

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

# EOP-006-2 – System Restoration Coordination

***This section must be completed by the Compliance Enforcement Authority.***

**Registered Entity:**

**NCR Number:**

**Applicable Function(s):** RC

**Compliance Assessment Date:**

**Compliance Monitoring Method:**

**Names of Auditors:**

**Subject Matter Experts**

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

**Registered Entity Response (Required):**

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| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
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# **R1 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall have a Reliability Coordinator Area restoration plan. The scope of the Reliability Coordinator’s restoration plan starts when Blackstart Resources are utilized to re-energize a shut down area of the Bulk Electric System (BES), or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area. The scope of the Reliability Coordinator’s restoration plan ends when all of its Transmission Operators are interconnected and ~~it~~ its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas. The restoration plan shall include:  *[Violation Risk Factor = High] [Time Horizon = Operations Planning]*
   1. A description of the high level strategy to be employed during restoration events for restoring the Interconnection including minimum criteria for meeting the objectives of the Reliability Coordinator’s restoration plan.
   2. Operating Processes for restoring the Interconnection.
   3. Descriptions of the elements of coordination between individual Transmission Operator restoration plans.
   4. Descriptions of the elements of coordination of restoration plans with neighboring Reliability Coordinators.
   5. Criteria and conditions for reestablishing interconnections with other Transmission Operators within its Reliability Coordinator Area, with Transmission Operators in other Reliability Coordinator Areas, and with other Reliability Coordinators.
   6. Reporting requirements for the entities within the Reliability Coordinator Area during a restoration event.
   7. Criteria for sharing information regarding restoration with neighboring Reliability Coordinators and with Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
   8. Identification of the Reliability Coordinator as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators, and to Transmission Operators, and Balancing Authorities within its Reliability Coordinator Area.
   9. Criteria for transferring operations and authority back to the Balancing Authority.

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R1**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify the Registered Entity has:

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|  | A Reliability Coordinator Area restoration plan that contains: |
|  | (R1.1) A description of the high level strategy for restoring the Interconnection. |
|  | (R1.1) Minimum criteria to meet the objectives of the plan. |
|  | (R1.2) Operating Processes for Interconnection restoration. |
|  | (R1.3) A description of the coordination elements between individual Transmission  Operator restoration plans. |
|  | (R1.4) Descriptions of coordination elements of restoration plans with neighboring Reliability  Coordinators. |
|  | (R1.5) Criteria and conditions for reestablishing interconnections are included in the restoration  plan with: |
|  | (R1.5) Other Transmission Operators within its Reliability Coordinator Areas. |
|  | (R1.5) Transmission Operators in other Reliability Coordinator Areas. |
|  | (R1.5)Other Reliability Coordinators. |
|  | (R1.6) Reporting requirements for entities within the Reliability Coordinator Area during a restoration event |
|  | (R1.7) Criteria for sharing information regarding restoration with: |
|  | (R1.7) Neighboring Reliability Coordinators. |
|  | (R1.7) Transmission Operators within its Reliability Coordinator Area. |
|  | (R1.7) Balancing Authorities within its Reliability Coordinator Area. |
|  | (R1.8) Identification of the Reliability Coordinator as the primary contact for disseminating restoration information to: |
|  | (R1.8) Neighboring Reliability Coordinators within its Reliability Coordinator Area. |
|  | (R1.8) Transmission Operators within its Reliability Coordinator Area. |
|  | (R1.8) Balancing Authorities within its Reliability Coordinator Area. |
|  | (R1.9) Criteria for transferring operations and authority back to the Balancing Authority after the event. |
| **Note to Auditor:** | |

**Auditor Notes:**

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# **R2 Supporting Evidence and Documentation**

1. The Reliability Coordinator shall distribute its most recent Reliability Coordinator Area restoration plan to each of its Transmission Operators and neighboring Reliability Coordinators within 30 calendar days of creation or revision. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R2**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify:

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|  | Distribution of the Reliability Coordinator Area restoration plan to: |
|  | Each of its Transmission Operators within 30 calendar days of creation/revision. |
|  | Each of its Neighboring Reliability Coordinators within 30 calendar days of creation/revision. |
| **Note to Auditor:** Evidence may include but is not limited to e-mails with receipts, posting to a secure web site with notification to affected entities, or registered mail receipts. | |

