

Reliability Standard Audit Worksheet¹

PRC-012-2 – Remedial Action Schemes

This section to be completed by the Compliance Enforcement Authority.

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

Applicability of Requirements

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1		X ³	X ³									X ³			
R2									X						
R3		X ³	X ³									X ³			
R4							X								
R5		X ³	X ³									X ³			
R6		X ³	X ³									X ³			
R7		X ³	X ³									X ³			
R8		X ³	X ³									X ³			
R9									X						

Legend:

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 RAS-entity: the Transmission Owner, Generator Owner, or Distribution Provider that owns all or part of a RAS

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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

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Findings

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

Req.	Finding	Summary and Documentation	Functions Monitored
R1			
R2			
R3			
R4			
R5			
R6			
R7			
R8			
R9			

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.** Prior to placing a new or functionally modified RAS in service or retiring an existing RAS, each RAS-entity shall provide the information identified in Attachment 1 for review to the Reliability Coordinator(s) where the RAS is located.
- M1.** Acceptable evidence may include, but is not limited to, a copy of the Attachment 1 documentation and the dated communications with the reviewing Reliability Coordinator(s) 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 Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
A list of all new or functionally modified RAS including respective in-service dates.
A list of all retired RAS including respective retirement dates.
A copy of the Attachment 1 documentation and the dated communications with the reviewing Reliability Coordinator(s).

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 PRC-012-2, R1

This section to be completed by the Compliance Enforcement Authority

	Review and verify the entity's Attachment 1 documentation exists, is complete, and was sent to the reviewing Reliability Coordinator(s) for each new, functionally modified, or retired RAS.
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Note to Auditor: All items in Attachment 1 should be addressed in Attachment 1 documentation. Responses of “Not Applicable” are acceptable when individual items are not pertinent to the specific RAS.

The first footnote in Attachments 1 and 2 describes functional modification.

For a RAS that involves more than a single RAS-entity, it is acceptable for the RAS-entities to submit a joint Attachment 1 that clearly indicates the RAS-entities participating in and submitting the attachment. Alternatively, a separate Attachment 1 for each RAS-entity is also acceptable.

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Reliability Coordinator that receives Attachment 1 information pursuant to Requirement R1, shall within four full calendar months of receipt or on a mutually agreed upon schedule, perform a review of the RAS in accordance with Attachment 2, and provide written feedback to each RAS-entity.
- M2.** Acceptable evidence may include, but is not limited to, dated reports, checklists, or other documentation detailing the RAS review, and the dated communications with the RAS-entity 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.
Dated communications with RAS-entities regarding (1) the receipt of Attachment 1 documentation and (2) the written feedback to each RAS-entity detailing the findings of the RAS review.
A copy of the documentation detailing the RAS review in accordance with Attachment 2.

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 PRC-012-2, R2

This section to be completed by the Compliance Enforcement Authority

<input type="checkbox"/>	Verify the items in the Attachment 2 documentation were considered during the RAS review.
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Verify written feedback was sent to each RAS-entity that provided Attachment 1 documentation within four full calendar months of receipt or on a mutually agreed schedule.

Note to Auditor: The RC review is not limited to the checklist items and the RC may request additional information on any aspect of the RAS. If a checklist item is not relevant to a particular RAS, it should be noted as "Not Applicable." If any reliability issues are identified during the review, the proposed resolutions for each reliability issue should be documented in addition to the applicable Attachment 2 items, and included in the written feedback to each RAS entity. Written feedback should be sent even if no reliability issues are identified for the RAS. Feedback from the Reliability Coordinator's review that no reliability issues were identified is synonymous with approval of the RAS.

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Prior to placing a new or functionally modified RAS in-service or retiring an existing RAS, each RAS-entity that receives feedback from the reviewing Reliability Coordinator(s) identifying reliability issue(s) shall resolve each issue to obtain approval of the RAS from each reviewing Reliability Coordinator.

