

DRAFT Reliability Standard Audit Worksheet¹

COM-001-3 – Communications

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/PC	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								X				X		
R10	X								X				X		
R11		X		X											
R12	X			X					X				X		
R13		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.

DRAFT NERC Reliability Standard Audit Worksheet

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

DRAFT

DRAFT NERC Reliability Standard Audit Worksheet

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			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

DRAFT NERC Reliability Standard Audit Worksheet

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)

DRAFT

R1 Supporting Evidence and Documentation

R1. Each Reliability Coordinator shall have Interpersonal Communication capability with the following entities (unless the Reliability Coordinator detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply):

- 1.1.** All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
- 1.2.** Each adjacent Reliability Coordinator within the same Interconnection.

M1. Each Reliability Coordinator shall have and provide upon request evidence that it has Interpersonal Communication capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with each adjacent Reliability Coordinator within the same Interconnection, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample of 1) Transmission Operators and Balancing Authorities within the entity’s area, as well as 2) adjacent Reliability Coordinators within the same Interconnection, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, of the entity’s Interpersonal Communication capability.

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

DRAFT NERC Reliability Standard Audit Worksheet

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

Compliance Assessment Approach Specific to COM-001-3, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Review evidence and verify the entity has Interpersonal Communication capability for all, or a sample of:
	(Part 1.1) Transmission Operators and Balancing Authorities within the entity's area.
	(Part 1.2) Adjacent Reliability Coordinators within the entity's Interconnection.
Note to Auditor: If the entity detects a failure of its Interpersonal Communication capability in the audit period, the auditor should evaluate the response in conjunction with R10.	

Auditor Notes:

--

R2 Supporting Evidence and Documentation

R2. Each Reliability Coordinator shall designate an Alternative Interpersonal Communication capability with the following entities:

- 2.1.** All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
- 2.2.** Each adjacent Reliability Coordinator within the same Interconnection.

M2. Each Reliability Coordinator shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with all Transmission Operators and Balancing Authorities within its Reliability Coordinator Area and with each adjacent Reliability Coordinator within the same Interconnection, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample of 1) Transmission Operators and Balancing Authorities within the entity’s area, as well as 2) adjacent Reliability Coordinators within the same Interconnection, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, that the entity designated an Alternative Interpersonal Communication capability.

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

DRAFT NERC Reliability Standard Audit Worksheet

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

Compliance Assessment Approach Specific to COM-001-3, R2

This section to be completed by the Compliance Enforcement Authority

	(R2) Review evidence and verify the entity designated an Alternative Interpersonal Communication capability for all, or a sample of:
	(Part 2.1) Transmission Operators and Balancing Authorities within the entity's area.
	(Part 2.2) Adjacent Reliability Coordinators within the entity's Interconnection.
Note to Auditor:	

Auditor Notes:

--

R3 Supporting Evidence and Documentation

R3. Each Transmission Operator shall have Interpersonal Communication capability with the following entities (unless the Transmission Operator detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply):

- 3.1.** Its Reliability Coordinator.
- 3.2.** Each Balancing Authority within its Transmission Operator Area.
- 3.3.** Each Distribution Provider within its Transmission Operator Area.
- 3.4.** Each Generator Operator within its Transmission Operator Area.
- 3.5.** Each adjacent Transmission Operator synchronously connected.
- 3.6.** Each adjacent Transmission Operator asynchronously connected.

M3. Each Transmission Operator shall have and provide upon request evidence that it has Interpersonal Communication capability with its Reliability Coordinator, each Balancing Authority, Distribution Provider, and Generator Operator within its Transmission Operator Area, and each adjacent Transmission Operator asynchronously or synchronously connected, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communication.

Registered Entity Response (Required):

Compliance Narrative:

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.

For all, or an auditor selected sample, of 1) the entity’s Reliability Coordinator, 2) Balancing Authorities within the entity’s area, 3) Distribution Providers within the entity’s area, 4) Generator Operators within the entity’s area, 5) adjacent Transmission Operators synchronously connected to the entity, and 6) adjacent Transmission Operators asynchronously connected to the entity, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communication, of Interpersonal Communication capability.

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.