**Auditor Notes:**

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# **R3 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall review its restoration plan within 13 calendar months of the last review. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R3**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify the registered entity has:

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|  | Reviewed its restoration plan within 13 calendar months of the last review. |
| **Note to Auditor:** Evidence may include but is not limited to a dated signature sheets, or revision histories. | |

**Auditor Notes:**

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# **R4 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall review their neighboring Reliability Coordinator’s restoration plans. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]* 
   1. If the Reliability Coordinator finds conflicts between its restoration plans and any of its neighbors, the conflicts shall be resolved in 30 calendar days.

**Question:** Were conflicts between restoration plans identified? If yes, was the conflict resolved within the 30 calendar day limit?

**Registered Entity Response** **to Question** **(Required):**

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R4**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify:

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|  | The entity responded to the applicability question and provided evidence of compliance if the response was ‘yes.’ |
|  | Neighboring Reliability Coordinator’s restoration plans were reviewed. |
|  | (R4.1) Any conflicts were resolved within 30 calendar days. |
| **Note to Auditor:** | |

**Auditor Notes:**

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# **R5 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall review the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
   1. The Reliability Coordinator shall determine whether the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operators’ restoration plans within its Reliability Coordinator Area. The Reliability Coordinator shall approve or disapprove, with stated reasons, the Transmission Operator’s submitted restoration plan within 30 calendar days following the receipt of the restoration plan from the Transmission Operator.

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R5**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to:

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|  | Verify the entity reviewed the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area. |
|  | (R5.1) Verify the entity determined the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operator’s restoration plans within its Reliability Coordinator Area. |
|  | (R5.1) Determine that approval or disapproval, with stated reasons, was provided to the Transmission Operator(s) within 30 calendar days of receipt of the plan(s). |
| **Note to Auditor:** | |

**Auditor Notes:**

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# **R6 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall have a copy of its latest restoration plan and copies of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area within its primary and backup control rooms so that it is available to all of its System Operators prior to the implementation date. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R6**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to:

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

**Auditor Notes:**

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# **R7 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall work with its affected Generator Operators~~,~~ and Transmission Operators as well as neighboring Reliability Coordinators to monitor restoration progress, coordinate restoration, and take actions to restore the BES frequency within acceptable operating limits. If the restoration plan cannot be completed as expected the Reliability Coordinator shall utilize its restoration plan strategies to facilitate System restoration. *[Violation Risk Factor = High] [Time Horizon = Real-time Operations]*

**Question:** Did an event occur that required implementation of a system restoration plan within the Reliability Coordinator Area? If yes, was the restoration plan completed as expected?

**Registered Entity Response** **(Required):**

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R7**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify:

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|  | The entity responded to the applicability question and provided evidence of compliance if the response was yes. |
|  | That if an event requiring implementation of a system restoration plan occurred, that the entity: |
|  | Monitored restoration progress. |
|  | Coordinated restoration. |
|  | Took action to restore the BES frequency within acceptable operating limits. |
|  | That if the restoration plan could not be completed as expected, that the entity utilized its restoration plan strategies to facilitate System restoration. |
| **Note to Auditor:** Evidence may include, but is not limited to, voice recordings, e-mail, dated computer printouts, or operator logs, that the entity monitored and coordinated restoration progress. | |

**Auditor Notes:**

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# **R8 Supporting Evidence and Documentation**

1. The Reliability Coordinator shall coordinate or authorize resynchronizing islanded areas that bridge boundaries between Transmission Operators or Reliability Coordinators. If the resynchronization cannot be completed as expected the Reliability Coordinator shall utilize its restoration plan strategies to facilitate resynchronization. [Violation Risk Factor = High] [Time Horizon = Real-time Operations]

**Question:** Has an event occurred that required coordination or authorization for resynchronization of islanded areas that bridged boundaries between Transmission Operators or Reliability Coordinators? If yes, was the resynchronization completed as expected?

