

Reliability Standard Audit Worksheet¹

TOP-001-3 – Transmission Operations

This section to be completed by the Compliance Enforcement Authority.

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

Applicability of Requirements

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

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

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R9	X												X		
R10													X		
R11	X														
R12													X		
R13													X		
R14													X		
R15													X		
R16													X		
R17	X														
R18	X			X									X		
R19													X		
R20	X														

Legend:

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

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Findings

(This section to be completed by the Compliance Enforcement Authority)

Req.	Finding	Summary and Documentation	Functions Monitored
R1			
R2			
R3			
R4			
R5			
R6			
R7			
R8			
R9			
R10			
R11			
R12			
R13			
R14			
R15			
R16			
R17			
R18			
R19			
R20			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

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Subject Matter Experts

Identify the Subject Matter Expert(s) responsible for this Reliability Standard.

Registered Entity Response (Required; Insert additional rows if needed):

SME Name	Title	Organization	Requirement(s)

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R1 Supporting Evidence and Documentation

- R1.** Each Transmission Operator shall act, or direct others to act by issuing Operating Instructions, to ensure the reliability of its Transmission Operator Area.
- M1.** Each Transmission Operator shall have and provide evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted, or directed others to act by issuing Operating Instructions to ensure the reliability of its Transmission Operator Area.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Evidence, which may include but is not limited to, such as operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation that each Transmission Operator acted, or directed others to act by issuing Operating Instructions to address its reliability functions within its 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 TOP-001-3, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) For a sample of BES events selected by the auditor, review evidence and verify the entity acted, or
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DRAFT NERC Reliability Standard Audit Worksheet

directed others to act, by issuing Operating Instructions to ensure the reliability of its Transmission Operator Area.

Note to Auditor: Auditors are advised to monitor compliance with Requirement R1 during events, due to the importance of issuing Operating Instructions in such instances. Auditors can obtain a population of events for sampling from NERC's Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity's system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 events to sample, auditors can review lower-category events.

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Balancing Authority shall act, or direct others to act by issuing Operating Instructions, to ensure the reliability of its Balancing Authority Area.
- M2.** Each Balancing Authority shall have and provide evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted, or directed others to act by issuing Operating Instructions to ensure the reliability of its Balancing Authority Area.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested ¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence which may include but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that entity acted, or direct others within its Area to act by issuing Operating Instructions, to address its reliability functions within its 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):

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

This section to be completed by the Compliance Enforcement Authority

DRAFT NERC Reliability Standard Audit Worksheet

(R2) For a sample of BES events selected by the auditor, review evidence and verify the entity acted, or directed others to act, by issuing Operating Instructions to ensure the reliability of its Balancing Authority Area.

Note to Auditor: Auditors are advised to monitor compliance with Requirement R2 during events, due to the importance of issuing Operating Instructions in such instances. Auditors can obtain a population of events for sampling from NERC's Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity's system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 events to sample, auditors can review lower-category events.

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R3 Supporting Evidence and Documentation

- R3.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall comply with each Operating Instruction issued by its Transmission Operator(s), unless such action cannot be physically implemented or it would violate safety, equipment, regulatory, or statutory requirements.
- M3.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence that it complied with each Operating Instruction issued by the Transmission Operator(s) unless such action could not be physically implemented or it would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. In such cases, the Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Transmission Operator's Operating Instruction. If such a situation has not occurred, the Balancing Authority, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity receive an Operating Instruction from a Transmission Operator during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of instances of receiving Operating Instructions from a TOP and evidence to demonstrate compliance.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested :

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

Evidence which could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format showing that entity complied with each Operating Instruction issued by its Transmission Operator(s), unless such action cannot be physically implemented or it would violate safety, equipment, regulatory, or statutory requirements.