DRAFT NERC Reliability Standard Audit Worksheet

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 COM-001-3, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) Review evidence and verify the entity has Interpersonal Communication capability for all, or a sample of:
	(Part 3.1) The entity’s Reliability Coordinator.
	(Part 3.2) Balancing Authorities within the entity’s area.
	(Part 3.3) Distribution Providers within the entity’s area.
	(Part 3.4) Generator Operators within the entity’s area.
	(Part 3.5) Adjacent Transmission Operators synchronously connected to the entity.
	(Part 3.6) Adjacent Transmission Operators asynchronously connected to the entity.
Note to Auditor: <u>If the entity</u> detects a failure of its Interpersonal Communication capability in the audit period, the auditor should evaluate the response in conjunction with R10.	

Auditor Notes:

--

R4 Supporting Evidence and Documentation

R4. Each Transmission Operator shall designate an Alternative Interpersonal Communication capability with the following entities:

- 4.1.** Its Reliability Coordinator.
- 4.2.** Each Balancing Authority within its Transmission Operator Area.
- 4.3.** Each adjacent Transmission Operator synchronously connected.
- 4.4.** Each adjacent Transmission Operator asynchronously connected.

M4. Each Transmission Operator shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with its Reliability Coordinator, each Balancing Authority within its Transmission Operator Area, and each adjacent Transmission Operator asynchronously and synchronously connected, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample, of 1) the entity’s Reliability Coordinator, 2) Balancing Authorities within the entity’s area, 3) adjacent Transmission Operators synchronously connected to the entity, and 4) adjacent Transmission Operators asynchronously connected to the entity, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, that the entity designated an Alternative Interpersonal Communication capability.

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

DRAFT NERC Reliability Standard Audit Worksheet

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

Compliance Assessment Approach Specific to COM-001-3, R4

This section to be completed by the Compliance Enforcement Authority

	(R4) Review evidence and verify the entity designated an Alternative Interpersonal Communication capability for all, or a sample of:
	(Part 4.1) The entity's Reliability Coordinator.
	(Part 4.2) Balancing Authorities within the entity's area.
	(Part 4.3) Adjacent Transmission Operators synchronously connected to the entity.
	(Part 4.4) Adjacent Transmission Operators asynchronously connected to the entity.
Note to Auditor:	

Auditor Notes:

--

R5 Supporting Evidence and Documentation

R5. Each Balancing Authority shall have Interpersonal Communication capability with the following entities (unless the Balancing Authority detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply):

- 5.1.** Its Reliability Coordinator.
- 5.2.** Each Transmission Operator that operates Facilities within its Balancing Authority Area.
- 5.3.** Each Distribution Provider within its Balancing Authority Area.
- 5.4.** Each Generator Operator that operates Facilities within its Balancing Authority Area.
- 5.5.** Each Adjacent Balancing Authority.

M5. Each Balancing Authority shall have and provide upon request evidence that it has Interpersonal Communication capability with its Reliability Coordinator, each Transmission Operator and Generator Operator that operates Facilities within its Balancing Authority Area, each Distribution Provider within its Balancing Authority Area, and each adjacent Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communication.

Registered Entity Response (Required):

Compliance Narrative:

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.

For all, or an auditor selected sample, of 1) the entity's Reliability Coordinator, 2) Transmission Operators that operate Facilities within the entity's area, 3) Distribution Providers within the entity's area, 4) Generator Operators that operate Facilities within the entity's area, and 5) adjacent Balancing Authorities, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, of Interpersonal Communication capability.

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.

DRAFT NERC Reliability Standard Audit Worksheet

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 COM-001-3, R5

This section to be completed by the Compliance Enforcement Authority

	(R5) Review evidence and verify the entity has Interpersonal Communication capability for all, or a sample of:
	(Part 5.1) The entity’s Reliability Coordinator.
	(Part 5.2) Transmission Operators that operate Facilities within the entity’s area.
	(Part 5.3) Distribution Providers within the entity’s area.
	(Part 5.4) Generator Operators that operate Facilities within the entity’s area.
	(Part 5.5) Adjacent Balancing Authorities.

Note to Auditor: If the entity detects a failure of its Interpersonal Communication capability in the audit period, the auditor should evaluate the response in conjunction with R10.

Auditor Notes:

--

R6 Supporting Evidence and Documentation

R6. Each Balancing Authority shall designate an Alternative Interpersonal Communication capability with the following entities:

- 6.1.** Its Reliability Coordinator.
- 6.2.** Each Transmission Operator that operates Facilities within its Balancing Authority Area.
- 6.3.** Each Adjacent Balancing Authority.

