

Reliability Standard Audit Worksheet¹

IRO-006-EAST-2 – TLR Procedure for the Eastern Interconnection

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/PC	PSE	RC	RP	RSG	TO	TOP	TP	TSP
R1									X						
R2									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			

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 that initiates the Eastern Interconnection TLR procedure to prevent or mitigate an SOL or IROL exceedance shall identify the TLR level and the congestion management actions to be implemented, and shall update this information at least every clock hour (except TLR-1) after initiation up to and including the hour when the TLR level has been identified as TLR Level 0.

- M1.** Each Reliability Coordinator shall provide evidence (such as dated logs, voice recordings, or other information in electronic or hard-copy format) that at the time it initiated the Eastern Interconnection TLR procedure, and at least every clock hour after initiation up to and including the hour when the TLR level was identified as TLR Level 0, the Reliability Coordinator identified both the TLR Level and a list of congestion management actions to be implemented in accordance with Requirement R1.

Registered Entity Response (Required):

Question: Has entity initiated the Eastern Interconnection TLR procedure to prevent or mitigate an SOL or IROL exceedance during the compliance monitoring period? Yes No

If Yes, identify instances when entity initiated the Eastern Interconnection TLR procedure as indicated in Requirement R1. If the auditor has reasonable assurance that the answer to the question above is No, then no further compliance monitoring of Requirement R1 is necessary.

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

Registered Entity Response (Required):

Compliance Narrative:

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

Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
For all, or a sample of, instances where entity initiated the Eastern Interconnection TLR procedure to prevent or mitigate an SOL or IROL exceedance, as requested by the auditor, provide electronic or hard-copy evidence such as dated logs, voice recordings, etc. that entity: identified the TLR level and the congestion management actions to be implemented, and updated this information at least every clock hour (except TLR-1) after initiation up to and including the hour when the TLR level has been identified as TLR 0.

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-006-EAST-2, R1

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify entity identified the TLR level and the congestion management actions to be implemented, and updated this information at least every clock hour (except TLR-1) after initiation up to and including the hour when the TLR level has been identified as TLR Level 0.
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Note to Auditor:

Auditor Notes:

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R2 Supporting Evidence and Documentation

- R2.** Each Reliability Coordinator with a Sink Balancing Authority that must implement congestion management actions pursuant to the Eastern Interconnection TLR procedure shall instruct the Sink Balancing Authority to implement the congestion management actions within 15 minutes of receiving the request from the issuing Reliability Coordinator, subject to the following exception:
- Should an assessment determine that one or more of the congestion management actions communicated will result in a reliability concern or will be ineffective, the Reliability Coordinator with a Sink Balancing Authority shall coordinate alternate congestion management actions with the issuing Reliability Coordinator.
- M2.** Each Reliability Coordinator with a Sink Balancing Authority that must implement congestion management actions pursuant to the Eastern Interconnection TLR procedure shall provide evidence (such as dated logs, voice recordings, or other information in electronic or hard-copy format) that within fifteen minutes of the receipt of a request, the Reliability Coordinator complied with the request by either 1) instructing the Sink Balancing Authority to implement the congestion management actions requested by the issuing Reliability Coordinator, or 2) implementing none or some of the communicated congestion management actions requested by the issuing Reliability Coordinator, and replacing the remainder with alternate congestion management actions if an assessment showed that some or all of the requested congestion management actions would have resulted in a reliability concern or would have been ineffective in accordance with Requirement R2.

Registered Entity Response (Required):

Question: During the compliance monitoring period, has a Sink Balancing Authority in the entity's Reliability Coordinator area been required to implement congestion management actions pursuant to the Eastern Interconnection TLR procedure? Yes No

If Yes, identify such instances and proceed to the next Question below. If the auditor has reasonable assurance of the entity's No answer, then no further compliance monitoring of this requirement is necessary.

Question: During the compliance monitoring period, did the entity determine that one or more of the congestion management actions communicated pursuant to the Eastern Interconnection TLR procedure would result in a reliability concern or be ineffective? Yes No

If Yes, provide evidence of 1) the assessment and 2) alternative congestion management actions taken, and 3) coordination with issuing Reliability Coordinator. If the auditor has reasonable assurance of the entity's No answer, then this aspect of the requirement is not applicable.

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

Registered Entity Response (Required):

Compliance Narrative:

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

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Evidence Requested:

Provide the following evidence, or other evidence to demonstrate compliance.
For all, or a sample of, instances where an entity with a Sink Balancing Authority that was required to implement congestion management actions pursuant to the Eastern Interconnection TLR procedure, as requested by the auditor, provide evidence (such as dated logs, voice recordings, etc. in electronic or hard-copy format) of the following:
Receipt of request from the issuing Reliability Coordinator; and
Instructions given to Sink Balancing Authority; or
Assessment to determine that one or more of the congestion management actions communicated would result in a reliability concern or be ineffective; and
Coordination with issuing Reliability Coordinator on alternate congestion management actions.

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-006-EAST-2, R2

This section to be completed by the Compliance Enforcement Authority

	Review evidence and verify the following:
	Entity instructed the Sink Balancing Authority to implement the congestion management actions within 15 minutes of receiving the request from the issuing Reliability Coordinator; or
	Entity performed an assessment and determined that one or more of the congestion management actions communicated would result in a reliability concern or be ineffective; and
	Entity coordinated alternate congestion management actions with the issuing Reliability Coordinator.
Note to Auditor:	

Auditor Notes:

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Additional Information:

Reliability Standard

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

The full text of IRO-006-EAST-2 may be found on the NERC Web Site (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.

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.....”

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Revision History for RSAW

Version	Date	Reviewers	Revision Description
1	06/02/2015	NERC Standards, NERC Compliance, Standards Draft Team, RSAW Task Force	New Document

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.

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