maintained its Operating Procedures identified in Requirement R1 annually, with no more than 15 months between reviews.
	Review evidence that the entity obtained written agreement from all of the RCs required to take the indicated action for each update.
	Review evidence that the update was distributed to all RC's required to take action within 30 days of the update.
Note to Auditor: Annually, in this context, means at least once per calendar year with no more than 15 months between reviews.	

Auditor Notes:



R3 Supporting Evidence and Documentation

R3. Each Reliability Coordinator shall make notifications and exchange reliability–related information with other impacted Reliability Coordinators in accordance with the Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.

M3. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it made notifications and exchanged reliability–related information with impacted Reliability Coordinators in accordance with the Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.

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.
Documentation that evidences that RC exchanged reliability-related information with other impacted RCs in accordance with the Operating procedures identified in Requirement R1.

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-014-3, R3

This section to be completed by the Compliance Enforcement Authority

	Review evidence to determine if the entity made notifications and exchanged reliability-related
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	information with any other impacted RCs in accordance with the Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.
Note to Auditor:	

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each Reliability Coordinator shall participate in agreed upon conference calls, at least weekly (per Requirement R1, Part 1.6) with other Reliability Coordinators within the same Interconnection.

- M4.** Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it participated in agreed upon (at least weekly) conference calls with other Reliability Coordinators within the same Interconnection.

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.
Operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it participated in agreed upon (at least weekly) conference calls with other RCs within the same Interconnection.

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-014-3, R4

This section to be completed by the Compliance Enforcement Authority

	Review sample of documentary evidence to determine if RC participated in agreed upon conference calls, at least weekly, with other Reliability Coordinators within the same Interconnection.
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Note to Auditor: This requirement will likely be NA for those Interconnections with one sole RC.

Auditor Notes:

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R5 Supporting Evidence and Documentation

R5. Each Reliability Coordinator, upon identification of an Emergency, shall notify other impacted Reliability Coordinators.

M5. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to, operator logs, voice recordings, or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it, upon identification of an Emergency, notified other impacted Reliability Coordinators.

Registered Entity Response (Required):

Question: Did entity 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.]

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.

Operator logs, voice recordings, or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it, upon identification of an Emergency, notified other impacted RCs.

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.

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

Compliance Assessment Approach Specific to IRO-014-3, R5

This section to be completed by the Compliance Enforcement Authority

	For all or a sample of Emergencies, review evidence to determine if entity, upon identification of an Emergency, notified other impacted RCs.
Note to Auditor:	

Auditor Notes:

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R6 Supporting Evidence and Documentation

R6. Each impacted Reliability Coordinator shall operate as though the problem exists during each instance where Reliability Coordinators disagree on the existence of an Emergency.

M6. Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it operated as though an Emergency existed during each instance where Reliability Coordinators disagreed on the existence of an Emergency.

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.
Operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it operated as though an Emergency existed during each instance where RCs disagreed on the existence of 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):

Compliance Assessment Approach Specific to IRO-014-3, R6

This section to be completed by the Compliance Enforcement Authority

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	Obtain a list of instances where the entity being assessed has been informed of an Emergency by another RC.
	For all or a sample of notification of System Emergencies on entity's system, interview entity representatives to determine if they disagreed on the existence of an Emergency.
	For all or a sample of notification of System Emergencies Review evidence to verify the RC being assessed recognized and operated as though the problem existed during each Emergency identified by another RC..
<p>Note to Auditor: Auditor should use their knowledge and experience regarding emergencies on the entity's system to identify instances for compliance assessment/audit testing. Such knowledge and experience can be obtained from inquiry of other RCs, general knowledge of the Compliance Enforcement Authority, or inquiry of the entity under audit.</p> <p>It should be understood the RC which declared the Emergency would consider the Emergency as valid. The focus of this assessment is to determine if the RC being notified regardless of actual agreement operates as though the Emergency exists.</p>	

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Reliability Coordinator that identified an Emergency shall develop an action plan to resolve the Emergency during those instances where Reliability Coordinators disagree on the existence of an Emergency.

- M7.** Each Reliability Coordinator that identified an Emergency shall have evidence that it developed an action plan during those instances where Reliability Coordinators disagreed on the existence of an Emergency. This evidence may include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation.

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.
Action plans during those instances where RCs disagreed on the existence of 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):

Compliance Assessment Approach Specific to IRO-014-3, R7

This section to be completed by the Compliance Enforcement Authority

	For all or a sample of Emergencies where RCs disagree, review evidence to determine if the entity developed an action plan to resolve an Emergency that it identified during those instances where other applicable RCs disagree on the existence of the Emergency.
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Note to Auditor: Auditor should utilize information obtained in auditing Requirement R6, when auditing

Requirement R7.

Auditor Notes:

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R8 Supporting Evidence and Documentation

R8. Each impacted Reliability Coordinator shall implement the action plan developed by the Reliability Coordinator that identified the Emergency during those instances where Reliability Coordinators disagree on the existence of an Emergency, unless such actions would violate safety, equipment, regulatory, or statutory requirements.

M8. Each impacted Reliability Coordinator shall have and provide evidence which may include, but is not limited to, operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it implemented the action plan developed by the Reliability Coordinator who has identified the Emergency when Reliability Coordinators disagree on the existence of an Emergency unless such actions would have violated safety, equipment, regulatory, or statutory requirements.

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.
Operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it implemented the action plan developed by the RC.

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-014-3, R1

This section to be completed by the Compliance Enforcement Authority

For all or a sample of Emergencies where RCs disagree, determine if the entity implemented the action plan developed by the RC that identified the Emergency during those instances where RCs disagree on the existence of an Emergency, unless such actions would violate safety, equipment, regulatory, or statutory requirements.

Note to Auditor: Auditor should utilize information obtained in auditing Requirement R6 and R7, when auditing Requirement R8.

Auditor Notes:

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R9 Supporting Evidence and Documentation

- R9.** Each Reliability Coordinator shall assist Reliability Coordinators, if requested, provided that the requesting entity has implemented its emergency procedures, unless such actions cannot physically be implemented or would violate safety, equipment, regulatory, or statutory requirements.
- M9.** Each Reliability Coordinator shall make available upon request, evidence that requested assistance was provided to Reliability Coordinators unless such actions could not be physically implemented or would violate 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 such a situation has not occurred, the Reliability Coordinator 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 ⁱ:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that requested assistance was provided to RCs.

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-014-3, R9

This section to be completed by the Compliance Enforcement Authority

<input type="checkbox"/>	For all or a sample of Emergencies, verify entity assisted other RCs as required.
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Note to Auditor: See entity's response to Supporting Evidence and Documentation for Requirement R5 regarding Emergencies.
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Auditor Notes:

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Additional Information:

Reliability Standard

The full text of IRO-014-3 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

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.

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