

Reliability Standard Audit Worksheet¹

IRO-010-2 – Reliability Coordinator Data Specification and Collection

This section to be completed by the Compliance Enforcement Authority.

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

Applicability of Requirements

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

Legend:

Text with blue background:	Fixed text – do not edit
Text entry area with Green background:	Entity-supplied information
Text entry area with white background:	Auditor-supplied information

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

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

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

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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			

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.** The Reliability Coordinator shall maintain a documented specification for the data necessary for it to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. The data specification shall include but not be limited to:
- 1.1** A list of data and information needed by the Reliability Coordinator to support its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including sub-100 kV data and external network data, as deemed necessary by the Reliability Coordinator.
 - 1.2** Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
 - 1.3** A periodicity for providing data.
 - 1.4** The deadline by which the respondent is to provide the indicated data.
- M1.** The Reliability Coordinator shall make available its dated, current, in force documented specification for data.

Compliance Narrative (Required):

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Documented specifications for the data necessary for the entity to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

Registered Entity Evidence (Required):

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

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

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Compliance Assessment Approach Specific to IRO-010-2, R1

This section to be completed by the Compliance Enforcement Authority

	(R1) Review the entity’s specification for the data necessary to perform its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments and verify that its specifications include:
	(Part 1.1) A list of data and information needed by the entity to support its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments including sub-100 kV data and external network data, as deemed necessary by the RC.
	(Part 1.2) Provisions for notification of current Protection System and Special Protection System status or degradation that impacts System reliability.
	(Part 1.3) Periodicity for providing data.
	(Part 1.4) Deadline by which the respondent is to provide the indicated data.
Note to Auditor:	

Auditor Notes:

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R2 Supporting Evidence and Documentation

R2. The Reliability Coordinator shall distribute its data specification to entities that have data required by the Reliability Coordinator’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessments.

M2. The Reliability Coordinator shall make available evidence that it has distributed its data specification to entities that have data required by the Reliability Coordinator’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. This evidence could include but is not limited to web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.

Compliance Narrative (Required):

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

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Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
Evidence that the entity has distributed its data specification to entities that have data required by the entity’s Operational Planning Analyses, Real-time monitoring, and Real-time Assessments. This evidence could include, but is not limited to, web postings with an electronic notice of the posting, dated operator logs, voice recordings, postal receipts showing the recipient, date and contents, or e-mail records.

Registered Entity Evidence (Required):

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

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

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Compliance Assessment Approach Specific to IRO-010-2, R2

This section to be completed by the Compliance Enforcement Authority

(R3) Review the documentary evidence provided by the entity and verify that it distributed its data specification to the entities that have data required by its Operational Planning Analyses, Real-time monitoring, and Real-time Assessments

Note to Auditor:

Auditor Notes:

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R3 Supporting Evidence and Documentation

- R3.** Each Reliability Coordinator, Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Transmission Operator, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R2 shall satisfy the obligations of the documented specifications using:
- 3.1** A mutually agreeable format
 - 3.2** A mutually agreeable process for resolving data conflicts
 - 3.3** A mutually agreeable security protocol

M3. The Reliability Coordinator, Balancing Authority, Generator Owner, Generator Operator, Load-Serving Entity, Reliability Coordinator, Transmission Operator, Transmission Owner, and Distribution Provider receiving a data specification in Requirement R2 shall make available evidence that it satisfied the obligations of the documented specification using the specified criteria. Such evidence could include but is not limited to electronic or hard copies of data transmittals or attestations of receiving entities.

Registered Entity Response (Required):

Question: Did entity have any data conflicts during the compliance monitoring period? Yes No

If Yes, describe how conflicts were resolved and provide examples. If No, proceed to the Compliance Narrative section below.

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

Compliance Narrative (Required):

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

Evidence Requested:

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

Copies of data specification(s) received by entity.

Copies of the data response provided by the entity.

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)	Description of Applicability of Document
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				or Section(s)	

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

Compliance Assessment Approach Specific to IRO-010-2, R3

This section to be completed by the Compliance Enforcement Authority

	(R3) Review data specifications received by the entity and select a sample of instances where the entity had to satisfy obligations of the document.
	(R3) For each instance selected by the auditor above, review evidence and verify the entity satisfied the obligation in accordance with Parts 3.1 – 3.3.

Note to Auditor:

Auditor Notes:

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Additional Information:

Reliability Standard

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Sampling Methodology

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

Regulatory Language

To be inserted by NERC Legal prior to posting of this RSAW associated with the enforceable date of this Reliability Standard.

Selected Glossary Terms

To be inserted by RSAW developer prior to posting of this RSAW associated with the enforceable date of this Reliability Standard, if applicable.

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/20/2014	Initial Posting	New Document
2	08/29/2014	NERC Compliance, NERC Standards, RSAWTF	Revisions for updated standard language and comments received during comment period.
<u>3</u>	<u>10/16/2014</u>	<u>NERC Compliance, NERC Standards</u>	<u>Revisions for updated standard language and comments received during second comment period.</u>

¹ 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.