**Registered Entity Response** **(Required):**

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R8**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to:

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|  | Verify the entity responded to the applicability question and provided evidence of compliance if the response was yes. |
|  | Verify the entity coordinated or authorized resynchronization of islanded areas that bridge boundaries between Transmission Operators or Reliability Coordinators. |
|  | Verify if the resynchronization could not be completed as expected, verify the entity utilized its restoration plan strategies to facilitate resynchronization. |
| **Note to Auditor:** If there has been a resynchronizing of an islanded area, evidence may include, but is not limited to, voice recordings, e-mail, or operator logs, that the entity coordinated or authorized resynchronizing. | |

**Auditor Notes:**

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# **R9 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall include within its operations training program, annual System restoration training for its System Operators to assure the proper execution of its restoration plan. This training program shall address the following: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
   1. The coordination role of the Reliability Coordinator.
   2. Reestablishing the Interconnection.

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R9**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to verify:

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|  | The entity included annual System restoration training for its System Operators within its operations training program. Verify the training program addresses: |
|  | (R9.1) Reliability Coordinator coordination role. |
|  | (R9.2) Reestablishing the Interconnection. |
| **Note to Auditor:**. Initially, entities will have one year from July 1, 2013 to execute this training. | |

**Auditor Notes:**

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# **R10 Supporting Evidence and Documentation**

1. Each Reliability Coordinator shall conduct two System restoration drills, exercises, or simulations per calendar year, which shall include the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that is being conducted. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
   1. Each Reliability Coordinator shall request each Transmission Operator identified in its restoration plan and each Generator Operator identified in the Transmission Operators’ restoration plans to participate in a drill, exercise, or simulation at least every two calendar years.

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this Requirement.

**Registered Entity Evidence (Required):**

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| Provide the following for all evidence submitted (Insert additional rows if necessary):  File Name, File Extension, Document Title, Revision, Date, Page(s), Section(s), Section Title(s), Description |
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**Audit Team Evidence Reviewed** **(This section must be completed by the Compliance Enforcement Authority):**

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**Compliance Assessment Approach Specific to EOP-006-2, R10**

***This section must be completed by the Compliance Enforcement Authority***

Review the evidence to:

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|  | Verify the entity conducted two System restoration drills, exercises, or simulations each calendar year. |
|  | Verify the entity included the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that is being conducted. |
|  | Verify the entity requested each Transmission Operator identified in its restoration plan and each Generator Operator identified in the Transmission Operators’ restoration plans to participate in a drill, exercise, or simulation at least every two calendar years. |
| **Note to Auditor:**. Initially entities will have one year from July 1, 2013 to execute the drills referred to in R10 and two years from July 1, 2013 to conduct the drill referred to in R10.1. | |

**Auditor Notes:**

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# **Compliance Finding Summary**

***This section must be completed by the Compliance Enforcement Authority***

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| **Req.** | **NF** | **PV** | **OEA** | **NA** | **Statement** |
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# **Additional Information:**

