

Reliability Standard Audit Worksheet¹

FAC-011-4 - System Operating Limits Methodology for the Operations Horizon

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	PA/PC	RC	RP	RSG	TO	TOP	TP	TSP
R1						X						
R2						X						
R3						X						
R4						X						
R5						X						
R6						X						
R7						X						
R8						X						

Legend:

Text with blue background:	Fixed text – do not edit
Text entry area with Green background:	Entity-supplied information

¹ NERC developed this Reliability Standard Audit Worksheet (RSAW) language in order to facilitate NERC’s and the Regional Entities’ assessment of a registered entity’s compliance with this Reliability Standard. The NERC RSAW language is written to specific versions of each NERC Reliability Standard. Entities using this RSAW should choose the version of the RSAW applicable to the Reliability Standard being assessed. While the information included in this RSAW provides some of the methodology that NERC has elected to use to assess compliance with the requirements of the Reliability Standard, this document should not be treated as a substitute for the Reliability Standard or viewed as additional Reliability Standard requirements. In all cases, the Regional Entity should rely on the language contained in the Reliability Standard itself, and not on the language contained in this RSAW, to determine compliance with the Reliability Standard. NERC’s Reliability Standards can be found on NERC’s website. Additionally, NERC Reliability Standards are updated frequently, and this RSAW may not necessarily be updated with the same frequency. Therefore, it is imperative that entities treat this RSAW as a reference document only, and not as a substitute or replacement for the Reliability Standard. It is the responsibility of the registered entity to verify its compliance with the latest approved version of the Reliability Standards, by the applicable governmental authority, relevant to its registration status.

The RSAW may provide 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 reserve the right to request additional evidence from the registered entity that is not included in this RSAW. This RSAW may include excerpts from FERC Orders and other regulatory references which 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 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			

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 a methodology for establishing SOLs (i.e., SOL Methodology) within its Reliability Coordinator Area.
- M1.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology.

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.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R1

This section to be completed by the Compliance Enforcement Authority

Verify the entity has a Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Note to Auditor:

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Reliability Coordinator shall include in its SOL Methodology the method for Transmission Operators to determine the applicable owner-provided Facility Ratings to be used in operations. The method shall address the use of common Facility Ratings between the Reliability Coordinator and the Transmission Operators in its Reliability Coordinator Area.
- M2.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in 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.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R2

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s Methodology for establishing SOLs (i.e., SOL Methodology) includes the method for Transmission Operators to determine the applicable owner-provided Facility Ratings to be used in operations.
	Verify the method for Transmission Operators to determine the applicable owner-provided Facility Ratings to be used in operations addresses the use of common Facility Ratings between the Reliability

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	Coordinator and the Transmission Operators in its Reliability Coordinator Area.
Note to Auditor:	

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Reliability Coordinator shall include in its SOL Methodology the method for Transmission Operators to determine the System Voltage Limits to be used in operations. The method shall:
- 3.1.** Require that BES buses/stations have an associated System Voltage Limit except for the BES buses/stations that may be excluded as specified in the Reliability Coordinator’s SOL Methodology;
 - 3.2.** Require that System Voltage Limits respect the Facility voltage Ratings;
 - 3.3.** Require that System Voltage Limits are higher than in-service under voltage load shedding (UVLS) relay settings;
 - 3.4.** Identify the lowest allowable System Voltage Limit;
 - 3.5.** Address the use of common System Voltage Limits between the Reliability Coordinator and the Transmission Operators in its Reliability Coordinator Area;
 - 3.6.** Address coordination of System Voltage Limits between adjacent Transmission Operators in its Reliability Coordinator Area; and
 - 3.7.** Address coordination of System Voltage Limits between adjacent Reliability Coordinator Areas within an Interconnection.
- M3.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in 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 Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

The following information is requested for each document submitted as evidence. Also, evidence submitted should be highlighted and bookmarked, as appropriate, to identify the exact location where evidence of compliance may be found.					
File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