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

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

Compliance Assessment Approach Specific to TOP-001-3, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) For all, or a sample of, BES events selected by the auditor, review evidence and verify the entity complied with Operating Instructions issued by its Transmission Operator(s) unless such action cannot be physically implemented or it would violate safety equipment, regulatory, or statutory requirements.
<p>Note to Auditor: Auditors are advised to monitor compliance with Requirement R3 during events, due to the importance of complying with Operating Instructions in such instances. Auditors can obtain a population of events for sampling from NERC’s Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity’s system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 or greater events to sample, auditors can review lower-category events.</p>	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R4 Supporting Evidence and Documentation

- R4.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall inform its Transmission Operator of its inability to perform an Operating Instruction issued by its Transmission Operator.
- M4.** Each Balancing Authority, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence which may include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent evidence in electronic or hard copy format, that it informed its Transmission Operator of its inability to comply with its Operating Instruction issued. If such a situation has not occurred, the Balancing Authority, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity receive an Operating Instruction from a Transmission Operator where compliance with the Operating Instruction could not be physically implemented or such actions would violate safety, equipment, regulatory, or statutory requirements during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of instances of receiving Operating Instructions from a Transmission Operator that could not be implemented and evidence of compliance with R4.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Evidence which could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format showing that entity informed its TOP of its inability to comply with its Operating Instruction.

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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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 TOP-001-3, R4

This section to be completed by the Compliance Enforcement Authority

	(R4) If the entity was unable to comply with the Operating Instruction(s), determine if it informed the Transmission Operator(s).
Note to Auditor: Auditor should determine compliance with Requirement R4 using a sub-sample of events (the one(s) where the entity could not comply) used for TOP-001-3 Requirement R3.	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R5 Supporting Evidence and Documentation

- R5.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall comply with each Operating Instruction issued by its Balancing Authority, unless such action cannot be physically implemented or it would violate safety, equipment, regulatory, or statutory requirements.
- M5.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence that it complied with each Operating Instruction issued by the Balancing Authority(s) unless such action could not be physically implemented or it would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. In such cases, the Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Balancing Authority's Operating Instruction. If such a situation has not occurred, the Transmission Operator, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity receive an Operating Instruction from the Balancing Authority during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of instances of receiving Operating Instructions from the Balancing Authority and evidence to demonstrate compliance.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Evidence which could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format showing that the entity complied with each Operating Instruction issued by its Balancing Authority.

Registered Entity Evidence (Required):

DRAFT NERC Reliability Standard Audit Worksheet

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

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

Compliance Assessment Approach Specific to TOP-001-3, R5

This section to be completed by the Compliance Enforcement Authority

	(R5) For a sample of BES events selected by the auditor, review evidence and verify the entity complied with Operating Instructions issued by its Balancing Authority unless such action cannot be physically implemented or it would violate safety equipment, regulatory, or statutory requirements.
<p>Note to Auditor: Auditors are advised to monitor compliance with Requirement R5 during events, due to the importance of complying with Operating Instructions in such instances. Auditors can obtain a population of events for sampling from NERC’s Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity’s system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 or greater events to sample, auditors can review lower-category events.</p>	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R6 Supporting Evidence and Documentation

- R6.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall inform its Balancing Authority of its inability to perform an Operating Instruction issued by that Balancing Authority.
- M6.** Each Transmission Operator, Generator Operator, Distribution Provider, and Load-Serving Entity shall make available upon request, evidence which may include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent evidence in electronic or hard copy format, that it informed its Balancing Authority of its inability to comply with its Operating Instruction. If such a situation has not occurred, the Transmission Operator, Generator Operator, Distribution Provider, or Load-Serving Entity may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity receive an Operating Instruction from the Balancing Authority where compliance with the Operating Instruction could not be physically implemented or such actions would violate safety, equipment, regulatory, or statutory requirements during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of instances of receiving Operating Instructions from the Balancing Authority that could not be implemented and evidence of compliance with Requirement R4.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

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

Evidence which could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format showing that an entity informed its Balancing Authority of its inability to comply with its Operating Instruction, if the entity was unable to comply with the Operating Instruction.

