

**Reliability Standard Audit Worksheet**

**IRO-006-WECC-3 — Qualified Path Unscheduled Flow (USF) Relief**

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

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| --- | --- |
| **Registered Entity:** | Registered name of entity being audited |
| **NCR Number:** | NCRnnnnn |
| **Compliance Enforcement Authority:** | Region or NERC performing audit |
| **Compliance Assessment Date(s)[[1]](#footnote-1):** | 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**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|  | **BA** | **DP** | **GO** | **GOP** | **IA** | **LSE** | **PA** | **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 |

**Findings Table:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Req.** | **Finding** | **Summary & Documentation** | **Functions Monitored** |
| [**R1.**](#R1_Summary) |  |  |  |
| **[R2.](#R2_Summary)** |  |  |  |

|  |  |
| --- | --- |
| **Req.** | **Recommendations** |
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| **Req.** | **Areas of Concern** |
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| **Req.** | **Positive Observations** |
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# **Subject Matter Experts**

Identify Subject Matter Expert(s) responsible for this Reliability Standard. (Insert additional rows if necessary)

**Registered Entity Response (Required):**

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

**R1.** Each Reliability Coordinator receiving a request for Curtailments for unscheduled flow transmission relief on a Qualified Path within its Reliability Coordinator Area shall either approve or deny that request within five minutes of receipt.

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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** |
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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 IRO-006-WECC-3 R1**

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

Review the evidence to verify the Registered Entity has:

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| --- | --- |
|  | The RC provided a list of USF Events issued at Step 4 or above from the webSAS USF Procedures Log. |
|  | Review the USF Procedures log and verify the time difference between the “RC Confirm Time” and the “PO (Path Operator) Confirm Time” is less than or equal to 5 minutes. |
| **Note to Auditor:** webSAS USF Procedures Log can be sorted and filtered for any time period, Qualified Path or Procedure Step Number. Procedures are issued each hour during a USF event. Auditor may use discretion for this to verify all Procedures have been issued on time or may use a sampling process to select a sample of available events. | |

[**Compliance** **Su****mmary:**](#EB1_Finding)

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

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**R2 Supporting Evidence and Documentation**

**R2.**  Each Balancing Authority receiving an approved request for unscheduled flow transmission relief on a Qualified Path per Requirement R1, shall perform any of the following actions to meet that request:

* Approve curtailment requests to the schedules as submitted
* Implement alternative actions

**Registered Entity Response (Required):**

Describe, in narrative form, how you meet compliance with this requirement.

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** |
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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 IRO-006-WECC-3 R2**

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

Review the evidence to verify the Registered Entity has:

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|  | BA provided a list of USF Events issued at Step 4 or above from the webSAS USF Procedures Log. |
|  | The USF Procedures log verified the value in the “Off-Path Tags Provided Column” is equal to or greater than the value in the “Off-Path Tags Required Column.”  Note: If all Provided Relief is equal to or greater than the Required Relief, no additional assessment is required. |
|  | The USF Procedures log indicates the required relief has not been provided.  Note: Verify the procedure was valid by looking at the timestamp of the event. If the “Terminate Time” is prior to the “Effective Time” then that hours procedure was not valid and this does not indicate non compliance |
|  | The USF Event in question was a valid event, because the USF Procedure Event Report for that Event demonstrates the Off-Path Relief for the BA which is indicated by the left value in the column is equal to or greater than the required relief value. |
|  | USF Procedure Event Report for that Event indicates the required relief was provided based on the BA’s full documentation through e-tags or other evidence that the required relief was provided through alternate methods. |
| **Notes to Auditor:** The webSAS procedures log and event reports should be provided by the entity but these can also be obtained directly by the WECC Compliance Department. With the exception of the details for alternate actions.  Failure of the BA to demonstrate that all required curtailment requests were approved or failure to implement equivalent alternate actions would indicate non-compliance with this requirement. | |

[**Com****pliance S****ummary:**](#EB2_Finding)

(Finding Summary):

Primary Documents Supporting Finding:

**Auditor Notes:**

**Supplemental Information**

**Other ‑** The list of questions above is not all inclusive of evidence required to show compliance with the Reliability Standard. Provide additional information here**, as necessary that** demonstrates compliance with this Reliability Standard.

**Standard:** [**IRO-006-WECC-3 — Qualified Path Unscheduled Flow (USF) Relief**](https://www.nerc.com/pa/Stand/Reliability%20Standards/IRO-006-WECC-3.pdf)

**Revision History**

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| --- | --- | --- |
| **Date** | **Reviewers** | **Revision Description** |
| October 2019 | WECC Compliance | RSAW for new Version of Regional Standard |
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1. Compliance Assessment Date(s): The date(s) the actual compliance assessment (on-site audit, off-site spot check, etc.) occurs. [↑](#footnote-ref-1)