

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

# EOP-006-3 – System Restoration Coordination

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

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| **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]](#footnote-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**

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| **R1** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R2** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R3** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R4** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R5** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R6** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R7** |  |  |  |  |  |  | X |  |  |  |  |  |  |
| **R8** |  |  |  |  |  |  | X |  |  |  |  |  |  |

**Legend:**

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| 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 |

Findings

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

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| **Req.** | **Finding** | **Summary and Documentation** | **Functions Monitored** |
| **R1** |  |  |  |
| **R2** |  |  |  |
| **R3** |  |  |  |
| **R4** |  |  |  |
| **R5** |  |  |  |
| **R6** |  |  |  |
| **R7** |  |  |  |
| **R8** |  |  |  |

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| **Req.** | **Areas of Concern** |
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| **Req.** | **Recommendations** |
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| **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):**

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

1. Each Reliability Coordinator shall develop and implement 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 shutdown 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 its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas. The restoration plan shall include:
   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. Criteria and conditions for re-establishing interconnections with other Transmission Operators within its Reliability Coordinator Area, with Transmission Operators in other Reliability Coordinator Areas, and with Reliability Coordinators.
   3. Reporting requirements for the entities within the Reliability Coordinator Area during a restoration event.
   4. Criteria for sharing information regarding restoration with neighboring Reliability Coordinators and with Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
   5. 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.
   6. Criteria for transferring operations and authority back to the Balancing Authority.
2. Each Reliability Coordinator shall have available a dated copy of its restoration plan and will have evidence, such as operator logs or other operating documentation, voice recordings, or other communication documentation to show that its restoration plan was implemented in accordance with Requirement R1.

**Registered Entity Response (Required):**

**Question:** Has the entity experienced a need to implement its restoration plan?

☐ Yes ☐ No

If Yes, provide a dated list of instances in which the entity experienced a need to implement its restoration plan.

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

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:[[3]](#endnote-1)

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| The entity’s most recent restoration plan with revision history. |
| Evidence that the restoration plan was implemented when Blackstart Resources are utilized to re-energize a shutdown area of the BES, or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area, if applicable. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R1

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

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|  | (R1) Verify the entity has developed a Reliability Coordinator Area restoration plan. |
|  | (R1) Verify the scope of the Reliability Coordinator’s restoration plan starts when Blackstart Resources are utilized to re-energize a shutdown area of the BES, or separation has occurred between neighboring Reliability Coordinators, or an energized island has been formed on the BES within the Reliability Coordinator Area. |
|  | (R1) Verify the scope of the Reliability Coordinator’s restoration plan ends when all of its Transmission Operators are interconnected and its Reliability Coordinator Area is connected to all of its neighboring Reliability Coordinator Areas. |
|  | (R1) Verify that the restoration plan was implemented if applicable (such as during Disturbances) |
|  | (R1) Verify the restoration plan includes: |
|  | (Part 1.1) A description of the high-level strategy for restoring the Interconnection. |
|  | (Part 1.1) Minimum criteria to meet the objectives of the plan. |
|  | (Part 1.2) Criteria and conditions for re-establishing interconnections with: |
|  | (Part 1.2) Other Transmission Operators within its Reliability Coordinator Area. |
|  | (Part 1.2) Transmission Operators in other Reliability Coordinator Areas |
|  | (Part 1.2) Other Reliability Coordinators |
|  | (Part 1.3) Reporting requirements for entities within the Reliability Coordinator Area during a restoration event. |
|  | (Part 1.4) Criteria for sharing information regarding restoration with: |
|  | (Part 1.4) Neighboring Reliability Coordinators. |
|  | (Part 1.4) Transmission Operators within its Reliability Coordinator Area. |
|  | (Part 1.4) Balancing Authorities within its Reliability Coordinator Area. |
|  | (Part 1.5) Identification of the Reliability Coordinator as the primary contact for disseminating restoration information regarding restoration to: |
|  | (Part 1.5) Neighboring Reliability Coordinators. |
|  | (Part 1.5) Transmission Operators within its Reliability Coordinator Area. |
|  | (Part 1.5) Balancing Authorities within its Reliability Coordinator Area. |
|  | (Part 1.6) Criteria for transferring operations and authority back to the Balancing Authority. |
| **Note to Auditor:** | |

Auditor Notes:

