

# Reliability Standard Audit Worksheet<sup>1</sup>

## IRO-001-4 – Reliability Coordination – Responsibilities

*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)<sup>2</sup>:** 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	X		X									X		X
R3	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

<sup>1</sup> 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.

<sup>2</sup> 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.** Each Reliability Coordinator shall act, or direct others to act, by issuing Operating Instructions, to ensure the reliability of its Reliability Coordinator Area.
  
- M1.** Each Reliability Coordinator shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it acted, or directed others to act, by issuing Operating Instructions to ensure the reliability of its Reliability Coordinator Area.

**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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
Dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation.

**Registered Entity Evidence (Required):**

<b>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.</b>					
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 IRO-001-4, R1**

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

(R1) Review evidence and interview entity representative (RC) about how the entity ensured that it acted, or directed others, to ensure the reliability of its RC Area.
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<b>Note to Auditor:</b>	

**Auditor Notes:**

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**R2 Supporting Evidence and Documentation**

- R2.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, and Distribution Provider shall comply with its Reliability Coordinator’s Operating Instructions unless compliance with the Operating Instructions cannot be physically implemented or unless such actions would violate safety, equipment, regulatory, or statutory requirements.
- M2.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, and Distribution Provider shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it complied with its Reliability Coordinator's Operating Instructions, unless the instruction could not be physically implemented, or such actions would have violated safety, equipment, regulatory or statutory requirements. In such cases, the Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, or Distribution Provider shall have and provide copies of the safety, equipment, regulatory, or statutory requirements as evidence for not complying with the Reliability Coordinator’s Operating Instructions. If such a situation has not occurred, the Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, or Distribution Provider may provide an attestation.

**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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
Dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation.
Provide a list or a sample of Operating Instructions issued to the entity by the RC during the audit period including date, time and summary of the Operating Instruction.

**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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Audit ID: Audit ID if available; or NCRnnnnn-YYYYMMDD

RSAW Version: RSAW\_IRO-001-4\_2014\_v1 Revision Date: June, 2014 RSAW Template: RSAW2014R1.0

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**Compliance Assessment Approach Specific to IRO-001-4, R2**

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

	Determine if the entity received Operating Instructions from the RC.
	Review evidence that the entity complied with the RC's Operating Instructions.
	If the entity determined that it could not comply with the RC's Operating Instructions, ensure that entity's compliance with the Operating Instructions would violate safety, equipment, regulatory, or statutory requirements.
<b>Note to Auditor:</b>	

**Auditor Notes:**

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**R3 Supporting Evidence and Documentation**

- R3.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, and Distribution Provider shall inform its Reliability Coordinator of its inability to perform the Operating Instruction issued by its Reliability Coordinator in Requirement R2 citing one of the specific reasons shown in Requirement R2.
- M3.** Each Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, and Distribution Provider shall have and provide evidence which may include, but is not limited to dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation, that will be used to determine that it informed its Reliability Coordinator of its inability to perform an Operating Instruction issued by its Reliability Coordinator in Requirement R2 citing one of the reasons shown in Requirement R2.

**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<sup>1</sup>:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
List of instances including date, time and circumstances when entity was unable to perform Operating Instructions issued by its RC during the audit period. Dated operator logs, dated records, dated and time-stamped voice recordings or dated transcripts of voice recordings, electronic communications, or equivalent documentation.

**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 IRO-001-4, R3**

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

	If the entity received Operating Instructions from the RC and was not able to comply, verify that the entity inform its RC of the inability to perform the Operating Instructions.
<b>Note to Auditor:</b>	

**Auditor Notes:**

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**Additional Information:**

**Reliability Standard**

The full text of IRO-001-4 may be found on the NERC Web Site ([www.nerc.com](http://www.nerc.com)) under “Program Areas & Departments”, “Reliability Standards.”

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

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

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

**Sampling Methodology**

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.

**Selected Glossary Terms**

Please refer to the NERC web site for the current enforceable terms.

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**Revision History for RSAW**

Version	Date	Reviewers	Revision Description
1	06/20/2014	Posted for Industry Review	New Document

<sup>1</sup> 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.

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