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 TOP-001-3, R6

This section to be completed by the Compliance Enforcement Authority

	(R6) If the entity was unable to comply with the Operating Instructions, determine if it informed the Balancing Authority that it couldn't comply.
Note to Auditor: Auditor should determine compliance with Requirement R6 using a sub-sample of events (one(s) where entity was unable to perform) used for TOP-001-3 Requirement R5.	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R7 Supporting Evidence and Documentation

- R7.** Each Transmission Operator shall assist other Transmission Operators, if requested and able, provided that the requesting entity has implemented its emergency procedures, unless such assistance cannot be physically implemented or would violate safety, equipment, regulatory, or statutory requirements.
- M7.** Each Transmission Operator shall make available upon request, evidence that requested assistance, if able, was provided to other Transmission Operators unless such assistance cannot be physically implemented or would have violated safety, equipment, regulatory, or statutory requirements. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. If no request for assistance was received, the Transmission Operator may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity receive a request to provide assistance to another Transmission Operator during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list such requests and state if the assistance was provided. If assistance was not provided, state the reasons such assistance was not provided.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Dated operator logs, voice records (or transcripts), electronic communications, or other equivalent evidence in electronic or hard copy format. If no request for assistance was received, an attestation may be provided.

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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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 TOP-001-3, R7

This section to be completed by the Compliance Enforcement Authority

	(R7) For all a sample of BES events selected by the auditor, review evidence and verify the entity assisted other Transmission Operators, if requested and able, in accordance with Requirement R7.
Note to Auditor: Auditors are advised to monitor compliance with Requirement R7 during events, due to the importance of Transmission Operator assistance in such instances. Auditors can obtain a population of events for sampling from NERC’s Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity’s system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 or greater events to sample, auditors can review lower-category events.	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R8 Supporting Evidence and Documentation

- R8.** Each Transmission Operator shall inform its Reliability Coordinator, known impacted Balancing Authorities, and known other impacted Transmission Operators of its actual or expected operations that result in, or could result in, an Emergency.
- M8.** Each Transmission Operator shall make available upon request, evidence that it informed its Reliability Coordinator, known impacted Balancing Authorities, and known other impacted Transmission Operators of its actual or expected operations that result in, or could result in, an Emergency. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence. If no Emergency has occurred, the Transmission Operator may provide an attestation.

Registered Entity Response (Required):

Question: Did entity encounter any expected operations that could have resulted in an Emergency, or that did result in an actual Emergency, during the compliance monitoring period?

Yes No

If No, explain how this was ascertained. If Yes, provide a list of such instances and evidence of compliance.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

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

Documentary evidence (such as outlined in M8) to support that the entity informed its Reliability Coordinator, known impacted Balancing Authorities, and known other impacted Transmission Operators of the actual or expected operations that result in, or could result in, an Emergency.

Registered Entity Evidence (Required):

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

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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 TOP-001-3, R8

This section to be completed by the Compliance Enforcement Authority

	Obtain a list of dates and times that the entity experienced operational conditions that could or did result in an Emergency.
	For all or a sample of Emergencies, review documentary evidence to determine if the entity informed its Reliability Coordinator, known impacted Balancing Authorities, and known other impacted Transmission Operators of the actual or expected operations that result in, or could result in, an Emergency.
Note to Auditor:	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R9 Supporting Evidence and Documentation

- R9.** Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator and impacted interconnected entities of outages of telemetering equipment, control equipment, monitoring and assessment capabilities, and associated communication channels between the affected entities.
- M9.** Each Balancing Authority and Transmission Operator shall make available upon request, evidence that it notified its Reliability Coordinator and impacted interconnected entities of planned outages of telemetering equipment, control equipment, monitoring and assessment capabilities, and associated communication channels. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence. If such a situation has not occurred, the Balancing Authority or Transmission Operator may provide an attestation.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
A list of outages affecting other entities as described in Requirement R9.
Documentary evidence (such as outlined in M9) that demonstrates that the entity notified its Reliability Coordinator and negatively impacted interconnected entities of planned outages of telemetering and telecommunication equipment, control equipment, monitoring and assessment capabilities, and associated communication channels.

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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DRAFT NERC Reliability Standard Audit Worksheet

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Compliance Assessment Approach Specific to TOP-001-3, R9

This section to be completed by the Compliance Enforcement Authority

	(R9) For all, or a sample of, outages selected by the auditor from list provided by the entity, review evidence and verify the entity notified its Reliability Coordinator and impacted interconnected entities of outages as described in Requirement R9.
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Note to Auditor:

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R10 Supporting Evidence and Documentation