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.
2. Each Reliability Coordinator shall provide evidence such as electronic receipts, posting to a secure website with notification to affected entities, or registered mail receipts, that its most recent restoration plan has been distributed 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:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| The entity’s most recent restoration plan with dated revision history. |
| Dated evidence the entity’s most recent restoration plan has been distributed to each Transmission Operator and each neighboring Reliability Coordinator within 30 calendar days of creation or revision. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R2

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

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|  | (R2) Verify the entity distributed the Reliability Coordinator Area restoration plan, within 30 calendar days of creation or revision, to: |
|  | (R2) Each of its Transmission Operators. |
|  | (R2) Each of its neighboring Reliability Coordinators. |
| **Note to Auditor:** | |

Auditor Notes:

R3 Supporting Evidence and Documentation

1. Each Reliability Coordinator shall review its restoration plan within 13 calendar months of the last review.
2. Each Reliability Coordinator shall provide evidence such as a review signature sheet, or revision history, that it has reviewed its restoration plan within 13 calendar months of the last review 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 Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Dated evidence of entity’s review of its restoration plan. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R3

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

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|  | (R3) Verify the entity reviewed its restoration plan within 13 calendar months of the last review. |
| **Note to Auditor:** | |

Auditor Notes:

R4 Supporting Evidence and Documentation

1. Each Reliability Coordinator shall review its neighboring Reliability Coordinator’s restoration plans and provide written notification of any conflicts discovered during that review within 60 calendar days of receipt:
   1. If a Reliability Coordinator finds conflicts between its restoration plans and any of its neighbors, the conflicts shall be resolved within 30 calendar days of receipt of written notification.

**M4.**  Each Reliability Coordinator shall provide evidence such as dated review signature sheets or electronic receipt that it has reviewed its neighboring Reliability Coordinator’s restoration plans and resolved any conflicts within the timing requirements of Requirement R4 and Requirement R4, Part 4.1.

**Registered Entity Response (Required):**

**Question:** Did the Reliability Coordinator identify conflicts with any of its neighboring Reliability Coordinator’s restoration plans?

☐ Yes ☐ No

If Yes, provide a list of conflicts identified. If No, describe how this was determined in the narrative section below.

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

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Dated evidence the entity reviewed each neighboring Reliability Coordinator’s restoration plans. |
| Dated evidence the entity provided written notification of any conflicts discovered during its review of neighboring Reliability Coordinator’s restoration plans within 60 calendar days of receipt. |
| Dated evidence each conflict was resolved within 30 calendar days of receipt of written notification. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R4

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|  | (R4) Verify neighboring Reliability Coordinator’s restoration plans were reviewed within 60 calendar days of receipt. |
|  | (R4) Verify written notification of any conflicts discovered were provided within 60 calendar days of receipt. |
|  | (Part 4.1) Verify any conflicts identified were resolved within 30 calendar days of receipt of written notification. |
| **Note to Auditor:** | |

Auditor Notes:

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.
   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.

**M5.**  Each Reliability Coordinator shall provide evidence such as a dated review signature sheet or electronic receipt that it has reviewed, approved or disapproved, and notified its Transmission Operators within 30 calendar days following the receipt of the restoration plan from the Transmission Operator in accordance with Requirement R5.

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Dated evidence the entity reviewed, approved or disapproved, and notified its Transmission Operator(s) within 30 calendar days following the receipt of restoration plan(s) from the Transmission Operator(s). |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R5

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

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|  | (R5) Verify the entity reviewed the restoration plans required by EOP-005 of the Transmission Operators within its Reliability Coordinator Area. |
|  | (Part 5.1) 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. |
|  | (Part 5.1) 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:

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 effective date.

**M6.** Each Reliability Coordinator shall have documentation such as electronic 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 effective date in accordance with Requirement R6.

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Entity’s latest restoration plan and latest approved restoration plans for each Transmission Operator within its Reliability Coordinator Area. |
| Evidence each Transmission Operator plan was made available to the System Operators in the primary and back up control rooms prior to the effective dates of the plans. |

Registered Entity Evidence (Required):

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Compliance Assessment Approach Specific to EOP-006-3, R6

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

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|  | (R6) Verify the entity has a copy of its latest restoration plan prior to the effective date: |
|  | (R6) Within the primary control room. |
|  | (R6) Within the backup control room. |
|  | (R6) Verify the entity has a copy of the latest approved restoration plan of each Transmission Operator in its Reliability Coordinator Area prior to the effective date: |
|  | (R6) Within the primary control room. |
|  | (R6) Within the backup control room. |
| **Note to Auditor:** | |

Auditor Notes:

R7 Supporting Evidence and Documentation

1. Each Reliability Coordinator shall include within its operations training program annual System restoration training for its System Operators. This training program shall address the following:
   1. The coordination role of the Reliability Coordinator; and
   2. Re-establishing the Interconnection.

