

Reliability Standard Audit Worksheet¹

EOP-006-3 – System Restoration Coordination

This section to be completed by the Compliance Enforcement Authority.

Audit ID: Audit ID if available; or REG-NCRnnnnn-YYYYMMDD
Registered Entity: Registered name of entity being audited
NCR Number: NCRnnnnn
Compliance Enforcement Authority: Region or NERC performing audit
Compliance Assessment Date(s)²: Month DD, YYYY, to Month DD, YYYY
Compliance Monitoring Method: Audit
Names of Auditors: Supplied by CEA

Applicability of Requirements

	BA	DP	GO	GOP	IA	LSE	PA	RC	RP	RSG	TO	TOP	TP	TSP
R1								X						
R2								X						
R3								X						
R4								X						
R5								X						
R6								X						
R7								X						
R8								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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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			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

Subject Matter Experts

Identify Subject Matter Expert(s) responsible for this Reliability Standard. (Insert additional rows if necessary)

Registered Entity Response (Required):

SME Name	Title	Organization	Requirement(s)

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R1 Supporting Evidence and Documentation

- R1.** Each Reliability Coordinator shall develop, maintain, and implement a Reliability Coordinator Area restoration plan. The scope of the Reliability Coordinator’s restoration plan starts when Blackstart Resources are utilized to re-energize a shutdown area of the Bulk Electric System (BES), or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area. The scope of the Reliability Coordinator’s restoration plan ends when all of its Transmission Operators are interconnected and its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas. The restoration plan shall include:
- 1.1.** A description of the high-level strategy to be employed during restoration events for restoring the Interconnection, including minimum criteria for meeting the objectives of the Reliability Coordinator’s restoration plan.
 - 1.2.** Criteria and conditions for re-establishing interconnections with other Transmission Operators within its Reliability Coordinator Area, with adjacent Transmission Operators in other Reliability Coordinator Areas, and with adjacent Reliability Coordinators.
 - 1.3.** Reporting requirements for the entities within the Reliability Coordinator Area during a restoration event.
 - 1.4.** Criteria for sharing information regarding restoration with neighboring Reliability Coordinators and with Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
 - 1.5.** Identification of the Reliability Coordinator as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators, and to Transmission Operators, and Balancing Authorities within its Reliability Coordinator Area.
 - 1.6.** Criteria for transferring operations and authority back to the Balancing Authority.
- M1.** Each Reliability Coordinator shall have available a dated copy of its restoration plan and will have evidence, such as operator logs or other operating documentation, voice recordings, or other communication documentation to show that its restoration plan was implemented in accordance with Requirement R1.

Registered Entity Response (Required):

Question: Has the entity experienced a Disturbance that required it to implement its restoration plan?

Yes No

Provide an explanation in the Compliance Narrative section.

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.

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Evidence Requested³:

Provide the following evidence, or other evidence to demonstrate compliance.
The entity's most recent restoration plan with revision history
List of dates and times that Disturbances have occurred (if any)
Evidence that the restoration plan was implemented during Disturbances

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 EOP-006-3, R1

This section to be completed by the Compliance Enforcement Authority

	Verify the entity has developed and maintained a Reliability Coordinator Area restoration plan.
	Verify the scope of the Reliability Coordinator's restoration plan starts when Blackstart Resources are utilized to re-energize a shutdown area of the Bulk Electric System (BES), or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area.
	Verify the scope of the Reliability Coordinator's restoration plan ends when all of its Transmission Operators are interconnected and it its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas.
	Verify that the restoration plan was implemented (such as during Disturbances)
	Verify the restoration plan includes:
	(Part 1.1) A description of the high-level strategy for restoring the Interconnection.
	(Part 1.1) Minimum criteria to meet the objectives of the plan.
	(Part 1.2) Criteria and conditions are included in the restoration plan for reestablishing interconnections with:
	(Part 1.2) Other Transmission Operators within its Reliability Coordinator Area.
	(Part 1.2) Adjacent Transmission Operators in other Reliability Coordinator Areas.
	(Part 1.2) Other adjacent Reliability Coordinators.
	(Part 1.3) Reporting requirements for entities within the Reliability Coordinator Area during a restoration event.