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

Compliance Assessment Approach Specific to FAC-011-4, R3

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s SOL Methodology includes the method for Transmission Operators to determine the System Voltage Limits to be used in operations.
	Verify the method for Transmission Operators to determine the System Voltage Limits to be used in operations:
	(3.1) Requires that BES buses/stations have an associated System Voltage Limit except for the BES buses/stations that may be excluded as specified in the Reliability Coordinator’s SOL Methodology
	(3.2) Requires that System Voltage Limits respect the Facility voltage Ratings;
	(3.3) Require that System Voltage Limits are higher than in-service under voltage load shedding (UVLS) relay settings
	(3.4) Identifies the lowest allowable System Voltage Limit;
	(3.5) Addresses the use of common System Voltage Limits between the Reliability Coordinator and the Transmission Operators in its Reliability Coordinator Area;
	(3.6) Addresses coordination of System Voltage Limits between adjacent Transmission Operators in its Reliability Coordinator Area; and
	(3.7) Address coordination of System Voltage Limits between adjacent Reliability Coordinator Areas within an Interconnection.
Note to Auditor:	

Auditor Notes:

R4 Supporting Evidence and Documentation

- R4.** Each Reliability Coordinator shall include in its SOL Methodology the method for determining the stability limits to be used in operations. The method shall:
- 4.1.** Specify stability performance criteria, including any margins applied. The criteria shall include the following:
 - 4.1.1.** steady-state voltage stability;
 - 4.1.2.** transient voltage response;
 - 4.1.3.** angular stability; and
 - 4.1.4.** System damping.
 - 4.2.** Require that stability limits are established to meet the criteria specified in Part 4.1 for the Contingencies identified in Requirement R5.
 - 4.3.** Describe how the Reliability Coordinator establishes stability limits when there is an impact to more than one Transmission Operator in its Reliability Coordinator Area.
 - 4.4.** Describe how instability risks are identified, considering levels of transfers, Load and generation dispatch, and System conditions including any changes to System topology such as Facility outages;
 - 4.5.** Describe the level of detail that is required for the study model(s); including the extent of the Reliability Coordinator Area, as well as the critical modeling details from other Reliability Coordinator Areas, necessary to determine different types of stability limits.
 - 4.6.** Describe the allowed uses of Remedial Action Schemes and other automatic post-Contingency mitigation actions; the planned use of underfrequency load shedding (UFLS) is not allowed in the establishment of stability limits.
- M4.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in Requirement R4.

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 Requestedⁱ:

Provide the following evidence, or other evidence to demonstrate compliance.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R4

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s SOL Methodology includes the method for determining the stability limits to be used in operations.
	Verify the method for determining the stability limits to be used in operations:
	(4.1) Specifies stability performance criteria, including any margins applied, and includes:
	(4.1.1) steady-state voltage stability;
	(4.1.2) transient voltage response;
	(4.1.3) angular stability; and
	(4.1.4) System damping.
	(4.2) Requires that stability limits are established to meet the criteria specified in Part 4.1 for the Contingencies identified in Requirement R5.
	(4.3) Describes how the Reliability Coordinator establishes stability limits when there is an impact to more than one Transmission Operator in its Reliability Coordinator Area.
	(4.4) Describes how instability risks are identified, considering levels of transfers, Load and generation dispatch, and System conditions including any changes to System topology such as Facility outages;
	(4.5) Describes the level of detail that is required for the study model(s); including the extent of the Reliability Coordinator Area, as well as the critical modeling details from other Reliability Coordinator Areas, necessary to determine different types of stability limits.
	(4.6) Describes the allowed uses of Remedial Action Schemes and other automatic post-Contingency mitigation actions; the planned use of underfrequency load shedding (UFLS) is not allowed in the establishment of stability limits.

