

Reliability Standard Audit Worksheet¹

IRO-014-3 – Coordination Among Reliability Coordinators

This section to be completed by the Compliance Enforcement Authority.

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

Applicability of Requirements

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

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

The NERC RSAW language contained within this document provides a non-exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserves the right to request additional evidence from the registered entity that is not included in this RSAW. Additionally, this RSAW includes excerpts from FERC Orders and other regulatory references. The FERC Order cites are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail.

² Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs.

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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			

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 and implement Operating Procedures, Operating Processes, or Operating Plans, for activities that require notification or coordination of actions that may impact adjacent Reliability Coordinator Areas, to support Interconnection reliability. These Operating Procedures, Operating Processes, or Operating Plans shall include, but are not limited to, the following:
- 1.1** Criteria and processes for notifications.
 - 1.2** Energy and capacity shortages.
 - 1.3** Control of voltage, including the coordination of reactive resources.
 - 1.4** Exchange of information including planned and unplanned outage information to support its Operational Planning Analyses and Real-time Assessments.
 - 1.5** Provisions for periodic communications to support reliable operations.
- M1.** Each Reliability Coordinator shall have available the latest approved documented version of its Operating Procedures, Operating Processes, and Operating Plans that require notifications, or the coordination of actions among impacted Reliability Coordinators for conditions or activities that impact adjacent Reliability Coordinator Areas. This documentation shall include dated, current in force documentation with the specified elements, and notes from periodic communications.

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.
Operating Procedures, Operating Processes, or Operating Plans that require notification or the coordination of actions among impacted Reliability Coordinators for conditions or activities that impact adjacent Reliability Coordinator Areas.

Registered Entity Evidence (Required):

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

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

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

This section to be completed by the Compliance Enforcement Authority

	(R1) Interview the entity’s management to determine how they document Operating Procedures, Processes, and Plans for activities that require notification or coordination of actions that may impact adjacent Reliability Coordinator Areas, to support Interconnection reliability.
	Review documented coordination procedures and confirm that the Operating Plans cover the following topics:
	(Part 1.1) Criteria and process for notification.
	(Part 1.2) Energy and capacity shortages.
	(Part 1.3) Control of voltage, including the coordination of reactive resources.
	(Part 1.4) Exchange of information including planned and unplanned outage information to support its Operational Planning Analyses and Real-time Assessments.
	(Part 1.5) Provisions for periodic communications to support reliable operations.
Note to Auditor:	

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Reliability Coordinator shall maintain its Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1 as follows:
- 2.1** Review and update annually with no more than 15 months between reviews.
 - 2.2** Obtain written agreement from all of the Reliability Coordinators required to take the indicated action(s) for each update.
 - 2.3** Distribute to all Reliability Coordinators that are required to take the indicated action(s) within 30 days of an update.
- M2.** Each Reliability Coordinator shall have dated evidence that the Operating Procedures, Operating Processes, and Operating Plans that require one or more other Reliability Coordinators to take action were maintained as specified. This evidence may include but is not limited to dated documentation with confirmation of receipt, dated notice of acceptance or agreement to take specified actions, or dated electronic communications with confirmation of receipt and acceptance or agreement to take specified actions.

Compliance Narrative (Required):

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

Evidence Requested !:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence of annual review of the entity’s Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.
If the most recent changes to the Operating Procedures, Processes, or Plans required one or more other Reliability Coordinators to take action, provide evidence that: <ul style="list-style-type: none"> ○ Entity received written agreement from all other Reliability Coordinator’s required to take action. ○ Reliability Coordinator required to take action received an update within 30 days of an update.

Registered Entity Evidence (Required):

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

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

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

This section to be completed by the Compliance Enforcement Authority

	(R2) Review evidence that the entity maintained its Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1 according to the following items:
	(Part 2.1) Annual review and update with no more than 15 months between reviews.
	(Part 2.2) Obtained written agreement from all of the Reliability Coordinators required to take the indicated action for each update(s).
	(Part 2.3) Update was distributed to all Reliability Coordinators required to take action within 30 days of the update.
Note to Auditor: Annually, in this context, means at least once per calendar year with no more than 15 months between reviews.	

Auditor Notes:

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R3 Supporting Evidence and Documentation

R3. Each Reliability Coordinator, upon identification of an expected or actual Emergency in its Reliability Coordinator Area, shall notify other impacted Reliability Coordinators.

M3. Each Reliability Coordinator shall have and provide evidence which may include but is not limited to operator logs, voice recordings, or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it, upon identification of an expected or actual Emergency in its Reliability Coordinator Area, notified other impacted Reliability Coordinators.

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.

Documentation that evidences that entity notified other impacted Reliability Coordinators of an expected or actual Emergency in 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 IRO-014-3, R3

This section to be completed by the Compliance Enforcement Authority

(R3) For all, or a sample of, BES events that were Emergencies, review evidence to determine if the entity notified any other impacted Reliability Coordinators in accordance with the Operating Procedures, Operating Processes, or Operating Plans identified in Requirement R1.

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Note to Auditor: Auditors shall monitor compliance with Requirement R3 during events, due to the importance of notifications 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.