³ 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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	(Part 1.4) Criteria for sharing information regarding restoration with:
	(Part 1.4) Neighboring Reliability Coordinators.
	(Part 1.4) Transmission Operators within its Reliability Coordinator Area.
	(Part 1.4) Balancing Authorities within its Reliability Coordinator Area.
	(Part 1.5) Identification of the Reliability Coordinator as the primary contact for disseminating restoration information regarding restoration to:
	(Part 1.5) Neighboring Reliability Coordinators.
	(Part 1.5) Transmission Operators within its Reliability Coordinator Area.
	(Part 1.5) Balancing Authorities within its Reliability Coordinator Area.
	(Part 1.6) Criteria for transferring operations and authority back to the Balancing Authority.
Note to Auditor:	

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** The Reliability Coordinator shall distribute its most recent Reliability Coordinator Area restoration plan to each of its Transmission Operators and neighboring Reliability Coordinators within 30 calendar days of creation or revision.

- M2.** Each Reliability Coordinator shall provide evidence such as electronic receipts, posting to a secure website with notification to affected entities, or registered mail receipts, that its most recent restoration plan has been distributed in accordance with Requirement R2.

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.
The entity's most recent restoration plan with dated revision history
Evidence such as electronic receipts, posting to a secure website with notification to affected entities, or registered mail receipts, that its most recent restoration plan has been distributed

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 EOP-006-3, R2

This section to be completed by the Compliance Enforcement Authority

	Distribution of the Reliability Coordinator Area restoration plan to:
	Each of its Transmission Operators within 30 calendar days of creation/revision.
	Each of its Neighboring Reliability Coordinators within 30 calendar days of creation/revision.

Note to Auditor: Evidence may include but is not limited to electronic receipts, posting to a secure web site with notification to affected entities, or registered mail receipts.

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Reliability Coordinator shall review its restoration plan within 15 calendar months of the last review.
- M3.** Each Reliability Coordinator shall provide evidence such as a review signature sheet, or revision histories, that it has reviewed its restoration plan within 15 calendar months of the last review in accordance with Requirement R3.

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.
Evidence of entity's review of its restoration plan

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 EOP-006-3, R3

This section to be completed by the Compliance Enforcement Authority

	Reviewed its restoration plan within 15 calendar months of the last review.
Note to Auditor: Evidence may include but is not limited to a dated signature sheets, or revision histories.	

Auditor Notes:

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R4 Supporting Evidence and Documentation

R4. Each Reliability Coordinator shall review its neighboring Reliability Coordinator’s restoration plans and provide written notification of any conflicts discovered during that review within 60 calendar days of receipt:

4.1 If a Reliability Coordinator finds conflicts between its restoration plans and any of its neighbors, the conflicts shall be resolved within 30 calendar days of written notification.

M4. Each Reliability Coordinator shall provide evidence such as dated review signature sheets or electronic receipt that it has reviewed its neighboring Reliability Coordinator’s restoration plans and resolved any conflicts within 30 calendar days in accordance with Requirement R4.

Registered Entity Response (Required):

Question: Were conflicts between restoration plans identified? If yes, was the conflict resolved within the 30 calendar day limit? Yes No

Provide an explanation in the Compliance Narrative section.

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.
Evidence such as dated review signature sheets or electronic receipt that it has reviewed its neighboring Reliability Coordinator’s restoration plans and resolved any conflicts

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 EOP-006-3, R4

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This section to be completed by the Compliance Enforcement Authority

	The entity responded to the applicability question and provided evidence of compliance if the response was 'yes.'
	Neighboring Reliability Coordinator's restoration plans were reviewed within 60 calendar days of receipt.
	Written notification of any conflicts discovered were provided within 60 calendar days of receipt.
	(Part 4.1) Any conflicts were resolved within 30 calendar days of written notification.
Note to Auditor:	

Auditor Notes:

R5 Supporting Evidence and Documentation

R5. Each Reliability Coordinator shall review the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area.

5.1. The Reliability Coordinator shall determine whether the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operators’ restoration plans within its Reliability Coordinator Area. The Reliability Coordinator shall approve or disapprove, with stated reasons, the Transmission Operator’s submitted restoration plan within 30 calendar days following the receipt of the restoration plan from the Transmission Operator.

M5. Each Reliability Coordinator shall provide evidence such as a dated review signature sheet or electronic receipt that it has reviewed, approved or disapproved, and notified its Transmission Operators within 30 calendar days following the receipt of the restoration plan from the Transmission Operator in accordance with Requirement R5.