Note to Auditor:

Auditor Notes:

R5 Supporting Evidence and Documentation

R5. Each Reliability Coordinator shall include in its SOL Methodology the method for identifying the single Contingencies and multiple Contingencies for use in determining stability limits and performing Operational Planning Analysis (OPAs) and Real-time Assessments (RTAs). The method shall include:

5.1. The following list of single Contingency events for use in determining stability limits and performing OPAs and RTAs:

5.1.1. Loss of any of the following either by single phase to ground or three phase Fault (whichever is more severe) with normal clearing, or without a Fault:

- generator;
- transmission circuit;
- transformer;
- shunt device; or
- single pole block, with Normal Clearing, in a monopolar or bipolar high voltage direct current system.

5.2. Any additional types of single Contingency events identified for use in determining stability limits, or for use in performing OPAs and RTAs.

5.3. Any types of multiple Contingency events identified for use in determining stability limits, or for use in performing OPAs and RTAs.

5.4. The method for considering the Contingency events provided by the Planning Coordinator in accordance with FAC-015-1, Requirement R6 to identify the Contingencies for use in determining stability limits.

M5. Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in 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 Requested ⁱ:

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

Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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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 FAC-011-4, R5

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s SOL Methodology includes the method for identifying the single Contingencies and multiple Contingencies for use in determining stability limits and performing Operational Planning Analysis (OPAs) and Real-time Assessments (RTAs).
	Verify the method for identifying the single Contingencies and multiple Contingencies for use in determining stability limits and performing Operational Planning Analysis (OPAs) and Real-time Assessments (RTAs) includes:
	(5.1) The following list of single Contingency events for use in determining stability limits and performing OPAs and RTAs:
	(5.1.1) Loss of any of the following either by single phase to ground or three phase Fault (whichever is more severe) with normal clearing, or without a Fault: <ul style="list-style-type: none"> • generator; • transmission circuit; • transformer; • shunt device; or • single pole block, with Normal Clearing, in a monopolar or bipolar high voltage direct current system.
	(5.2) Any additional types of single Contingency events identified for use in determining stability limits, or for use in performing OPAs and RTAs.
	(5.3) Any types of multiple Contingency events identified for use in determining stability limits, or for use in performing OPAs and RTAs.
	(5.4) The method for considering the Contingency events provided by the Planning Coordinator in accordance with FAC-015-1, Requirement R6 to identify the Contingencies for use in determining stability limits.
Note to Auditor:	

Auditor Notes:

R6 Supporting Evidence and Documentation

- R6.** Each Reliability Coordinator shall include in its SOL Methodology:
- 6.1.** A description of how to identify the subset of SOLs that qualify as Interconnection Reliability Operating Limits (IROLs).
 - 6.2.** Criteria for determining when violating a SOL qualifies as an IROL and criteria for developing any associated IROL T_v.
- M6.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in 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 Requested ⁱ:

Provide the following evidence, or other evidence to demonstrate compliance.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R1

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s SOL Methodology includes:
	(6.1) A description of how to identify the subset of SOLs that qualify as Interconnection Reliability Operating Limits (IROLs).
	(6.2) Criteria for determining when violating a SOL qualifies as an IROL and criteria for developing any

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<input type="checkbox"/>	associated IROL T _v .
Note to Auditor:	

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Reliability Coordinator shall include in its SOL Methodology the method for Transmission Operators to communicate SOLs it established to its Reliability Coordinator(s). The method shall address the periodicity of SOL communication.
- M7.** Acceptable evidence may include, but is not limited to, dated electronic or hard copy documentation of its SOL Methodology that addresses the items listed in 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.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R7

This section to be completed by the Compliance Enforcement Authority

	Verify the entity’s SOL Methodology includes the method for Transmission Operators to communicate SOLs it established to its Reliability Coordinator(s).
	Verify the method for Transmission Operators to communicate SOLs it established to its Reliability Coordinator(s) addresses the periodicity of SOL communication.