- M3.** Acceptable evidence may include, but is not limited to, dated documentation and communications with the reviewing Reliability Coordinator that no reliability issues were identified during the review or that all identified reliability issues were resolved 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:

Provide the following evidence, or other evidence to demonstrate compliance.
A list of all new or functionally modified RAS including respective in-service dates within the compliance monitoring period.
A list of all retired RAS including respective retirement dates within the compliance monitoring period.
Written feedback from the Reliability Coordinator(s) documenting that all reliability issues identified during the RAS review were resolved, thus indicating RAS approval was obtained prior to the in-service or retirement date of the RAS.

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 PRC-012-2, R3

This section to be completed by the Compliance Enforcement Authority

	Verify that prior to placing each new or functionally modified RAS in-service and retiring any existing RAS, the entity resolved each identified reliability issue from the reviewing Reliability Coordinator(s) where the RAS is located.
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Note to Auditor: Feedback from the Reliability Coordinator’s review that no reliability issues were identified is synonymous with approval of the RAS.

Auditor Notes:

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R4 Supporting Evidence and Documentation

R4. Each Planning Coordinator, at least once every five full calendar years, shall:

4.1 Perform an evaluation of each RAS within its planning area to determine whether:

4.1.1 The RAS mitigates the System condition(s) or Contingency(ies) for which it was designed.

4.1.2 The RAS avoids adverse interactions with other RAS, and protection and control systems.

4.1.3 For limited impact⁴ RAS, the inadvertent operation of the RAS or the failure of the RAS to operate does not cause or contribute to BES Cascading, uncontrolled separation, angular instability, voltage instability, voltage collapse, or unacceptably damped oscillations.

4.1.4 Except for limited impact RAS, the possible inadvertent operation of the RAS, resulting from any single RAS component malfunction satisfies all of the following:

4.1.4.1 The BES shall remain stable.

4.1.4.2 Cascading shall not occur.

4.1.4.3 Applicable Facility Ratings shall not be exceeded.

4.1.4.4 BES voltages shall be within post-Contingency voltage limits and post-Contingency voltage deviation limits as established by the Transmission Planner and the Planning Coordinator.

4.1.4.5 Transient voltage responses shall be within acceptable limits as established by the Transmission Planner and the Planning Coordinator.

4.1.5 Except for limited impact RAS, a single component failure in the RAS, when the RAS is intended to operate does not prevent the BES from meeting the same performance requirements (defined in Reliability Standard TPL-001-4 or its successor) as those required for the events and conditions for which the RAS is designed.

4.2 Provide the results of the RAS evaluation including any identified deficiencies to each reviewing Reliability Coordinator and RAS-entity, and each impacted Transmission Planner and Planning Coordinator.

M4. Acceptable evidence may include, but is not limited to, dated reports or other documentation of the analyses comprising the evaluation(s) of each RAS and dated communications with the RAS-entity(ies), Transmission Planner(s), Planning Coordinator(s), and the reviewing Reliability Coordinator(s) in accordance with Requirement R4.

Registered Entity Response (Required):
Compliance Narrative:

⁴ A RAS designated as "limited impact" cannot, by inadvertent operation or failure to operate, cause or contribute to BES Cascading, uncontrolled separation, angular instability, voltage instability, voltage collapse, or unacceptably damped oscillations.

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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.
Documentation of the analyses comprising the current evaluation and the date of the prior evaluation for each RAS within the entity’s planning area, including the designation of whether or not the RAS is a limited impact RAS.
Dated communications providing the current evaluation results, including any identified deficiencies to each reviewing Reliability Coordinator and RAS-entity, and each impacted Transmission Planner and Planning Coordinator.