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.
Evidence such as a dated review signature sheet or electronic receipt that it has reviewed, approved or disapproved, and notified its Transmission Operators within 30 calendar days following the receipt of the restoration plan from the Transmission Operator

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 EOP-006-3, R5

This section to be completed by the Compliance Enforcement Authority

	Verify the entity reviewed the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area.
	(Part 5.1) Verify the entity determined the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operator’s restoration plans within its Reliability Coordinator Area.
	(Part 5.1) Determine that approval or disapproval, with stated reasons, was provided to the Transmission Operator(s) within 30 calendar days of receipt of the plan(s).
Note to Auditor:	

Auditor Notes:

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R6 Supporting Evidence and Documentation

- R6.** Each Reliability Coordinator shall have a copy of its latest restoration plan and copies of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area within its primary and backup control rooms so that it is available to all of its System Operators prior to the effective date.

- M6.** Each Reliability Coordinator shall have documentation such as electronic receipts that it has made the latest copy of its restoration plan and copies of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area available in its primary and backup control rooms and to each of its System Operators prior to the effective date in accordance with Requirement R6.

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.
Latest entity approved restoration plan for itself and for all Transmission Operators within its Reliability Coordinator Area
Location of its and each Transmission Operator’s restoration plan within the entity’s primary and backup control rooms

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 EOP-006-3, R6

This section to be completed by the Compliance Enforcement Authority

Verify the entity has a copy of its latest restoration Plan prior to the effective date:
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	Within the primary control room.
	Within the backup control room.
	Verify the entity has a copy of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area prior to the effective date:
	Within the primary control room.
	Within the backup control room.
Note to Auditor:	

Auditor Notes:

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R7 Supporting Evidence and Documentation

R7. Each Reliability Coordinator shall include within its operations training program, at least once each 15 calendar months, System restoration training for its System Operators. This training program shall address the following:

- 7.1. The coordination role of the Reliability Coordinator
- 7.2. Re-establishing the Interconnection

M7. Each Reliability Coordinator shall have an electronic copy or hard copy of its training records available showing that it has provided training in accordance with Requirement R7.

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.
Electronic copy or hard copy of its training records available showing that it has provided System restoration training for the entity's System Operators

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 EOP-006-3, R7

This section to be completed by the Compliance Enforcement Authority

	The entity included System restoration training for its System Operators within its operations training program at least once each 15 calendar months.
	Verify the training program addresses:

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	(Part 7.1) Reliability Coordinator coordination role.
	(Part 7.2) Reestablishing the Interconnection.
Note to Auditor: Actual performance of the training is covered under PER-005.	

Auditor Notes:

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R8 Supporting Evidence and Documentation

- R8.** Each Reliability Coordinator shall conduct two System restoration drills, exercises, or simulations per calendar year, which shall include the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that is being conducted.
 - 8.1.** Each Reliability Coordinator shall request each Transmission Operator identified in its restoration plan and each Generator Operator identified in the Transmission Operators' restoration plans to participate in a drill, exercise, or simulation at least once every two calendar years.
- M8.** Each Reliability Coordinator shall have evidence, such as dated electronic documents, that it conducted two System restoration drills, exercises, or simulations per calendar year in accordance with Requirement R8. And each Reliability Coordinator shall have evidence that the Reliability Coordinator requested each applicable Transmission Operator and Generator Operator to participate per Requirement R8 and R8 Part 8.1.

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.
Evidence, such as dated electronic documents, that it conducted two System restoration drills, exercises, or simulations per calendar year
Evidence that the Reliability Coordinator requested each applicable Transmission Operator and Generator Operator to participate at least once every two calendar years

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 EOP-006-3, R8

This section to be completed by the Compliance Enforcement Authority

	Verify the entity conducted two System restoration drills, exercises, or simulations each calendar year.
	Verify the entity included the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that was being conducted.
	Verify the entity requested each Transmission Operator identified in its restoration plan and each Generator Operator identified in the Transmission Operators' restoration plans to participate in a drill, exercise, or simulation at least every two calendar years.

Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

The full text of EOP-006-3 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.

Regulatory Language

Still needed. Order No. 749, 134 FERC ¶ 61,215 (2011)

Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	7/8/16	NERC Compliance Assurance, RSAW Task Force	New Document