M6. Each Balancing Authority shall have and provide upon request evidence that it designated an Alternative Interpersonal Communication capability with its Reliability Coordinator, each Transmission Operator that operates Facilities within its Balancing Authority Area, and each adjacent Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communication.

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample, of 1) the entity’s Reliability Coordinator, 2) Transmission Operators that operate Facilities within the entity’s area, and 3) adjacent Balancing Authorities, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, that the entity designated an Alternative Interpersonal Communication capability.

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

DRAFT NERC Reliability Standard Audit Worksheet

--	--	--	--	--	--

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

Compliance Assessment Approach Specific to COM-001-3, R6

This section to be completed by the Compliance Enforcement Authority

	(R6) Review evidence and verify the entity designated an Alternative Interpersonal Communication capability for all, or a sample of:
	(Part 6.1) The entity's Reliability Coordinator.
	(Part 6.2) Transmission Operators that operate Facilities within the entity's area.
	(Part 6.3) Adjacent Balancing Authorities.

Note to Auditor:

Auditor Notes:

--

R7 Supporting Evidence and Documentation

R7. Each Distribution Provider shall have Interpersonal Communication capability with the following entities (unless the Distribution Provider detects a failure of its Interpersonal Communication capability in which case Requirement R11 shall apply):

- 7.1.** Its Balancing Authority.
- 7.2.** Its Transmission Operator.

M7. Each Distribution Provider shall have and provide upon request evidence that it has Interpersonal Communication capability with its Transmission Operator and its Balancing Authority, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
For the entity's 1) Balancing Authority and 2) Transmission Operator, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, of Interpersonal Communication capability.

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):

DRAFT NERC Reliability Standard Audit Worksheet

Compliance Assessment Approach Specific to COM-001-3, R7

This section to be completed by the Compliance Enforcement Authority

<input type="checkbox"/>	(R7) Review evidence and verify the entity has Interpersonal Communication capability for:
<input type="checkbox"/>	(Part 7.1) The entity's Balancing Authority.
<input type="checkbox"/>	(Part 7.2) The entity's Transmission Operator.
Note to Auditor: <u>If the entity</u> detects a failure of its Interpersonal Communication capability in the audit period, the auditor should evaluate the response in conjunction with R11.	

Auditor Notes:

--

DRAFT

R8 Supporting Evidence and Documentation

R8. Each Generator Operator shall have Interpersonal Communication capability with the following entities (unless the Generator Operator detects a failure of its Interpersonal Communication capability in which case Requirement R11 shall apply):

- 8.1.** Its Balancing Authority.
- 8.2.** Its Transmission Operator.

M8. Each Generator Operator shall have and provide upon request evidence that it has Interpersonal Communication capability with its Balancing Authority and its Transmission Operator, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
For the entity's 1) Balancing Authority and 2) Transmission Operator, provide dated evidence, such as equipment specifications, installation documentation, test records, operator logs, voice recordings/transcripts, or electronic communications, of Interpersonal Communication capability.

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):

--

DRAFT NERC Reliability Standard Audit Worksheet

Compliance Assessment Approach Specific to COM-001-3, R8

This section to be completed by the Compliance Enforcement Authority

<input type="checkbox"/>	(R8) Review evidence and verify the entity has Interpersonal Communication capability for:
<input type="checkbox"/>	(Part 8.1) The entity's Balancing Authority.
<input type="checkbox"/>	(Part 8.2) The entity's Transmission Operator.
Note to Auditor: If the entity detects a failure of its Interpersonal Communication capability in the audit period, the auditor should evaluate the response in conjunction with R11.	

Auditor Notes:

--

DRAFT

R9 Supporting Evidence and Documentation

R9. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall test its Alternative Interpersonal Communication capability at least once each calendar month. If the test is unsuccessful, the responsible entity shall initiate action to repair or designate a replacement Alternative Interpersonal Communication capability within 2 hours.

M9. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it tested, at least once each calendar month, its Alternative Interpersonal Communication capability designated in Requirements R2, R4, or R6. If the test was unsuccessful, the entity shall have and provide upon request evidence that it initiated action to repair or designated a replacement Alternative Interpersonal Communication capability within 2 hours. Evidence could include, but is not limited to: dated and time-stamped test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Question: Did the entity have an unsuccessful test of its Alternative Interpersonal Communication capability during the audit period? Yes No

[If Yes, provide a list of instances of unsuccessful Alternative Interpersonal Communication tests and proceed to the Compliance Narrative section below. If No, proceed to the Compliance Narrative section below.]