**M7.**  Each Reliability Coordinator shall have an electronic copy or hard copy of its training records available showing that it has provided training in accordance with Requirement R7.

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| Evidence the entity’s operations training program includes annual System restoration training, including the role of the Reliability Coordinator and re-establishment of the Interconnection. |
| Training records showing the System restoration training was provided to System Operators on an annual basis. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R7

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

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|  | (R7) Verify the entity included annual System restoration training for its System Operators within its operations training program. |
|  | (R7) Verify the System restoration training addresses: |
|  | (Part 7.1) Reliability Coordinator coordination role. |
|  | (Part 7.2) Re-establishing the Interconnection. |
|  | (R7) Verify System restoration training was provided annually to the entity’s System Operators. |
| **Note to Auditor:** | |

Auditor Notes:

R8 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.
   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 once every two calendar years.

**M8.**  Each Reliability Coordinator shall have evidence, such as dated electronic documents, that it conducted two System restoration drills, exercises, or simulations per calendar year in accordance with Requirement R8. And each Reliability Coordinator shall have evidence that the Reliability Coordinator requested each applicable Transmission Operator and Generator Operator to participate per Requirement R8 and Requirement R8, Part 8.1.

**Registered Entity Response (Required):**

**Compliance Narrative:**

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

Evidence Requested:i

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| **Provide the following evidence, or other evidence to demonstrate compliance.** |
| A list of applicable Transmission Operators identified in its restoration plan. |
| A list of Generator Operators identified in the Transmission Operators’ restoration plans. |
| Evidence the Reliability Coordinator conducted two System restoration drills, exercises, or simulations per calendar year. |
| Evidence the System restoration drills, exercises, or simulations included the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation conducted. |
| Evidence the Reliability Coordinator requested each applicable Transmission Operator and Generator Operator to participate at least once every two calendar years. |

Registered Entity Evidence (Required):

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| **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):

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Compliance Assessment Approach Specific to EOP-006-3, R8

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

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|  | (R8) Verify the entity conducted two System restoration drills, exercises, or simulations each calendar year. |
|  | (R8) Verify the entity included the Transmission Operators and Generator Operators as dictated by the particular scope of the drill, exercise, or simulation that was being conducted. |
|  | (R8) 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:** | |

Auditor Notes:

Additional Information:

Reliability Standard



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

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

The Federal Energy Regulatory Commission (“FERC”) approved EOP-006-3 on January 18, 2018. [*Emergency Preparedness and Operations Reliability Standards*, Order No. 840, 162 FERC ¶ 61,020 (2018) (“Order No. 840”)](http://nercdotcomstage/FilingsOrders/us/FERCOrdersRules/E-3_Order%20Approving%20EOP%20Stds.pdf).

In Order No. 840, FERC “determine[d] that Reliability Standards EOP-005-3, EOP-006-3, and EOP-008-2 will enhance reliability by delineating the roles and responsibilities of entities that support system restoration from blackstart resources; clarifying the procedures and coordination requirements for reliability coordinator personnel to execute system restoration processes; and refining the contents of an operating plan used by reliability coordinators, balancing authorities, and transmission operators to maintain the reliability of the BES in the event that primary control center functionality is lost.” Order No. 840 at P 9.

Revision History for RSAW

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| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 09/26/18 | NERC Compliance Assurance, RSAW Task Force | New Document |
| 2 | 6/19/2019 | NERC Compliance Assurance, RSAW Task Force | Fixed typo in Part 8.1 to read “two calendar years” following the Standard language. |

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

   The RSAW may provide a non‑exclusive list, for informational purposes only, of examples of the types of evidence a registered entity may produce or may be asked to produce to demonstrate compliance with the Reliability Standard. A registered entity’s adherence to the examples contained within this RSAW does not necessarily constitute compliance with the applicable Reliability Standard, and NERC and the Regional Entity using this RSAW reserve the right to request additional evidence from the registered entity that is not included in this RSAW. This RSAW may include excerpts from FERC Orders and other regulatory references which are provided for ease of reference only, and this document does not necessarily include all applicable Order provisions. In the event of a discrepancy between FERC Orders, and the language included in this document, FERC Orders shall prevail. [↑](#footnote-ref-1)
2. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-2)
3. 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. [↑](#endnote-ref-1)