- R10.** Each Transmission Operator shall monitor Facilities, the status of Special Protection Systems, and sub-100 kV facilities identified as necessary by the Transmission Operator, within its Transmission Operator Area and neighboring Transmission Operator Areas to determine any System Operating Limit (SOL) exceedances within its Transmission Operator Area.
- M10.** Each Transmission Operator shall have, and provide upon request, evidence that could include but is not limited to Energy Management System description documents, computer printouts, SCADA data collection, or other equivalent evidence that will be used to confirm that it monitors Facilities, the status of Special protection Systems, and sub-100 kV facilities identified as necessary by the Transmission Operator, within its Transmission Operator Area and neighboring Transmission Operator Areas to determine any System Operating Limit (SOL) exceedances within its Transmission Operator Area.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Energy Management System (EMS) description documents, computer printouts, summary of SCADA collections of Real-time monitoring telemetry, or other equivalent evidence that will be used to confirm that the entity has monitored Facilities within its Transmission Operator Area and neighboring Transmission Operator Areas.
List(s) of monitored Special Protection Systems within the entity’s TOP Area.
List(s) of identified or monitored sub-100 kV facilities which were needed to make determination(s) of potential System Operating Limit exceedances within the entity’s TOP 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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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 TOP-001-3, R10

This section to be completed by the Compliance Enforcement Authority

	(R10) For all, or a sample of, Facilities, Special Protection Systems, and sub-100 kV facilities identified as necessary by the entity, within its Transmission Operator Area and neighboring Transmission Operating Areas, review evidence and determine if the entity monitored them to determine any System Operating Limit exceedances within its Transmission Operator Area.
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Note to Auditor:

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R11 Supporting Evidence and Documentation

- R11.** Each Balancing Authority shall monitor its Balancing Authority Area, including the status of Special Protection Systems that impact generation or Load, to ensure that it is able to perform its reliability functions.
- M11.** Each Balancing Authority shall have, and provide upon request, evidence that could include but is not limited to system description documents, computer printouts, SCADA data collection, or other equivalent evidence that will be used to confirm that it monitors its Balancing Authority Area, including the status of Special Protection Systems that impact generation or Load, to ensure that it is able to perform its reliability functions.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M11) that demonstrates that the entity monitors its BA 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 TOP-001-3, R11

This section to be completed by the Compliance Enforcement Authority

	(R11) Review the documentation provided to verify that the entity’s Balancing Authority Area was monitored as specified in Requirement R11.
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DRAFT NERC Reliability Standard Audit Worksheet

Note to Auditor:

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R12 Supporting Evidence and Documentation

- R12.** Each Transmission Operator shall not operate outside any identified Interconnection Reliability Operating Limit (IROL) for a continuous duration exceeding its associated IROL T_v .
- M12.** Each Transmission Operator shall make available evidence for any occasion in which it has operated outside any identified Interconnection Reliability Operating Limit (IROL) for a continuous duration exceeding its associated IROL T_v . Such evidence could include but is not limited to dated computer logs or reports in electronic or hard copy format specifying the date, time, duration, and details of the excursion. If such a situation has not occurred, the Transmission Operator may provide an attestation that an event has not occurred.

Registered Entity Response (Required):

Question: Did the entity exceed an identified IROL for any period of time during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of such instances and include evidence the system was returned to within the IROL within the IROL T_v (30 minutes).

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Documentary evidence (such as outlined in M12) that demonstrates that the entity did not operate outside any identified IROL for a continuous duration exceeding its associated IROL T_v .

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 TOP-001-3, R12

This section to be completed by the Compliance Enforcement Authority

	(R12) For a sample of BES events selected by the auditor, review evidence and verify the entity did not operate outside any IROL for a continuous duration exceeding its associated IROL T_v .
Note to Auditor: Auditors are advised to monitor compliance with Requirement R12 during events, due to the importance of compliance with Requirement R12 in such instances. Auditors can obtain a population of events for sampling from NERC's Event Database, information available at the Regional Entities, or query of the entity. Auditors should monitor compliance specifically for category 2.g events since these are specifically exceedances of IROLs for time T_v . However, in instances where there is an insufficient quantity of category 2 or greater events to sample, auditors can review lower-category events.	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R13 Supporting Evidence and Documentation

R13. Each Transmission Operator shall ensure that a Real-time Assessment is performed at least once every 30 minutes.