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Each impacted Reliability Coordinator shall operate as though the Emergency exists during each instance where Reliability Coordinators disagree on the existence of an Emergency.
- M4.** Each Reliability Coordinator shall have and provide evidence which may include but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it operated as though an Emergency existed during each instance where Reliability Coordinators disagreed on the existence of an Emergency.

Compliance Narrative (Required):

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

Evidence Requested ¹:

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

Operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that the entity operated as though an Emergency existed.

Registered Entity Evidence (Required):

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

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

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

Compliance Assessment Approach Specific to IRO-014-3, R4

This section to be completed by the Compliance Enforcement Authority

(R4) For a sample of events, review evidence to verify that the entity operated as though an Emergency

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existed in instances where the entity disagreed with other Reliability Coordinators regarding existence of an Emergency.

Note to Auditor: Auditors shall monitor compliance with Requirement R4 during events, due to the importance of compliance 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.

Auditor Notes:

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R5 Supporting Evidence and Documentation

- R5.** Each Reliability Coordinator that identified an Emergency in its Reliability Coordinator Area shall develop an action plan to resolve the Emergency during those instances where impacted Reliability Coordinators disagree on the existence of an Emergency.
- M5.** Each Reliability Coordinator that identified an Emergency in its Reliability Coordinator Area shall have evidence that it developed an action plan during those instances where impacted Reliability Coordinators disagreed on the existence of an Emergency. This evidence may include but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation.

Registered Entity Response (Required):

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.
Action plans for instances where the entity disagreed on the existence of an Emergency with another impacted Reliability Coordinator. Evidence may include, but is not limited to, operator logs, voice recordings (or transcripts), electronic communications, or equivalent dated documentation.

Registered Entity Evidence (Required):

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

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

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

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This section to be completed by the Compliance Enforcement Authority

(R5) For all a sample of Events, review evidence to determine if the entity declared an Emergency where another impacted Reliability Coordinator disagreed with the existence of an Emergency and, if so, review evidence to verify that the entity developed an action plan to resolve the Emergency.

Note to Auditor: Auditors shall monitor compliance with Requirement R5 during events, due to the importance of compliance 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.

Auditor Notes:

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R6 Supporting Evidence and Documentation

R6. Each impacted Reliability Coordinator shall implement the action plan developed by the Reliability Coordinator that identified the Emergency during those instances where Reliability Coordinators disagree on the existence of an Emergency, unless such actions would violate safety, equipment, regulatory, or statutory requirements.

M6. Each impacted Reliability Coordinator shall have and provide evidence which may include but is not limited to operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that it implemented the action plan developed by the Reliability Coordinator who has identified the Emergency when Reliability Coordinators disagree on the existence of an Emergency unless such actions would have violated safety, equipment, regulatory, or statutory requirements.

Compliance Narrative (Required):

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

Evidence Requested ¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Operator logs, voice recordings or transcripts of voice recordings, electronic communications, or equivalent dated documentation, that will be used to determine that the entity implemented the action plan developed by the Reliability Coordinator identifying the Emergency where existence is disputed.

Registered Entity Evidence (Required):

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

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

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

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

This section to be completed by the Compliance Enforcement Authority

(R6) For a sample of Events, review evidence to determine if the entity implemented the action plan developed by the Reliability Coordinator declaring the Emergency during those instances where they disagreed regarding the existence of an Emergency and, if so, review evidence to verify that the entity initiated the action plan to resolve the Emergency.

Note to Auditor: Auditors shall monitor compliance with Requirement R6 during events, due to the importance of compliance 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.

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each Reliability Coordinator shall assist Reliability Coordinators, if requested and able, provided that the requesting Reliability Coordinator has implemented its emergency procedures, unless such actions cannot be physically implemented or would violate safety, equipment, regulatory, or statutory requirements.
- M7.** Each Reliability Coordinator shall make available upon request, evidence that requested assistance was provided, if able, to requesting Reliability Coordinators unless such actions could not be physically implemented or would violate safety, equipment, regulatory, or statutory requirements. Such evidence could include but is not limited to dated operator logs, voice recordings or transcripts of voice recordings, electronic communications, or other equivalent evidence in electronic or hard copy format. If such a situation has not occurred, the Reliability Coordinator may provide an attestation.

Compliance Narrative (Required):

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

Evidence Requested ⁱ:

Provide the following evidence, or other evidence to demonstrate compliance.
Dated operator logs, voice recordings (transcripts), electronic communications, or other equivalent evidence that the entity provided assistance as requested in accordance with Requirement R7.

Registered Entity Evidence (Required):

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

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

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

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This section to be completed by the Compliance Enforcement Authority

(R7) For a sample of BES events, selected by the auditor where assistance was requested from another Reliability Coordinator, review evidence and verify that the requesting Reliability Coordinator implemented its emergency procedures and that the entity provided such assistance, if able. If assistance was available and not provided, review evidence to verify that such actions could not be physically implemented or would violate safety, equipment, regulatory, or statutory requirements

Note to Auditor: Auditors shall monitor compliance with Requirement R6 during events, due to the importance of compliance 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.

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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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.

i Items in the Evidence Requested section are suggested evidence that may, but will not necessarily, demonstrate compliance. These items are not mandatory and other forms and types of evidence may be submitted at the entity's discretion.

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