

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

## 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)<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 <sup>3</sup>	X <sup>3</sup>									X <sup>3</sup>			
R2									X						
R3		X <sup>3</sup>	X <sup>3</sup>									X <sup>3</sup>			
R4														X	
R5		X <sup>4</sup>	X <sup>4</sup>									X <sup>4</sup>			
R6		X <sup>4</sup>	X <sup>4</sup>									X <sup>4</sup>			
R7		X <sup>4</sup>	X <sup>4</sup>									X <sup>4</sup>			
R8		X <sup>4</sup>	X <sup>4</sup>									X <sup>4</sup>			
R9									X						

<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.  
<sup>3</sup> RAS-entity: An RAS-owner<sup>4</sup> designated to represent all RAS-owner(s) for coordinating the review and approval of a Remedial Action Scheme  
<sup>4</sup> RAS-owner: Transmission Owner, Generator Owner, or Distribution Provider that owns all or part of a Remedial Action Scheme

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### 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

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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 submit the information identified in Attachment 1 for review to the Reliability Coordinator(s) that coordinates the area(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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
A list of all new or functionally modified RAS in service.
A list of all retirement of RAS.
A copy of the Attachment 1 documentation and the dated communications with the Reliability Coordinator(s) that coordinate the area(s) where these new, functionally modified, and retired RAS are located.

**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 Reliability Coordinator(s) that coordinate the area(s) where all new, functionally modified, and retired RAS are located.
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**Note to Auditor:** All items in Attachment 1 should be addressed in Attachment 1 documentation. Responses of N/A or Not Applicable are acceptable when individual items are not pertinent to the specific RAS.

The rationale for R1 defines a functional modification as any modification to a RAS beyond the replacement of components that preserves the original functionality.

**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 the 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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
All received Attachment 1 documentation and associated dated communications with RAS-entities.
All produced Attachment 2 documentation of review and associated dated communications with RAS-entities.

**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*

	Review and verify the entity’s documentation addresses all the items in Attachment 2.
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Verify written feedback was sent to the RAS-entity that provided Attachment 1 documentation within four months or on a mutually agreed schedule.

**Note to Auditor:** At a minimum, all items in Attachment 2 should be addressed in Attachment 2 documentation.

**Auditor Notes:**

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**R3 Supporting Evidence and Documentation**

- R3.** Following the review performed pursuant to Requirement R2, the RAS-entity shall address each identified issue and obtain approval from each reviewing Reliability Coordinator prior to placing a new or functionally modified RAS in service or retiring an existing RAS.
- M3.** Acceptable evidence may include, but is not limited to, dated documentation and communications with the reviewing Reliability Coordinator 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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
A list of all new or functionally modified RAS in service.
A list of all retirement of RAS.
All received written feedback indicating review pursuant to Requirement R2, such as approvals or identified issues, from Reliability Coordinators.

**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 an entity, prior to placing every new or functionally modified RAS in service and every retirement of an existing RAS, addressed each identified issue and obtained approval from Reliability Coordinator(s) that coordinate the area(s) where those RAS are located.
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**Auditor Notes:**

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**R4 Supporting Evidence and Documentation**

- R4.** Each Transmission Planner shall perform an evaluation of each RAS within its planning area at least once every 60-full-calendar-months and provide the RAS-owner(s) and the reviewing Reliability Coordinator(s) the results including any identified deficiencies. Each evaluation shall determine whether:
  - 4.1.** The RAS mitigates the System condition(s) or Contingency(ies) for which it was designed.
  - 4.2.** The RAS avoids adverse interactions with other RAS, and protection and control systems.
  - 4.3.** The possible inadvertent operation of the RAS resulting from any single RAS component malfunction satisfies all of the following:
    - 4.3.1.** The BES shall remain stable.
    - 4.3.2.** Cascading shall not occur.
    - 4.3.3.** Applicable Facility Ratings shall not be exceeded.
    - 4.3.4.** 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.
    - 4.3.5.** Transient voltage responses shall be within acceptable limits as established by the Transmission Planner and the Planning Coordinator.
  - 4.4.** 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.
- 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-owner(s) and the reviewing Reliability Coordinator(s) in accordance with Requirement R4.

**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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
Current evaluations of each RAS within the entity’s planning area, and the dates of the prior evaluation.
Dated communications to the RAS-owner(s) and the reviewing Reliability Coordinator(s) of the current evaluation results, including any identified deficiencies.