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 PRC-012-2, R4

This section to be completed by the Compliance Enforcement Authority

	Verify the entity performed an evaluation of each RAS within its planning area at least once every five full calendar years.
	Verify that each RAS evaluation determined whether:
	(Part 4.1.1) The RAS mitigates the System condition(s) or Contingency(ies) for which it was designed.
	(Part 4.1.2) The RAS avoids adverse interactions with other RAS, and protection and control systems.
	(Part 4.1.3) For limited impact RAS, the inadvertent operation of the RAS or the failure of the RAS to operate does not cause or contribute to BES Cascading, uncontrolled separation, angular instability, voltage instability, voltage collapse, or unacceptably damped oscillations.
	(Part 4.1.4) Except for limited impact RAS, the possible inadvertent operation of the RAS resulting from any single RAS component malfunction satisfies all of the following:

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	(Part 4.1.4.1) The BES shall remain stable.
	(Part 4.1.4.2) Cascading shall not occur.
	(Part 4.1.4.3) Applicable Facility Ratings shall not be exceeded.
	(Part 4.1.4.4) BES voltages shall be within post-Contingency voltage limits and post-Contingency voltage deviation limits as established by the Transmission Planner and the Planning Coordinator.
	(Part 4.1.4.5) Transient voltage responses shall be within acceptable limits as established by the Transmission Planner and the Planning Coordinator.
	(Part 4.1.5) Except for limited impact RAS, a single component failure in the RAS, when the RAS is intended to operate, does not prevent the BES from meeting the same performance requirements (defined in Reliability Standard TPL-001-4 or its successor) as those required for the events and conditions for which the RAS is designed.
	(Part 4.2) Verify the entity provided current evaluation results, including any identified deficiencies to each reviewing Reliability Coordinator and RAS-entity, and each impacted Transmission Planner and Planning Coordinator.

Note to Auditor: Inadvertent operation refers to an operation of the RAS when the RAS is not intended to operate.

A RAS designated as limited impact cannot, by inadvertent operation or failure to operate, cause or contribute to BES Cascading, uncontrolled separation, angular instability, voltage instability, voltage collapse, or unacceptably damped oscillations. A RAS implemented prior to the effective date of this standard that has been through the regional review processes of WECC or NPCC and is classified as either a Local Area Protection Scheme (LAPS) in WECC or a Type 3 in NPCC is recognized as a limited impact RAS for the purposes of this standard and is subject to all applicable requirements.

No initial evaluation of each RAS existing on the effective date of this standard within the entity’s planning area is required as a baseline. For existing RAS, initial performance of obligations under Requirement R4 must be completed within five (5) full calendar years of the effective date of PRC-012-2. For new or functionally modified RAS, the initial performance of Requirement R4 must be completed within five (5) full calendar years of the date that the RAS is approved by the reviewing RC(s) under Requirement R3.

A full calendar year provides the entity with the remainder of the current year plus a full year afterwards. For example, a full calendar year beginning July 1st would include the remainder of the current year and all of the next year ending December 31st.

Auditor Notes:

R5 Supporting Evidence and Documentation

- R5** Each RAS-entity, within 120 full calendar days of a RAS operation or a failure of its RAS to operate when expected, or on a mutually agreed upon schedule with its reviewing Reliability Coordinator(s), shall:
- 5.1** Participate in analyzing the RAS operational performance to determine whether:
 - 5.1.1** The System events and/or conditions appropriately triggered the RAS.
 - 5.1.2** The RAS responded as designed.
 - 5.1.3** The RAS was effective in mitigating BES performance issues it was designed to address.
 - 5.1.4** The RAS operation resulted in any unintended or adverse BES response.
 - 5.2** Provide the results of RAS operational performance analysis that identified any deficiencies to its reviewing Reliability Coordinator(s).
- M5.** Acceptable evidence may include, but is not limited to, dated documentation detailing the results of the RAS operational performance analysis and dated communications with participating RAS-entities and the reviewing Reliability Coordinator(s) 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:

Provide the following evidence, or other evidence to demonstrate compliance.
A dated list of all RAS operations and failures of a RAS to operate when expected within the compliance monitoring period.
Results of each RAS operational performance analysis performed for each RAS operation and each failure of a RAS to operate when expected.
Dated communications with the reviewing Reliability Coordinator(s) that provide the results of RAS operational performance analysis that identified any deficiencies.