M13. Each Transmission Operator shall have, and make available upon request, evidence to show it ensured that a Real-Time Assessment was performed at least once every 30 minutes. This evidence could include but is not limited to dated computer logs showing times the assessment was conducted, dated checklists, or other evidence.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Documentary evidence (as outlined in M13) that demonstrates that the entity ensured a Real-time Assessment was performed at least once every 30 minutes.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to TOP-001-3, R13

This section to be completed by the Compliance Enforcement Authority

(R13) Review documentary evidence that demonstrates that the TOP ensured a Real-time Assessment was performed at least once every 30 minutes.

Note to Auditor: Per the NERC Glossary a Real-time Assessment is an examination of existing and expected system conditions conducted by collecting and reviewing immediately available data.

DRAFT NERC Reliability Standard Audit Worksheet

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R14 Supporting Evidence and Documentation

- R14.** Each Transmission Operator shall initiate its Operating Plan to mitigate a SOL exceedance identified as part of its Real-time monitoring or Real-time Assessment.
- M14.** Each Transmission Operator shall have evidence that it initiated its Operating Plan for mitigating SOL exceedances identified as part of its Real-time monitoring or Real-time Assessments. This evidence could include but is not limited to dated computer logs showing times the Operating Plan was initiated, dated checklists, or other evidence.

Registered Entity Response (Required):

Question: Did the entity have any SOL exceedances during the compliance monitoring period?

Yes No

If Yes, provide a list of such exceedances. If No, describe how this was ascertained.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

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

Documentary evidence (as outlined in M14) that demonstrates that the entity initiated its Operating Plan to mitigate an SOL exceedance identified as part of its Real-time monitoring or Real-time Assessment.

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 TOP-001-3, R14

This section to be completed by the Compliance Enforcement Authority

	(R14) For all, or a sample of, SOL exceedances, review documentary evidence that demonstrates that the entity initiated its Operating Plan to mitigate an SOL exceedance identified as part of its Real-time monitoring or Real-time Assessment.
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Note to Auditor:

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R15 Supporting Evidence and Documentation

- R15.** Each Transmission Operator shall inform its Reliability Coordinator of its actions to return the system to within limits when a SOL has been exceeded.
- M15.** Each Transmission Operator shall make available evidence that it informed its Reliability Coordinator of actions taken to return the system to within limits when a SOL was exceeded. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, or dated computer printouts. If such a situation has not occurred, the Transmission Operator may provide an attestation.

Registered Entity Response (Required):

Question: Did the entity have any SOL exceedances during the compliance monitoring period?

Yes No

If No, describe how this was ascertained. If Yes, provide a list of such exceedances and evidence of having informed the Reliability Coordinator of actions to return the system to within limits.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (such as outlined in M15) that demonstrates that the entity informed its Reliability Coordinator of its actions to return the system to within limits when an SOL has been exceeded.

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 TOP-001-3, R15

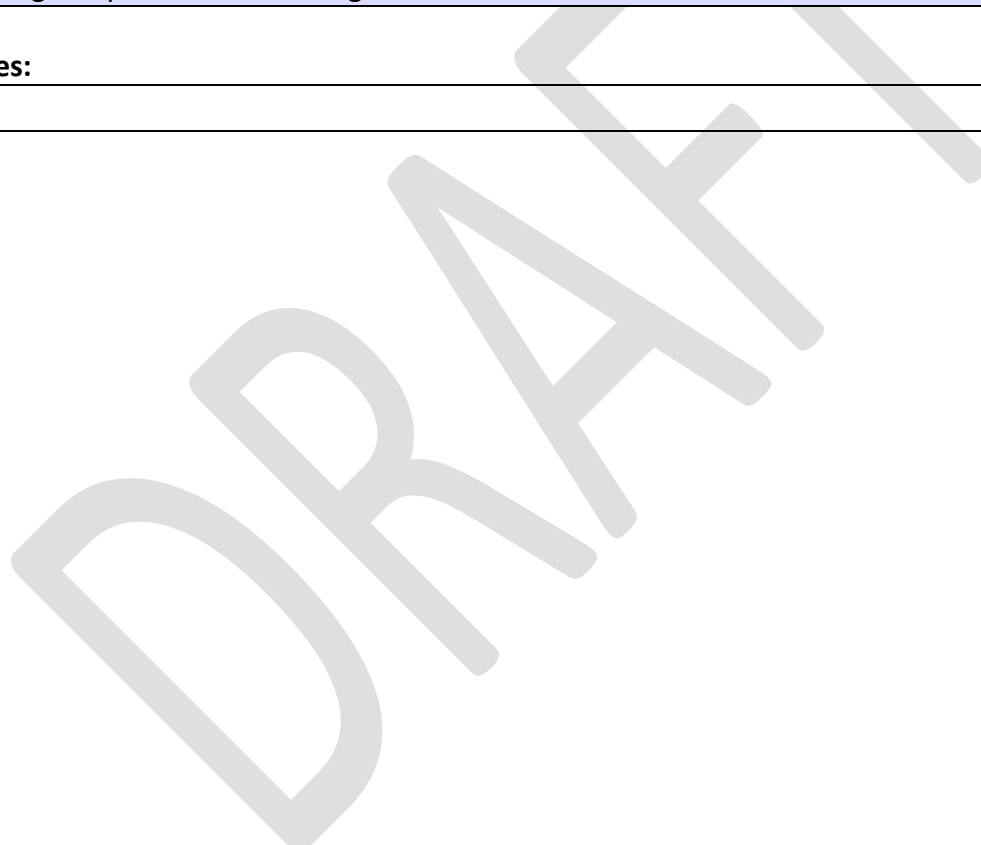
This section to be completed by the Compliance Enforcement Authority