**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

**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 60-full-calendar-months.
	Verify the entity provided the RAS-owner(s) and the reviewing Reliability Coordinator(s) the results of the evaluation, including any identified deficiencies.
	Verify that RAS evaluations determined whether:
	(Part 4.1) The RAS mitigates the System condition(s) or Contingency(ies) for which it was designed.
	(Part 4.2) The RAS avoids adverse interactions with other RAS, and protection and control systems.
	(Part 4.3) The possible inadvertent operation of the RAS resulting from any single RAS component malfunction satisfies all of the following:
	(Part 4.3.1) The BES shall remain stable.
	(Part 4.3.2) Cascading shall not occur.
	(Part 4.3.3) Applicable Facility Ratings shall not be exceeded.
	(Part 4.3.4) 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 4.3.5) Transient voltage responses shall be within acceptable limits as established by the Transmission Planner and the Planning Coordinator.
	(Part 4.4) 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.

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

No initial evaluation of each RAS within the entity’s planning area is required as a baseline. The entity effectively has 60-full-calendar-months from the effective date of the Standard to complete this.

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.

**Auditor Notes:**

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**R5 Supporting Evidence and Documentation**

- R5.** Each RAS-owner shall, within 120-calendar days of a RAS operation or failure of a RAS to operate when expected, analyze the RAS performance and provide the results of the analysis, including any identified deficiencies, to its reviewing Reliability Coordinator(s). The RAS operational performance analysis shall determine whether:
- 5.1.** The System events and/or conditions appropriately triggered the RAS.
  - 5.2.** The RAS responded as designed.
  - 5.3.** The RAS was effective in mitigating BES performance issues it was designed to address.
  - 5.4.** The RAS operation resulted in any unintended or adverse BES response.
- M5.** Acceptable evidence may include, but is not limited to, dated documentation detailing the RAS operational performance analysis 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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
A dated list of all RAS operations and failures of a RAS to operate when expected.
RAS operational performance analysis performed for each RAS operation and each failure of a RAS to operate when expected.
Dated communication of each RAS operational performance analysis to reviewing Reliability Coordinators.

**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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**R6 Supporting Evidence and Documentation**

- R6.** Within six-full-calendar months of being notified of a deficiency in its RAS pursuant to Requirement R4 or Requirement R5, each RAS-owner shall participate in developing a Corrective Action Plan (CAP) and submit the CAP to its reviewing Reliability Coordinator(s).
- M6.** Acceptable evidence may include, but is not limited to, a dated CAP and dated communications with each reviewing Reliability Coordinator 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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
A list of all deficiencies identified by a Transmission Planner’s evaluation (R4) or from an entity’s RAS operational performance analysis (R5).
Dated Corrective Action Plans that the entity participated in concerning RAS and dated communications relaying Corrective Actions Plans 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 deficiency, verify the entity participated in developing Corrective Action Plans and submitted them to its reviewing Reliability Coordinator(s) within six-full-calendar months of being notified.
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**Note to Auditor:** 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.

### Auditor Notes:

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**R7 Supporting Evidence and Documentation**

**R7.** For each CAP submitted pursuant to Requirement R6, each RAS-owner shall:

**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.

**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 appropriate Reliability Coordinator(s) that documents the implementation or updating 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 Requested:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
A list of all RAS related Corrective Action Plans.
Evidence the entity implemented all RAS related Corrective Action Plans.
Evidence the entity updated the RAS related Corrective Action Plans if actions or timetables changed, and that reviewing Reliability Coordinators were notified of such updates.

**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, R7**



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**R8 Supporting Evidence and Documentation**

- R8.** At least once every six-calendar years, each RAS-owner shall perform a functional test of each RAS to verify the overall RAS performance and the proper operation of non-Protection System components.
- M8.** Acceptable evidence may include, but is not limited to, dated documentation of the functional testing 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 Requested:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
The dated result of the most recent functional test of each RAS, and the dates of the prior functional test.

**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 PRC-012-2, R8**

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

	Verify that the entity performed 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-calendar years.
<b>Note to Auditor:</b> The rationale for R8 explains further the purpose of a functional test. A functional test provides an overall confirmation of the RAS to operate as designed and verifies 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.	

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No initial functional test of each RAS is required as a baseline. The entity effectively has six-calendar years from the effective date of the Standard to complete this.

**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 each calendar year.
- M9.** Acceptable evidence may include, but is not limited to, dated spreadsheets, database reports, or other documentation demonstrating a RAS database was maintained 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:**

<b>Provide the following evidence, or other evidence to demonstrate compliance.</b>
The entity's dated current 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 per calendar year.
	Verify the entity's RAS database contains, at a minimum, the information in Attachment 3.

**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)

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**Revision History for RSAW**

Version	Date	Reviewers	Revision Description
1	09/01/2015	RSAW Task Force, Standards Drafting Team, NERC Compliance Assurance	New Document

<sup>i</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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