

**Reliability Standard Audit Worksheet[[1]](#footnote-1)**

PER-003-2 – Operating Personnel Credentials

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

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| **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]](#footnote-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** | **PA/PC** | **RC** | **RP** | **RSG** | **TO** | **TOP** | **TP** | **TSP** |
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| **R1** |  |  |  |  |  | X |  |  |  |  |  |  |
| **R2** |  |  |  |  |  |  |  |  |  | X |  |  |
| **R3** | X |  |  |  |  |  |  |  |  |  |  |  |

**Legend:**

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| 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 |

Findings

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

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| **Req.** | **Finding** | **Summary and Documentation** | **Functions Monitored** |
| **R1** |  |  |  |
| **R2** |  |  |  |
| **R3** |  |  |  |

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| **Req.** | **Areas of Concern** |
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| **Req.** | **Recommendations** |
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| **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):**

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| **SME Name** | **Title** | **Organization** | **Requirement(s)** |
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R1 Supporting Evidence and Documentation

**R1.** Each Reliability Coordinator shall staff its Real-time operating positions performing Reliability Coordinator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining a valid NERC Reliability Operator certificate([[3]](#footnote-3))([[4]](#footnote-4)):

**1.1.** Areas of Competency

**1.1.1.** Resource and demand balancing

**1.1.2.** Transmission operations

**1.1.3.** Emergency preparedness and operations

**1.1.4.** System operations

**1.1.5.** Protection and control

**1.1.6.** Voltage and reactive

**1.1.7.** Interchange scheduling and coordination

**1.1.8.** Interconnection reliability operations and coordination

**M1.** Each Reliability Coordinator shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:

**M1.1** A list of Real-time operating positions.

**M1.2** A list of System Operators assigned to its Real-time operating positions.

**M1.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.

**M1.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.

**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[[5]](#endnote-1):

|  |
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| **Provide the following evidence, or other evidence to demonstrate compliance.**  |
| A list of Real-time operating positions. |
| A list of System Operators assigned to its Real-time operating positions. |
| A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date whichdemonstrates compliance with the applicable Areas of Competency. |
| Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned towork in Real-time operating positions. |

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

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Compliance Assessment Approach Specific to PER-003-2, R1

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

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|  | A list of System Operators performing RC reliability-related tasks including the name of the operator as it appears on the certificate, the certificate number, and the level of certification. |
|  | Determine if other operating positions are located in the control room but not identified as performing RC reliability-related tasks. If yes, review evidence to validate certification is not required under R1. |
|  | Work schedules for the operating positions performing RC reliability-related tasks to verify only NERC-certified personnel worked these positions, or that non NERC-certified personnel were supervised by appropriate NERC-certified personnel, when working in positions with RC reliability-related responsibilities. |
|  | Using the information obtained above, verify all System Operators performing or supervising RC reliability-related tasks obtained and maintained a valid NERC Reliability Operator certificate. |
|  | Audit Team may contact NERC to confirm the certification information is valid. |
| **Note to Auditor:** • Areas of Competency are addressed when the certification exams are developed. Compliance is demonstrated by the System Operators holding the required level of certification.• Documentation of compliance is for the audit period unless otherwise determined.• Evidence for non-certified positions might include task lists, job descriptions, etc. showing no RC reliability-related tasks are performed, or work schedules demonstrating that a NERC certified employee was working with/supervising the non NERC-certified employee. |

Auditor Notes:

R2 Supporting Evidence and Documentation

**R2.** Each Transmission Operator shall staff its Real-time operating positions performing Transmission Operator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates([[6]](#footnote-5))([[7]](#footnote-6)):

**2.1.** Areas of Competency

**2.1.1.** Transmission operations

**2.1.2.** Emergency preparedness and operations

**2.1.3.** System operations

**2.1.4.** Protection and control

**2.1.5.** Voltage and reactive

**2.2** Certificates

* Reliability Operator
* Balancing, Interchange, and Transmission Operator
* Transmission Operator

**M2.** Each Transmission Operator shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:

**M2.1** A list of Real-time operating positions.

**M2.2** A list of System Operators assigned to its Real-time operating positions.

**M2.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.

**M2.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.

**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 Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.**  |
| A list of Real-time operating positions. |
| A list of System Operators assigned to its Real-time operating positions. |
| A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date whichdemonstrates compliance with the applicable Areas of Competency. |
| Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned towork in Real-time operating positions. |

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

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Compliance Assessment Approach Specific to PER-003-2, R2