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 PRC-012-2, R5

This section to be completed by the Compliance Enforcement Authority

	(Part 5.1) Verify the entity performed a RAS operational performance analysis of each RAS operation, and each failure of a RAS to operate when expected within 120 full calendar days or on a mutually agreed upon schedule with its reviewing RC.
	Verify that every RAS operational performance analysis determined whether:
	(Part 5.1.1) The System events and/or conditions appropriately triggered the RAS.
	(Part 5.1.2) The RAS responded as designed.
	(Part 5.1.3) The RAS was effective in mitigating BES performance issues it was designed to address.
	(Part 5.1.4) The RAS operation resulted in any unintended or adverse BES response.
	(Part 5.2) Verify the entity provided the results of each RAS operational performance analysis that identified any deficiencies to its reviewing Reliability Coordinator(s) within 120 full calendar days or on a mutually agreed upon schedule with its reviewing RC.
	Note to Auditor: Each RAS-entity is responsible for participating in analyzing its RAS operational performance. For a RAS that involves more than a single RAS-entity, it is acceptable for the RAS-entities to collaborate on a single RAS operational performance analysis (OPA) that clearly indicates the RAS-entities participating in and submitting the OPA. Alternatively, RAS-entities may choose to individually analyze the operational performance for an event and provide separate reports to the reviewing RC.

Auditor Notes:

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R6 Supporting Evidence and Documentation

- R6.** Each RAS-entity shall participate in developing a Corrective Action Plan (CAP) and submit the CAP to its reviewing Reliability Coordinator(s) within six full calendar months of:
 - Being notified of a deficiency in its RAS pursuant to Requirement R4, or
 - Notifying the Reliability Coordinator of a deficiency pursuant to Requirement R5, Part 5.2, or
 - Identifying a deficiency in its RAS pursuant to Requirement R8.
- M6.** Acceptable evidence may include, but is not limited to, a dated CAP and dated communications among each reviewing Reliability Coordinator and each RAS-entity 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 Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
A list of all RAS deficiencies within the compliance monitoring period including the dates identified by the RAS-entity through either the dates notified of deficiencies in its RAS by a Planning Coordinator (Requirement R4), RAS operational performance analysis (Requirement R5), or functional testing (Requirement R8).
Each Corrective Action Plan (CAP) the entity participated in developing within the compliance monitoring period and corresponding dated communication that the RAS-entity used to submit each CAP to its reviewing Reliability Coordinator(s).

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 PRC-012-2, R6

This section to be completed by the Compliance Enforcement Authority

	For each identified deficiency, verify the entity participated in developing a Corrective Action Plan and submitted it to its reviewing Reliability Coordinator(s) within six full calendar months.
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Note to Auditor: When more than one RAS-entity is involved, the RAS-entities can collaborate to develop and submit a single, coordinated CAP. A full calendar month provides the entity with the remainder of the current month plus a full month afterwards. For example, two full calendar months beginning from July 1st would include the remainder of July, all of August, and end September 30th.

Each RAS-entity whose facilities are identified by the CAP as requiring modification is responsible for participating in developing the CAP. Collaboration by all RAS-entities on a single CAP is acceptable and encouraged. For compliance purposes, each RAS-entity may document its participation in the CAP and its provision to the reviewing RCs. Alternatively, individual RAS-entities may choose to produce separate CAPs, and provide those separate CAPs to the RC.

Auditor Notes:

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R7 Supporting Evidence and Documentation

- R7.** Each RAS-entity shall, for each of its CAPs developed pursuant to Requirement R6:
 - 7.1** Implement the CAP.
 - 7.2** Update the CAP if actions or timetables change.
 - 7.3** Notify each reviewing Reliability Coordinator if CAP actions or timetables change and when the CAP is completed.

- M7.** Acceptable evidence may include, but is not limited to, dated documentation such as CAPs, project or work management program records, settings sheets, work orders, maintenance records, and communication with the reviewing Reliability Coordinator(s) that documents the implementation, updating, or completion of a CAP 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 Requested¹:

Provide the following evidence, or other evidence to demonstrate compliance.
A list of all of the entity’s RAS-related Corrective Action Plans within the compliance monitoring period.
Evidence the entity implemented each of its RAS-related Corrective Action Plans.
Evidence the entity updated each RAS-related Corrective Action Plan if actions or timetables changed, and that reviewing Reliability Coordinators were notified of such updates and when the CAP was completed.