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

Registered Entity Response (Required):

Compliance Narrative:

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.

For all, or an auditor selected sample of monthly tests of the Alternative Interpersonal Communication capability designated in Requirements R2, R4, or R6, provide dated and time-stamped evidence, such as test records, operator logs, voice recordings/transcripts, or electronic communications, that the entity's Alternative Interpersonal Communication capability was tested at least once each calendar month.

For all, or an auditor selected sample of unsuccessful Alternative Interpersonal Communication tests, provide dated and time-stamped evidence, such as test records, operator logs, voice recordings/transcripts, or electronic communications, that action was initiated to repair or designate a replacement Alternative Interpersonal Communication capability within 2 hours.

DRAFT NERC Reliability Standard Audit Worksheet

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 COM-001-3, R9

This section to be completed by the Compliance Enforcement Authority

	For all, or a sample, review evidence and verify the entity tested the designated Alternative Interpersonal Communication capability at least once each calendar month.
	For all, or a sample, review evidence and verify that, for any unsuccessful Alternative Interpersonal Communication capability tests, the entity initiated action to repair or designated a replacement Alternative Interpersonal Communication capability within 2 hours.
Note to Auditor: Each Alternative Interpersonal Communication capability is to be verified functional by testing.	

Auditor Notes:

--

R10 Supporting Evidence and Documentation

R10. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall notify entities as identified in Requirements R1, R3, and R5, respectively within 60 minutes of the detection of a failure of its Interpersonal Communication capability that lasts 30 minutes or longer.

M10. Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have and provide upon request evidence that it notified entities as identified in Requirements R1, R3, and R5, respectively within 60 minutes of the detection of a failure of its Interpersonal Communication capability that lasted 30 minutes or longer. Evidence could include, but is not limited to: dated and time-stamped test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Question: Did the entity experience a failure of its Interpersonal Communication capability, as identified in Requirements R1, R3 and R5, that lasted longer than 30 minutes during the audit period? Yes No
 [If Yes, provide a list of instances of Interpersonal Communication failures that lasted 30 minutes or longer and proceed to the Compliance Narrative section below. If No, then proceed to the Compliance Narrative section below.]

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

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample of, R1, R3 and R5 Interpersonal Communication capability failures that lasted longer than 30 minutes, provide dated and time-stamped evidence, such as test records, operator logs, voice recordings/transcripts, or electronic communications that the entity notified the appropriate entities (identified in Requirements R1, R3, or R5) within 60 minutes of detecting the failure.

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
-----------	----------------	---------------------	---------------	--------------------------------	--

DRAFT NERC Reliability Standard Audit Worksheet

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

Compliance Assessment Approach Specific to COM-001-3, R10

This section to be completed by the Compliance Enforcement Authority

	For all, or a sample of R1, R3 and R5 Interpersonal Communication capability failures that lasted 30 minutes or longer, review evidence and verify that the entity provided notification to the appropriate entities within 60 minutes of detecting the failure.
--	--

Note to Auditor: The “within 60 minutes of detecting a failure” measurement starts after the 30 minute threshold.
--

Auditor Notes:

--

R11 Supporting Evidence and Documentation

R11. Each Distribution Provider and Generator Operator that detects a failure of its Interpersonal Communication capability shall consult each entity affected by the failure, as identified in Requirement R7 for a Distribution Provider or Requirement R8 for a Generator Operator, to determine a mutually agreeable action for the restoration of its Interpersonal Communication capability.

M11. Each Distribution Provider and Generator Operator that detected a failure of its Interpersonal Communication capability shall have and provide upon request evidence that it consulted with each entity affected by the failure, as identified in Requirement R7 for a Distribution Provider or Requirement R8 for a Generator Operator, to determine mutually agreeable action to restore the Interpersonal Communication capability. Evidence could include, but is not limited to: dated operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Question: Did the entity detect a failure of its Interpersonal Communication capability, as identified in Requirements R7 and R8, during the audit period? Yes No

[If Yes, provide a list of instances of Interpersonal Communication failures and proceed to the Compliance Narrative section below. If No, then proceed to the Compliance Narrative section below.]

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

Registered Entity Response (Required):

Compliance Narrative:

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.
For all, or an auditor selected sample of, R7 and R8 Interpersonal Communication capability failures, provide dated evidence, such as operator logs, voice recordings/transcripts, or electronic communications, that 1) the entity consulted with each appropriate entity affected by the failure, as well as 2) that a mutually agreeable action to restore the Interpersonal Communication capability was determined.