**Reliability Standard**

1. Introduction
2. **Title: System Restoration Coordination**
3. **Number:** EOP-006-2
4. **Purpose:** Ensure plans are established and personnel are prepared to enable effective coordination of the System restoration process to ensure reliability is maintained during restoration and priority is placed on restoring the Interconnection.
5. **Applicability:**
   1. Reliability Coordinators.
6. **Proposed Effective Date:**  Twenty-four months after the first day of the first calendar quarter following applicable regulatory approval. In those jurisdictions where no regulatory approval is required, all requirements go into effect twenty-four months after Board of Trustees adoption.
7. Requirements
8. Each Reliability Coordinator shall have a Reliability Coordinator Area restoration plan. The scope of the Reliability Coordinator’s restoration plan starts when Blackstart Resources are utilized to re-energize a shut down area of the Bulk Electric System (BES), or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area. The scope of the Reliability Coordinator’s restoration plan ends when all of its Transmission Operators are interconnected and ~~it~~ its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas. The restoration plan shall include:  *[Violation Risk Factor = High] [Time Horizon = Operations Planning]*
   1. A description of the high level strategy to be employed during restoration events for restoring the Interconnection including minimum criteria for meeting the objectives of the Reliability Coordinator’s restoration plan.
   2. Operating Processes for restoring the Interconnection.
   3. Descriptions of the elements of coordination between individual Transmission Operator restoration plans.
   4. Descriptions of the elements of coordination of restoration plans with neighboring Reliability Coordinators.
   5. Criteria and conditions for reestablishing interconnections with other Transmission Operators within its Reliability Coordinator Area, with Transmission Operators in other Reliability Coordinator Areas, and with other Reliability Coordinators.
   6. Reporting requirements for the entities within the Reliability Coordinator Area during a restoration event.
   7. Criteria for sharing information regarding restoration with neighboring Reliability Coordinators and with Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
   8. Identification of the Reliability Coordinator as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators, and to Transmission Operators, and Balancing Authorities within its Reliability Coordinator Area.
   9. Criteria for transferring operations and authority back to the Balancing Authority.
9. The Reliability Coordinator shall distribute its most recent Reliability Coordinator Area restoration plan to each of its Transmission Operators and neighboring Reliability Coordinators within 30 calendar days of creation or revision. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*
10. Each Reliability Coordinator shall review its restoration plan within 13 calendar months of the last review. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
11. Each Reliability Coordinator shall review their neighboring Reliability Coordinator’s restoration plans. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]* 
    1. If the Reliability Coordinator finds conflicts between its restoration plans and any of its neighbors, the conflicts shall be resolved in 30 calendar days.
12. Each Reliability Coordinator shall review the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
    1. The Reliability Coordinator shall determine whether the Transmission Operator’s restoration plan is coordinated and compatible with the Reliability Coordinator’s restoration plan and other Transmission Operators’ restoration plans within its Reliability Coordinator Area. The Reliability Coordinator shall approve or disapprove, with stated reasons, the Transmission Operator’s submitted restoration plan within 30 calendar days following the receipt of the restoration plan from the Transmission Operator.
13. Each Reliability Coordinator shall have a copy of its latest restoration plan and copies of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area within its primary and backup control rooms so that it is available to all of its System Operators prior to the implementation date. *[Violation Risk Factor = Lower] [Time Horizon = Operations Planning]*
14. Each Reliability Coordinator shall work with its affected Generator Operators~~,~~ and Transmission Operators as well as neighboring Reliability Coordinators to monitor restoration progress, coordinate restoration, and take actions to restore the BES frequency within acceptable operating limits. If the restoration plan cannot be completed as expected the Reliability Coordinator shall utilize its restoration plan strategies to facilitate System restoration. *[Violation Risk Factor = High] [Time Horizon = Real-time Operations]*
15. The Reliability Coordinator shall coordinate or authorize resynchronizing islanded areas that bridge boundaries between Transmission Operators or Reliability Coordinators. If the resynchronization cannot be completed as expected the Reliability Coordinator shall utilize its restoration plan strategies to facilitate resynchronization. [Violation Risk Factor = High] [Time Horizon = Real-time Operations]
16. Each Reliability Coordinator shall include within its operations training program, annual System restoration training for its System Operators to assure the proper execution of its restoration plan. This training program shall address the following: *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
    1. The coordination role of the Reliability Coordinator.
    2. Reestablishing the Interconnection.
17. Each Reliability Coordinator shall conduct two System restoration drills, exercises, or simulations per calendar year, which shall include the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that is being conducted. *[Violation Risk Factor = Medium] [Time Horizon = Operations Planning]*
    1. Each Reliability Coordinator shall request each Transmission Operator identified in its restoration plan and each Generator Operator identified in the Transmission Operators’ restoration plans to participate in a drill, exercise, or simulation at least every two calendar years.
18. Measures
19. Each Reliability Coordinator shall have available a dated copy of its restoration plan in accordance with Requirement R1.
20. Each Reliability Coordinator shall provide evidence such as e-mails with receipts, posting to a secure web site with notification to affected entities, or registered mail receipts, that its most recent restoration plan has been distributed in accordance with Requirement R2.
21. Each Reliability Coordinator shall provide evidence such as a review signature sheet, or revision histories, that it has reviewed its restoration plan within 13 calendar months of the last review in accordance with Requirement R3.
22. Each Reliability Coordinator shall provide evidence such as dated review signature sheets that it has reviewed its neighboring Reliability Coordinator’s restoration plans and resolved any conflicts within 30 calendar days in accordance with Requirement R4.
23. Each Reliability Coordinator shall provide evidence, such as a review signature sheet or emails, that it has reviewed, approved or disapproved, and notified its Transmission Operator’s within 30 calendar days following the receipt of the restoration plan from the Transmission Operator in accordance with Requirement R5.
24. Each Reliability Coordinator shall have documentation such as e-mail receipts that it has made the latest copy of its restoration plan and copies of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area available in its primary and backup control rooms and to each of its System Operators prior to the implementation date in accordance with Requirement R6.
25. Each Reliability Coordinator involved shall have evidence such as voice recordings, e-mail, dated computer printouts, or operator logs, that it monitored and coordinated restoration progress in accordance with Requirement R7.
26. If there has been a resynchronizing of an islanded area, each Reliability Coordinator involved shall have evidence such as voice recordings, e-mail, or operator logs, that it coordinated or authorized resynchronizing in accordance with Requirement R8.
27. Each Reliability Coordinator shall have an electronic or hard copy of its training records available showing that it has provided training in accordance with Requirement R9.
28. Each Reliability Coordinator shall have evidence that it conducted two System restoration drills, exercises, or simulations per calendar year and that Transmission Operators and Generator Operators included in the Reliability Coordinator’s restoration plan were invited in accordance with Requirement R10.
29. Compliance
30. **Compliance Monitoring Process**
    1. **Compliance Enforcement Authority**

