

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

## EOP-004-4 – Event Reporting

**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
<b>R1</b>	X	X	X	X					X			X	X		
<b>R2</b>	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

<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			

Req.	Areas of Concern

Req.	Recommendations

Req.	Positive Observations

**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 Responsible Entity shall have an event reporting Operating Plan in accordance with EOP-004 Attachment 1 that includes the protocol(s) for reporting to the Electric Reliability Organization and other organizations (e.g., the Regional Entity, company personnel, the Responsible Entity's Reliability Coordinator, law enforcement, or governmental authority).
- M1.** Each Responsible Entity will have a dated event reporting Operating Plan that includes the protocol(s) and each organization identified to receive an event report for event types specified in EOP-004-4 Attachment 1 and in accordance with the entity responsible for reporting.

#### **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>3</sup>:**

The entity's dated event reporting Operating Plan

#### **Registered Entity Evidence (Required):**

The following information is requested for each document submitted as evidence. 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

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


### **Compliance Assessment Approach Specific to EOP-004-4, R1**

<sup>3</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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***This section to be completed by the Compliance Enforcement Authority***

	Verify the entity's event reporting Operating Plan contains protocols for reporting to the ERO for all event types specified in EOP-004 Attachment 1.
	Verify the entity's event reporting Operating Plan identifies protocols for reporting to other designated organizations as needed for each event type specified in EOP-004 Attachment 1.
	Evidence that the Operating Plan includes the protocol(s) and each organization identified to receive an event report for event types specified in EOP-004 Attachment 1. <i>Event Types (See Column "Entity with Reporting Responsibility" in EOP-004 Attachment 1)</i>
<b>Note to auditor:</b>	

**Auditor Notes:**

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**R2 Supporting Evidence and Documentation**

- R2.** Each Responsible Entity shall report events specified in EOP-004 Attachment 1 to the entities specified per their event reporting Operating Plan by the later of 24 hours of recognition of meeting an event type threshold for reporting or by the end of the Responsible Entity’s next business day (4 p.m. local time will be considered the end of the business day).
  
- M2.** Each Responsible Entity will have as evidence of reporting an event either a copy of the completed EOP-004-4 Attachment 2 form or a DOE-OE-417 form; and some evidence of submittal (e.g., operator log or other operating documentation, voice recording, electronic mail message, or confirmation of facsimile) demonstrating that the event report was submitted by the later of 24 hours of recognition of meeting an event type threshold for reporting or by the end of the Responsible Entity’s next business day (4 p.m. local time will be considered the end of the business day).

**Responsible Entity Response (Required)**

**Question:** Has the Responsible Entity had a reportable event, as described in EOP-004 Attachment 1, during the compliance monitoring period?  Yes  No

If yes, list the event(s) with the date and time of the event and the date and time the event was reported. If no, describe how this was determined in the narrative section below.

Date and Time of Event	Event Description	Date and Time Event Reported

**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>4</sup>:**

The entity’s dated event reporting Operating Plan.
Evidence of reporting an event (copy of the completed EOP-004 Attachment 2 form or a DOE-OE-417 form)
Evidence of submittal of event reporting documentation within the time frame of R2.

<sup>4</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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**Registered Entity Evidence (Required):**

The following information is requested for each document submitted as evidence. 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

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


**Compliance Assessment Approach Specific to EOP-004-4, R2**

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

	For each event, ensure there is evidence of reporting an event (copy of the completed EOP-004 Attachment 2 form or a DOE-OE-417 form)
	For each event, ensure there is evidence of submittal of event reporting documentation (e.g., operator log or other operating documentation, voice recording, electronic mail message, or confirmation of facsimile) within the time frame of R2.
<p><b>Note to auditor:</b> Under certain adverse conditions (e.g. severe weather, multiple events) it may not be possible to report the damage caused by an event and issue a written Event Report within the timing in the standard. In such cases, the affected Responsible Entity shall notify parties per Requirement R2 and provide as much information as is available at the time of the notification.</p>	

**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	08/10/2016	NERC Compliance Assurance, RSAW Task Force	New Document
2	12/2/2016	NERC Compliance Assurance, RSAW Task Force	Updated to reflect changes in new draft

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