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):

R8 Supporting Evidence and Documentation

- R8.** Each RAS-entity shall participate in performing a functional test of each of its RAS to verify the overall RAS performance and the proper operation of non-Protection System components:
- At least once every six full calendar years for all RAS not designated as limited impact, or
 - At least once every twelve full calendar years for all RAS designated as limited impact
- M8.** Acceptable evidence may include, but is not limited to, dated documentation detailing the RAS operational performance analysis for a correct RAS segment or an end-to-end operation (Measure M5 documentation), or dated documentation demonstrating that a functional test of each RAS segment or an end-to-end test was performed in accordance with Requirement R8.

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.
For segment testing: A list of each segment of each RAS documenting the most recent functional test dates and results, the previous segment test dates, or dated documentation detailing the RAS operational performance analysis for a correct operation of a RAS segment.
For end-to-end testing: A list of each RAS documenting the most recent functional test dates and results, the previous end-to-end test dates, or dated documentation detailing the RAS operational performance analysis for a correct operation of the RAS.

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 PRC-012-2, R8

This section to be completed by the Compliance Enforcement Authority

Verify that the entity participated in performing a functional test of each RAS to verify the overall RAS performance and the proper operation of non-Protection System components at least once every six (6) full calendar years for RAS that are not designated as limited impact RAS and twelve (12) full calendar years for RAS that are designated as limited impact RAS.

Note to Auditor: The rationale for Requirement R8 explains that the purpose of a functional test is to provide an overall confirmation of the RAS to operate as designed and verify the proper operation of the non-Protection System (control) components of a RAS that are not addressed in PRC-005. Protection System components that are part of a RAS are maintained in accordance with PRC-005. The rationale also explains that a correct operation of a RAS qualifies as a functional test for those RAS segments which operate.

No initial functional test of each RAS is required as a baseline. For each RAS not designated as limited impact, initial performance of obligations under Requirement R8 must be completed at least once within six (6) full calendar years of the effective date for PRC-012-2. For each RAS designated as limited impact, initial performance of obligations under Requirement R8 must be completed at least once within twelve (12) full calendar years of the effective date for PRC-012-2.

In cases where there is more than one RAS-entity for a RAS, the RAS-entities could collaborate to develop a single, coordinated functional test plan and jointly conduct the functional test. Alternatively, each RAS-entity can separately test its own facilities. In either case, each RAS-entity must document its participation in the completed test.

Auditor Notes:

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R9 Supporting Evidence and Documentation

- R9.** Each Reliability Coordinator shall update a RAS database containing, at a minimum, the information in Attachment 3 at least once every twelve full calendar months.
- M9.** Acceptable evidence may include, but is not limited to, dated spreadsheets, database reports, or other documentation demonstrating a RAS database was updated in accordance with Requirement R9.

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.
The entity's dated most recently updated RAS database and its dated revision history.

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 PRC-012-2, R9

This section to be completed by the Compliance Enforcement Authority

	Verify the entity updates its RAS database at least once every twelve (12) full calendar months.
	Verify the entity's RAS database contains, at a minimum, the information in Attachment 3.

Note to Auditor: For each Reliability Coordinator that does not have a RAS database upon the effective date of PRC-012-2, the initial obligation under Requirement R9 is to establish a database.

Auditor Notes:

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Additional Information:

Reliability Standard

Insert embedded Standard file here and Implementation Plan (if required)

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

In addition to the Reliability Standard, there is an applicable Implementation Plan available on the NERC Web Site. (Remove this statement if embedded file included)

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.

Remedial Action Scheme (RAS)
Facility Ratings
Corrective Action Plan (CAP)

DRAFT NERC Reliability Standard Audit Worksheet

Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	09/01/2015	RSAW Task Force, Standards Drafting Team, NERC Compliance Assurance	New Document
2	12/02/2015	RSAW Task Force, Standards Drafting Team, NERC Compliance Assurance	Revised
3	2/16/2016	RSAW Task Force, Standards Drafting Team, NERC Compliance Assurance	Revised

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.