

Reliability Standard Audit Worksheet¹

MOD-031-2 – Demand and Energy Data

This section to be completed by the Compliance Enforcement Authority.

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

Applicability of Requirements

	BA	DP	GO	GOP	IA	LSE	PA/PC	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1	X						X ³								
R2	X ⁴	X ⁴				X ⁴								X ⁴	
R3	X ⁵						X ^{3,5}								
R4	X ⁴	X ⁴				X ⁴								X ⁴	

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

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.

³ This proposed standard combines “Planning Authority” with “Planning Coordinator” in the list of applicable functional entities. The NERC Functional Model lists “Planning Coordinator” while the registration criteria lists “Planning Authority,” and they are not yet synchronized. Until that occurs, the proposed standard applies to both Planning Authority and Planning Coordinator.

⁴ As identified by a Planning Coordinator or Balancing Authority in a data request issued per Requirement R1 Part 1.1 of MOD-031-2.

⁵ As requested by applicable Regional Entity.

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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			

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 Planning Coordinator or Balancing Authority that identifies a need for the collection of Total Internal Demand, Net Energy for Load, and Demand Side Management data shall develop and issue a data request to the applicable entities in its area.⁶ The data request shall include:
- 1.1.** A list of Transmission Planners, Balancing Authorities, Load Serving Entities, and Distribution Providers that are required to provide the data (“Applicable Entities”).
 - 1.2.** A timetable for providing the data. (A minimum of 30-days must be allowed for responding to the request).
 - 1.3.** A request to provide any or all of the following actual data, as necessary:
 - 1.3.1.** Integrated hourly Demands in megawatts for the prior calendar year.
 - 1.3.2.** Monthly and annual integrated peak hour Demands in megawatts for the prior calendar year.
 - 1.3.2.1.** If the annual peak hour actual Demand varies due to weather-related conditions (e.g., temperature, humidity or wind speed), the Applicable Entity shall also provide the weather normalized annual peak hour actual Demand for the prior calendar year.
 - 1.3.3.** Monthly and annual Net Energy for Load in gigawatthours for the prior calendar year.
 - 1.3.4.** Monthly and annual peak hour controllable and dispatched Demand Side Management under the control or supervision of the System Operator in megawatts for the prior calendar year. Three values shall be reported for each hour: 1) the committed megawatts (the amount under control or supervision), 2) the dispatched megawatts (the amount, if any, activated for use by the System Operator), and 3) the realized megawatts (the amount of actual demand reduction).
 - 1.4.** A request to provide any or all of the following forecast data, as necessary:
 - 1.4.1.** Monthly peak hour forecast Total Internal Demands in megawatts for the next two calendar years.
 - 1.4.2.** Monthly forecast Net Energy for Load in gigawatthours for the next two calendar years.
 - 1.4.3.** Peak hour forecast Total Internal Demands (summer and winter) in megawatts for ten calendar years into the future.
 - 1.4.4.** Annual forecast Net Energy for Load in gigawatthours for ten calendar years into the future.
 - 1.4.5.** Total and available peak hour forecast of controllable and dispatchable Demand Side Management (summer and winter), in megawatts, under the control or supervision of the System Operator for ten calendar years into the future.
 - 1.5.** A request to provide any or all of the following summary explanations, as necessary:
 - 1.5.1.** The assumptions and methods used in the development of aggregated Peak Demand and Net Energy for Load forecasts.
 - 1.5.2.** The Demand and energy effects of controllable and dispatchable Demand Side Management under the control or supervision of the System Operator.

⁶ For the Balancing Authority, “their area” encompasses their Balancing Authority Area as defined in the NERC Glossary of Terms. For the Planning Coordinator, “their area” encompasses the facilities for which the Planning Coordinator coordinates and integrates transmission facilities, service plans, resource plans, and protection systems.