	(R15) For all, or a sample of, SOL exceedances, review documentary evidence that demonstrates the entity informed its RC of its actions to return the system to within limits when an SOL has been exceeded.
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	Note to Auditor: Note entity’s response to applicability Question for Requirement R14 of this document, when selecting sample for audit testing.
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Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R16 Supporting Evidence and Documentation

- R16.** Each Transmission Operator shall provide its System Operators with the authority to approve planned outages and maintenance of its monitoring, telecommunication, and Real-time Assessment capabilities.
- M16.** Each Transmission Operator shall have, and provide upon request, evidence that could include but is not limited to a documented procedure or equivalent evidence that will be used to confirm that the Transmission Operator has provided its System Operators with the authority to approve planned outages and maintenance of its monitoring, telecommunication, and Real-time Assessment capabilities.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Documentary evidence (as outlined in M16) that demonstrates that the entity provided its System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to TOP-001-3, R16

This section to be completed by the Compliance Enforcement Authority

	(R16) Review documentary evidence, such as job descriptions or desk procedure(s), that demonstrates the entity provided its System Operators with the authority to approve planned outages of its own
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DRAFT NERC Reliability Standard Audit Worksheet

	monitoring and Real-time Assessment capabilities.
	(R16) Interview entity representatives to determine if they provided their System Operators with the authority to approve planned outages of its own monitoring and Real-time Assessment capabilities.
Note to Auditor: This authority can also be confirmed during Operator interview questions.	

Auditor Notes:

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DRAFT

DRAFT NERC Reliability Standard Audit Worksheet

R17 Supporting Evidence and Documentation

R17. Each Balancing Authority shall provide its System Operators with the authority to approve planned outages and maintenance of its monitoring, telecommunications, and analysis capabilities.

M17. Each Balancing Authority shall have, and provide upon request, evidence that could include but is not limited to a documented procedure or equivalent evidence that will be used to confirm that the Balancing Authority has provided its System Operators with the authority to approve planned outages and maintenance of its monitoring, telecommunications, and analysis capabilities.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

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

Documentary evidence (such as outlined in M17) that demonstrates that the entity provided its System Operators with the authority to approve planned outages of its own monitoring and analysis capabilities.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to TOP-001-3, R17

This section to be completed by the Compliance Enforcement Authority

	(R17) Review documentary evidence that demonstrates that the entity provided its System Operators with the authority to approve planned outages of its own monitoring, telecommunications, and analysis capabilities.
	(R17) Interview entity representatives to determine if they provided their System Operators with the

DRAFT NERC Reliability Standard Audit Worksheet

authority to approve planned outages of monitoring, telecommunications, and analysis capabilities.

Note to Auditor: This authority can also be confirmed during Operator interviews.