Regional Entity.

* 1. **Compliance Monitoring Period and Reset Time Frame**

Not applicable.

* 1. **Compliance Monitoring and Enforcement Processes:**

Compliance Audits

Self-Certifications

Spot Checking

Compliance Violation Investigations

Self-Reporting

Complaints

* 1. **Data Retention**

The Reliability Coordinator shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

* The current restoration plan and any restoration plans in force since the last compliance audit for Requirement R1, Measure M1.
* Distribution of its most recent restoration plan and any restoration plans in force for the current calendar year and three prior calendar years for Requirement R2, Measure M2.
* It’s reviewed restoration plan for the current review period and the last three prior review periods for Requirement R3, Measure M3.
* Reviewed copies of neighboring Reliability Coordinator restoration plans for the current calendar year and the three prior calendar years for Requirement R4, Measure M4.
* The reviewed restoration plans for the current calendar year and the last three prior calendar years for Requirement R5, Measure M5.
* The current, approved restoration plan and any restoration plans in force for the last three calendar years was made available in its control rooms for Requirement R6, Measure M6.
* If there has been a restoration event, implementation of its restoration plan on any occasion over a rolling 12 month period for Requirement R7, Measure M7.
* If there has been a resynchronization of an islanded area, implementation of its restoration plan on any occasion over a rolling 12 month period for Requirement R8, Measure M8.
* Actual training program materials or descriptions for three calendar years for Requirements R9, Measure M9.
* Records of all Reliability Coordinator restoration drills, exercises, or simulations since its last compliance audit as well as one previous compliance audit period for Requirement R10, Measure M10.

If a Reliability Coordinator is found non-compliant, it shall keep information related to the non-compliance until found compliant.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

* 1. **Additional Compliance Information**

None.

**Regulatory Language**

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

At P 23.

**“**Based on NERC's comment that the term “unique tasks” is to be understood in accordance with the normal meaning of the words and the majority of the commenters' assertions that the variety of approaches to system restoration precludes greater specificity, we find that the term conveys as much precision as circumstances allow. To the extent that it would be helpful to the affected entities to specify in a transmission operator's restoration plan which tasks are deemed unique, the entities are encouraged to do so, but the Commission does not require such specificity at this time.”

**Revision History**

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 08/02/2012 | RSAW Working Group | New Document |
| 1.1 | 10/05/2012 | NERC Legal | Regulatory Language Update |
| 1.2 | 05/31/2013 | RSAW Working Group | Edits to timing of periodic requirements, R9 and R10 |
| 1.2 | 04/23/2013 | NERC Legal | Regulatory Language Update |
|  |  |  |  |
|  |  |  |  |

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 at <http://www.nerc.com/page.php?cid=2|20>. 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. [↑](#footnote-ref-1)