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- 1.5.3. How Demand Side Management is addressed in the forecasts of its Peak Demand and annual Net Energy for Load.
- 1.5.4. How the controllable and dispatchable Demand Side Management forecast compares to actual controllable and dispatchable Demand Side Management for the prior calendar year and, if applicable, how the assumptions and methods for future forecasts were adjusted.
- 1.5.5. How the peak Demand forecast compares to actual Demand for the prior calendar year with due regard to any relevant weather-related variations (e.g., temperature, humidity, or wind speed) and, if applicable, how the assumptions and methods for future forecasts were adjusted.

M1. The Planning Coordinator or Balancing Authority shall have a dated data request, either in hardcopy or electronic format, in accordance with Requirement R1.

Registered Entity Response (Required):

Compliance Narrative:

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

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
Copies of entity's data requests developed and issued in accordance with Requirement R1, or a statement that no data requests were issued.

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 MOD-031-2, R1

This section to be completed by the Compliance Enforcement Authority

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For the data requests selected by auditor for audit testing, review and verify the request included items described in parts 1.1 and 1.2.

Note to Auditor: Items listed in parts 1.3 through 1.5.5 are optional and are included in the data request at the issuing entity’s discretion. A data request may include requests for additional data, but there is no requirement to provide the additional data pursuant to this standard.

Entity assertions that no data requests were issued (see “a statement that no data requests were issued” in the Evidence Requested section above) do not have to be in writing.

Auditor Notes:

[Empty box for Auditor Notes]

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R2 Supporting Evidence and Documentation

- R2.** Each Applicable Entity identified in a data request shall provide the data requested by its Planning Coordinator or Balancing Authority in accordance with the data request issued pursuant to Requirement R1.
- M2.** Each Applicable Entity shall have evidence such as dated e-mails or dated transmittal letters that it provided the data requested in accordance with Requirement R2.

Registered Entity Response (Required):

Compliance Narrative:

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
See M2.

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 MOD-031-2, R2

This section to be completed by the Compliance Enforcement Authority

Review evidence (documented date of request and reply) to determine if the entity responses to Planning Coordinator or Balancing Authority’s data request(s) were made in accordance with Requirement R1 and within the timetable established in part 1.2.
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Note to Auditor: Based on the language in the requirement and the purpose of the standard, which is to facilitate the sharing of data to support reliability studies, the auditor should not only verify that the data was delivered within the timeframe(s) specified, but also verify that the data delivered met the requirements of the

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request. The responding entity does not have to provide data beyond that requested per parts 1.3 through 1.5.5 of Requirement R1.

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** The Planning Coordinator or the Balancing Authority shall provide the data listed under Requirement R1 Parts 1.3 through 1.5 for their area to the applicable Regional Entity within 75 calendar days of receiving a request for such data, unless otherwise agreed upon by the parties.

- M3.** Each Planning Coordinator or Balancing Authority, shall have evidence, such as dated e-mails or dated transmittal letters that it provided the data requested by the applicable Regional Entity in accordance with Requirement R3.

Registered Entity Response (Required):

Compliance Narrative:

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

Evidence Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
See M3.

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 MOD-031-2, R3

This section to be completed by the Compliance Enforcement Authority

	Review evidence (documented date of the Regional Entity’s request and entity’s reply) to determine if they provided responses to Regional Entity’s data request(s) in accordance with Requirement R3 and within 75 days from the receipt date of the data request.
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Note to Auditor: Auditor should communicate with entity’s Regional Entity to determine whether the Regional

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Entity had made a data request to the entity under audit. In the instance where the Planning Coordinator or the Balancing Authority collected additional data from Applicable Entities, the additional information may be provided to the Regional Entity but there is no obligation to do so pursuant to this requirement.