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

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|  | A list of System Operators performing TOP reliability-related tasks including the name of the operator as it appears on the certificate, the certificate number, and the level of certification. |
|  | Determine if other operating positions are located in the control room but not identified as performing TOP reliability-related tasks. If yes, review evidence to validate certification is not required under R2. |
|  | Work schedules for the operating positions performing TOP reliability-related tasks to verify only NERC-certified personnel worked these positions, or that non NERC-certified personnel were supervised by appropriate NERC-certified personnel, when working in positions with TOP reliability-related responsibilities. |
|  | Using the information obtained above, verify all System Operators performing or supervising TOP reliability-related tasks obtained and maintained one of the following NERC certificates:* Reliability Operator
* Balancing, Interchange and Transmission Operator
* Transmission Operator
 |
|  | Audit Team may contact NERC to confirm the certification information is valid. |
| **Note to Auditor:** • Areas of Competency are addressed when the certification exams are developed. Compliance is demonstrated by the System Operators holding the required level of certification.• Documentation of compliance is for the audit period unless otherwise determined.• Evidence for non-certified positions might include task lists, job descriptions, etc. showing no TOP reliability-related tasks are performed, or work schedules demonstrating that a NERC certified employee was working with/supervising the non NERC-certified employee. |

Auditor Notes:

R3 Supporting Evidence and Documentation

**R3.** Each Balancing Authority shall staff its Real-time operating positions performing Balancing Authority reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates([[8]](#footnote-7))([[9]](#footnote-8)):

**3.1.** Areas of Competency

**3.1.1.** Resources and demand balancing

**3.1.2.** Emergency preparedness and operations

**3.1.3.** System operations

**3.1.4.** Interchange scheduling and coordination

**3.2** Certificates

* Reliability Operator
* Balancing, Interchange, and Transmission Operator
* Balancing and Interchange Operator

**M3.** Each Balancing Authority shall have the following evidence to show that it staffed its Real-time operating positions performing reliability-related tasks with System Operators who have demonstrated the applicable minimum competency by obtaining and maintaining the appropriate, valid NERC certificate:

**M3.1** A list of Real-time operating positions.

**M3.2** A list of System Operators assigned to its Real-time operating positions.

**M3.3** A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date which demonstrates compliance with the applicable Areas of Competency.

**M3.4** Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned to work in Real-time operating positions.

**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 Requestedi:

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| **Provide the following evidence, or other evidence to demonstrate compliance.**  |
| A list of Real-time operating positions. |
| A list of System Operators assigned to its Real-time operating positions. |
| A copy of each of its System Operator’s NERC certificate or NERC certificate number with expiration date whichdemonstrates compliance with the applicable Areas of Competency. |
| Work schedules, work logs, or other equivalent evidence showing which System Operators were assigned towork in Real-time operating positions. |

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

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Compliance Assessment Approach Specific to PER-003-2, R3

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

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|  | A list of System Operators performing BA reliability-related tasks including the name of the operator as it appears on the certificate, the certificate number, and the level of certification. |
|  | Determine if other operating positions are located in the control room but not identified as performing BA reliability-related tasks. If yes, review evidence to validate certification is not required under R1. |
|  | Work schedules for the operating positions performing BA reliability-related tasks to verify only NERC-certified personnel worked these positions, or that non NERC-certified personnel were supervised by appropriate NERC-certified personnel, when working in positions with BA reliability-related responsibilities. |
|  | Using the information obtained above, verify all System Operators performing or supervising BA reliability-related tasks obtained and maintained one of the following NERC certificates:* Reliability Operator
* Balancing, Interchange and Transmission Operator
* Balancing and Interchange Operator
 |
|  | Audit Team may contact NERC to confirm the certification information is valid. |
| **Note to Auditor:** * Areas of Competency are addressed when the certification exams are developed. Compliance is demonstrated by the System Operators holding the required level of certification.
* Documentation of compliance is for the audit period unless otherwise determined.
* Evidence for non-certified positions might include task lists, job descriptions, etc. showing no BA reliability-related tasks are performed, or work schedules demonstrating that a NERC certified employee was working with/supervising the non NERC-certified employee.
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Auditor Notes:

Additional Information:

Reliability Standard



The full text of PER-003-2 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

On November 21, 2018, in Docket No. RD18-9-000, FERC issued a delegated letter order approving Reliability Standard PER-003-2 and retirement of currently-effective Reliability Standards PER-003-1 and PER-004-2.

Revision History for RSAW

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| --- | --- | --- | --- |
| **Version** | **Date** | **Reviewers** | **Revision Description** |
| 1 | 05/02/2019 | NERC Compliance, Standards, RSAWTF | New Document |
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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. [↑](#footnote-ref-1)
2. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-2)
3. Non-NERC certified personnel performing any reliability-related task of an operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks. [↑](#footnote-ref-3)
4. The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual. [↑](#footnote-ref-4)
5. 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. [↑](#endnote-ref-1)
6. Non-NERC certified personnel performing any reliability-related task of an operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks. [↑](#footnote-ref-5)
7. The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual. [↑](#footnote-ref-6)
8. Non-NERC certified personnel performing any reliability-related task of an operating position must be under the direct supervision of a NERC Certified System Operator stationed at that operating position; the NERC Certified System Operator at that operating position has ultimate responsibility for the performance of the reliability-related tasks. [↑](#footnote-ref-7)
9. The NERC certificates referenced in this standard pertain to those certificates identified in the NERC System Operator Certification Program Manual. [↑](#footnote-ref-8)