Auditor Notes:

DRAFT

DRAFT NERC Reliability Standard Audit Worksheet

R18 Supporting Evidence and Documentation

R18. Each Transmission Operator and Balancing Authority shall always operate to the most limiting parameter in instances where there is a difference in SOLs.

M18. Each Transmission Operator and Balancing Authority shall have, and provide upon request, evidence that could include but is not limited to operator logs, voice recordings, electronic communications, or equivalent evidence that will be used to determine if it operated to the most limiting parameter in instances where there is a difference in SOLs.

Registered Entity Response (Required):

Question: Did the entity experience an instance where there was a different in SOLs during the compliance monitoring period?

Yes No

If No, state how this was ascertained. If yes, provide a list of such instances and include evidence the system was operated to the most limiting parameter.

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

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested¹:

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

Documentary evidence (such as outlined in M18) that demonstrates that the entity always operated to the most limiting parameter in instances where there was a difference in SOLs.

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 TOP-001-3, R18

This section to be completed by the Compliance Enforcement Authority

	(R18) For all, or a sample of, BES events selected by the auditor, review evidence and verify the entity operated to the most limiting parameter in instances where there was a difference in SOLs.
<p>Note to Auditor: Auditors are advised to monitor compliance with Requirement R18 during events, due to the importance of compliance with Requirement R18 in such instances. Auditors can obtain a population of events for sampling from NERC’s Event Database, information available at the Regional Entities, or query of the entity. Auditors are encouraged to monitor compliance during the most critical events on the entity’s system occurring during the compliance monitoring period, generally category 2 events or higher. However, in instances where there is an insufficient quantity of category 2 or greater events to sample, auditors can review lower-category events. In the absence of events where differences in SOL exists, auditors should understand the entity’s process for complying with Requirement R18 and walkthrough examples of instances where the entity operated to the most limiting parameter when there were differences in SOLs.</p>	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R19 Supporting Evidence and Documentation

R19. Each Transmission Operator shall have data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Transmission Operator Area.

M19. Each Transmission Operator shall have, and provide upon request, evidence that could include, but is not limited to, operator logs, system specifications, or other evidence that it has data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Transmission Operator Area.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
List of other entities that audited entity has identified that it needs real-time data from in order to maintain reliability in its Transmission Operator Area.
Operator logs, system specification, or other evidence that the entity has data exchange capabilities with the entities that it has identified that it needs data from.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to TOP-001-3, R16

This section to be completed by the Compliance Enforcement Authority

	(R19) For all, or a sample of, entities that the audited entity has identified that it needs real-time data from in order to maintain reliability in its Transmission Operator Area, review evidence to verify the
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DRAFT NERC Reliability Standard Audit Worksheet

<input type="checkbox"/>	entity has data exchange capabilities with those identified entities.
Note to Auditor:	

Auditor Notes:

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DRAFT NERC Reliability Standard Audit Worksheet

R20 Supporting Evidence and Documentation

R20. Each Balancing Authority shall have data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Balancing Authority Area.

M20. Each Balancing Authority shall have, and provide upon request, evidence that could include, but is not limited to, operator logs, system specifications, or other evidence that it has data exchange capabilities with the entities that it has identified that it needs data from in order to maintain reliability in its Balancing Authority Area.

Compliance Narrative (Required):

Provide a brief explanation, in your own words, of how you comply with this Requirement. References to supplied evidence, including links to the appropriate page, are recommended.

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
List of other entities that the audited entity has identified that it needs real-time data from in order to maintain reliability in its Balancing Authority Area.
Operator logs, system specification, or other evidence that the entity has data exchange capabilities with the entities that it has identified that it needs data from.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to TOP-001-3, R16

This section to be completed by the Compliance Enforcement Authority

	(R20) For all, or a sample of, entities that the audited entity has identified that it needs real-time data from

DRAFT NERC Reliability Standard Audit Worksheet

in order to maintain reliability in its BA Area, review evidence to verify the entity has data exchange capabilities with those identified entities.

Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Sampling Methodology

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

Regulatory Language

To be inserted by NERC Legal prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Selected Glossary Terms

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

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DRAFT NERC Reliability Standard Audit Worksheet

Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/20/2014	Initial Posting	New Document
2	08/29/2014	NERC Compliance, NERC Standards, RSAWTF	Revisions for updated standard language and comments received during comment period.

¹ 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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