Registered Entity Evidence (Required):

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

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

DRAFT NERC Reliability Standard Audit Worksheet

				or Section(s)	

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

Compliance Assessment Approach Specific to COM-001-3, R11

This section to be completed by the Compliance Enforcement Authority

	For all, or a sample of R7 and R8 Interpersonal Communication capability failures, review evidence and verify that the entity consulted the appropriate entities affected by the failure.
	For all, or a sample of R7 and R8 Interpersonal Communication capability failures, review evidence and verify that the entity determined a mutually agreeable action to restore its Interpersonal Communication capability.

Note to Auditor:

Auditor Notes:

--

R12 Supporting Evidence and Documentation

R12. Each Reliability Coordinator, Transmission Operator, Generator Operator, and Balancing Authority shall have internal Interpersonal Communication capabilities for the exchange of information necessary for the Reliable Operation of the BES. This includes communication capabilities between Control Centers within the same functional entity, or between a Control Center and field personnel.

M12. Each Reliability Coordinator, Transmission Operator, Generator Operator, and Balancing Authority shall have and provide upon request evidence that it has internal Interpersonal Communication capability, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, operating procedures, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
Provide dated evidence, such as equipment specifications, installation documentation, operating procedures, test records, operator logs, voice recordings/transcripts, or electronic communications, of the entity’s internal Interpersonal Communication capability for the exchange of information necessary for the Reliable Operation of the BES.

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):

DRAFT NERC Reliability Standard Audit Worksheet

Compliance Assessment Approach Specific to COM-001-3, R12

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify that the entity has the capability to exchange information necessary whenever the internal Interpersonal Communication impacts the Reliable Operation of the BES including:
	If the entity has multiple Control Centers within the same functional entity, verify that the entity has the capability for the exchange of information between its Control Centers necessary for the Reliable Operation of the BES.
	Verify the entity has the capability to exchange information between its Control Center and field personnel necessary for the Reliable Operation of the BES.
Note to Auditor: Requirement R12 references the NERC Glossary definition of Control Center. The focus is on the capability of an entity to communicate internally where face-to-face communications are not available.	

Auditor Notes:

--

R13 Supporting Evidence and Documentation

R13. Each Distribution Provider shall have internal Interpersonal Communication capabilities for the exchange of information necessary for the Reliable Operation of the BES. This includes communication capabilities between control centers within the same functional entity, or between a control center and field personnel.

M13. Each Distribution Provider shall have and provide upon request evidence that it has internal Interpersonal Communication capability, which could include, but is not limited to:

- physical assets, or
- dated evidence, such as, equipment specifications and installation documentation, operating procedures, test records, operator logs, voice recordings, transcripts of voice recordings, or electronic communications.

Registered Entity Response (Required):

Compliance Narrative:

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.
Provide dated evidence, such as equipment specifications, installation documentation, operating procedures, test records, operator logs, voice recordings/transcripts, or electronic communications, of the entity’s internal Interpersonal Communication capability for the exchange of information necessary for the Reliable Operation of the BES.

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):

Additional Information:

Reliability Standard

The RSAW developer should provide the following information without hyperlinks. Update the information below as appropriate.

The full text of STD-OXX-N 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 [If developer deems reference applicable]

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.

Regulatory Language [Developer to ensure RSAW has been provided to NERC Legal for links to appropriate Regulatory Language – See example below]

E.g. FERC Order No. 742 paragraph 34: “Based on NERC’s.....”

E.g. FERC Order No. 742 Paragraph 55, Commission Determination: “We affirm NERC’s.....”

Selected Glossary Terms [If developer deems applicable]

The following Glossary terms are provided for convenience only. Please refer to the NERC web site for the current enforceable terms.

Interpersonal Communication - Any medium that allows two or more individuals to interact, consult, or exchange information.

Alternative Interpersonal Communication - Any Interpersonal Communication that is able to serve as a substitute for, and does not utilize the same infrastructure (medium) as, Interpersonal Communication used for day-to- day operation.

DRAFT NERC Reliability Standard Audit Worksheet

Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	10/09/2015	RSAW Task Force, NERC Compliance Assurance	New Document
2	4/5/2016	RSAW Task Force, NERC Compliance Assurance	Revised RSAW to align with revised Reliability Standard – Posting 23 March 2016

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.