Auditor Notes:

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R4 Supporting Evidence and Documentation

- R4.** Any Applicable Entity shall, in response to a written request for the data included in parts 1.3-1.5 of Requirement R1 from a Planning Coordinator, Balancing Authority, Transmission Planner or Resource Planner with a demonstrated need for such data in order to conduct reliability assessment of the Bulk Electric System, provide or otherwise make available that data to the requesting entity. This requirement does not modify an entity’s obligation pursuant to Requirement R2 to respond to data requests issued by its Planning Coordinator or Balancing Authority pursuant to Requirement R1. Unless otherwise agreed upon, the Applicable Entity:
- shall provide the requested data within 45 calendar days of the written request, subject to part 4.1 of this requirement; and
 - shall not be required to provide any requested data that, if provided, would conflict with the Applicable Entity’s confidentiality, regulatory, or security requirements; and
 - shall not be required to alter the format in which it maintains or uses the data.
- 4.1.** If the Applicable Entity does not provide data requested under this requirement because (1) the requesting entity did not demonstrate a reliability need for the data; or (2) providing the data would conflict with the Applicable Entity’s confidentiality, regulatory, or security requirements, the Applicable Entity shall, within 30 calendar days of the written request, provide a written response to the requesting entity specifying the data that is not being provided and on what basis.
- M4.** Each Applicable Entity identified in Requirement R4 shall have evidence such as dated e-mails or dated transmittal letters that it provided the data requested or provided a written response specifying the data that is not being provided and the basis for not providing the data in accordance with Requirement R4.

Registered Entity Response (Required):

Compliance Narrative:

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence listed in M4 as well as a copy of the data request; or a statement that a data request was not received.

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 MOD-031-1, R4

This section to be completed by the Compliance Enforcement Authority

	Review evidence (documented date of request and reply) to determine if the entity responses to data request(s) were made in accordance with Requirement R4 and within 45 days of the date of the written request.
<p>Note to Auditor: Based on the language in the requirement and the purpose of the standard, which is to facilitate the sharing of data to support reliability studies, the auditor should not only verify that the data was delivered within the timeframe(s) specified, but also verify that the data delivered met the requirements of the request. The responding entity does not have to provide data beyond that requested per parts 1.3 through 1.5.4 of Requirement R1.</p> <p>Auditors, at their discretion, may communicate with the requesting Planning Coordinators, Balancing Authorities, Transmission Planners, and Resource Planners to determine if responses to data requests were appropriate in accordance with this Requirement.</p> <p>Entity assertions that no data requests were issued (see “a statement that no data requests were issued” in the Evidence Requested section above) do not have to be in writing.</p>	

Auditor Notes:

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Additional Information:

Reliability Standard

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

The full text of STD-OXX-N may be found on the NERC Web Site (www.nerc.com) under “Program Areas & Departments”, “Reliability Standards.”

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site.

In addition to the Reliability Standard, there is background information available on the NERC Web Site.

Capitalized terms in the Reliability Standard refer to terms in the NERC Glossary, which may be found on the NERC Web Site.

Sampling Methodology [If developer deems reference applicable]

Sampling is essential for auditing compliance with NERC Reliability Standards since it is not always possible or practical to test 100% of either the equipment, documentation, or both, associated with the full suite of enforceable standards. The Sampling Methodology Guidelines and Criteria (see NERC website), or sample guidelines, provided by the Electric Reliability Organization help to establish a minimum sample set for monitoring and enforcement uses in audits of NERC Reliability Standards.

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

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

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

Selected Glossary Terms [If developer deems applicable]

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

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	08/13/2015	NERC Compliance Assurance, RSAW Task Force, Standards Drafting Team	New Document. Draft RSAW posted with draft Reliability Standard – Posting 31 July 2015

Revision History for RSAW Template

Version	Date	Reviewers	Revision Description
0.9	11/6/2013	RSAW Working Group	Initial Draft
1.0	11/20/2013	CMFG	First Review
1.1	12/1/2014	RSAW TF, CMFG	Minor text changes
1.2	2/17/2014	Jerry Hedrick	Removed Internal Controls approach for additional consideration

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.