Note to Auditor:

Auditor Notes:

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R8 Supporting Evidence and Documentation

- R8.** Each Reliability Coordinator shall provide its SOL Methodology and any changes to the SOL Methodology prior to the effective date of the SOL Methodology, to:
 - 8.1.** Each adjacent Reliability Coordinator within an Interconnection, and each Reliability Coordinator that requests and indicates it has a reliability-related need;
 - 8.2.** Each Planning Coordinator and Transmission Planner that is responsible for planning any portion of the Reliability Coordinator Area;
 - 8.3.** Each Transmission Operator within its Reliability Coordinator Area.
- M8.** Acceptable evidence that the Reliability Coordinator provided its SOL Methodology to the entities identified in Requirement R8 may include, but is not limited to, dated electronic or hard copy documentation such as emails with receipts, registered mail receipts, or postings to a secure web site with accompanying notification(s).

Registered Entity Response (Required):

Question: Has the entity made any changes to its SOL Methodology during the audit period? Yes No

If Yes, provide a list of changes including the date the change became effective. If No, explain how the entity made this determination.

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

Question: Has the entity received a request for its SOL Methodology from a Reliability Coordinator that indicated it has a reliability-related need for the SOL Methodology? Yes No

If Yes, provide a list of requests received. If No, explain how the entity made this determination.

[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.
Methodology for establishing SOLs (i.e., SOL Methodology) within the entity's Reliability Coordinator Area.
Evidence the SOL Methodology and any changes to the SOL Methodology were provided to each adjacent Reliability Coordinator within an Interconnection, and each Reliability Coordinator that requests and indicates it has a reliability-related need.
Evidence the SOL Methodology and any changes to the SOL Methodology were provided to each Planning Coordinator and Transmission Planner that is responsible for planning any portion of the Reliability Coordinator Area.

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Evidence the SOL Methodology and any changes to the SOL Methodology were provided to each Transmission Operator within the entity’s Reliability Coordinator Area.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to FAC-011-4, R8

This section to be completed by the Compliance Enforcement Authority

	(8.1) Verify that, prior to the effective date of the SOL Methodology, the entity provided its SOL Methodology to each adjacent Reliability Coordinator within an Interconnection, and each Reliability Coordinator that requests and indicates it has a reliability-related need.
	(8.1) For all, or a sample of, changes made to the entity’s SOL Methodology, verify entity provided its SOL Methodology to each adjacent Reliability Coordinator within an Interconnection, and each Reliability Coordinator that requests and indicates it has a reliability-related need, prior to the effective date of the updated SOL Methodology.
	(8.2) Verify that, prior to the effective date of the SOL Methodology, the entity provided its SOL Methodology to each Planning Coordinator and Transmission Planner that is responsible for planning any portion of the Reliability Coordinator Area
	(8.2) For all, or a sample of, changes made to the entity’s SOL Methodology, verify entity provided its SOL Methodology to each Planning Coordinator and Transmission Planner that is responsible for planning any portion of the Reliability Coordinator Area, prior to the effective date of the updated SOL Methodology.
	(8.3) Verify that, prior to the effective date of the SOL Methodology, the entity provided its SOL Methodology to each Transmission Operator within its Reliability Coordinator Area.
	(8.3) For all, or a sample of, changes made to the entity’s SOL Methodology, verify entity provided its SOL Methodology to each Transmission Operator within its Reliability Coordinator Area., prior to the effective date of the updated SOL Methodology.

Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

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

The full text of FAC-011-4-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.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	XX/XX/XXXX	RSAW Working Group	New Document

Revision History for RSAW Template

Version	Date	Reviewers	Revision Description
0.9	11/6/2013	RSAW Working Group	Initial Draft
1.0	11/20/2013	CMFG	First Review
1.1	12/1/2014	RSAW TF, CMFG	Minor text changes
1.2	2/17/2014	Jerry Hedrick	Removed Internal Controls approach for additional consideration
1.3	4/9/2014	CIP-014-1 RSAW DT; RSAW TF	Changed the footnote on Evidence Requested to an Endnote. Moved example language from multiple areas to Developer's Guide.
3.0	1/20/2017		Deleted IA, LSE, PSE columns from Applicability; changed PA column to PA/PC. Updated page footer with new template version.

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.