



Attachment C's Technical Talk with RF

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January 21, 2021



Agenda

- Purpose and Overview
- Where to find
- Timelines
- Process Flow
- Examples
- Evidence Organization



Purpose and Overview

- Attachment C's provide a standardized approach to the sampling process to make the engagement process more efficient
- Registered Entity provides a data list (population) for each Requirement to be sampled (e.g., FAC-008-3; PRC-005-6)
- Auditor selects the samples and returns the list to the Registered Entity
- Registered Entity provides evidence for the selected samples
- Attachment C's apply only to Operations and Planning
- CIP uses a similar sampling tool, the [Evidence Request Tool](#)



Where to Find

ATTACHMENT C - DATA SAMPLING ENGAGEMENT WORKSHEETS

The screenshot shows a web browser window with the URL rfirst.org/ProgramAreas/COMO/O&P/Pages/O&P.aspx. The page header includes the ReliabilityFirst logo and navigation links: ABOUT US, PROGRAM AREAS, KNOWLEDGE CENTER, and COMMITTEES. A breadcrumb trail reads: HOME > PROGRAM AREAS > COMPLIANCE MONITORING > OPERATIONS & PLANNING. The main heading is "OPERATIONS & PLANNING". Below it, a paragraph states: "The items below are provided as resources for Operations & Planning Compliance Monitoring engagements and implementation of the Operations & Planning Standards. If you have any questions, feel free to contact our Compliance Monitoring or Entity Development departments." A list of documents is shown, with "ATTACHMENT C - DATA SAMPLING ENGAGEMENT WORKSHEET" highlighted. The list includes: Att C - BAL-001-2 R1, Att C - BAL-001-2 R2, Att C - BAL-002-3 R1, Att C - BAL-002-3 R3, Att C - BAL-005-1 R2, Att C - BAL-005-1 R5, Att C - BAL-005-1 R7, Att C - COM-001-3 R9, Att C - COM-002-4 R2, Att C - COM-002-4 R3, Att C - COM-002-4 R4, Att C - COM-002-4 R5, and Att C - COM-002-4 R6. On the right side, a sidebar menu lists various categories: CMEP IMPLEMENTATION PLANS, COMPLIANCE MONITORING METHODS, COMPLAINT, COMPLIANCE AUDIT, COMPLIANCE INVESTIGATION, DATA SUBMITTAL, MISOPERATIONS REPORTING, PERIODIC DATA SUBMITTAL, SELF-CERTIFICATION, SELF-REPORT, SPOT CHECK, CRITICAL INFRASTRUCTURE PROTECTION, OPERATIONS & PLANNING (highlighted), and UPCOMING EVENTS. Under "UPCOMING EVENTS", it lists "February 22, 2021 Technical Talk with RF".

Operations & Planning

rfirst.org/ProgramAreas/COMO/O&P/Pages/O&P.aspx

RF RELIABILITYFIRST

ABOUT US PROGRAM AREAS KNOWLEDGE CENTER COMMITTEES

HOME > PROGRAM AREAS > COMPLIANCE MONITORING > OPERATIONS & PLANNING

OPERATIONS & PLANNING

The items below are provided as resources for Operations & Planning Compliance Monitoring engagements and implementation of the Operations & Planning Standards. If you have any questions, feel free to contact our Compliance Monitoring or Entity Development departments.

ATTACHMENT C - DATA SAMPLING ENGAGEMENT WORKSHEET

- Att C - BAL-001-2 R1
- Att C - BAL-001-2 R2
- Att C - BAL-002-3 R1
- Att C - BAL-002-3 R3
- Att C - BAL-005-1 R2
- Att C - BAL-005-1 R5
- Att C - BAL-005-1 R7
- Att C - COM-001-3 R9
- Att C - COM-002-4 R2
- Att C - COM-002-4 R3
- Att C - COM-002-4 R4
- Att C - COM-002-4 R5
- Att C - COM-002-4 R6

CMEP IMPLEMENTATION PLANS

COMPLIANCE MONITORING METHODS

COMPLAINT

COMPLIANCE AUDIT

COMPLIANCE INVESTIGATION

DATA SUBMITTAL

MISOPERATIONS REPORTING

PERIODIC DATA SUBMITTAL

SELF-CERTIFICATION

SELF-REPORT

SPOT CHECK

CRITICAL INFRASTRUCTURE PROTECTION

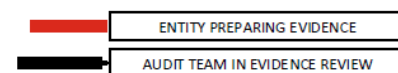
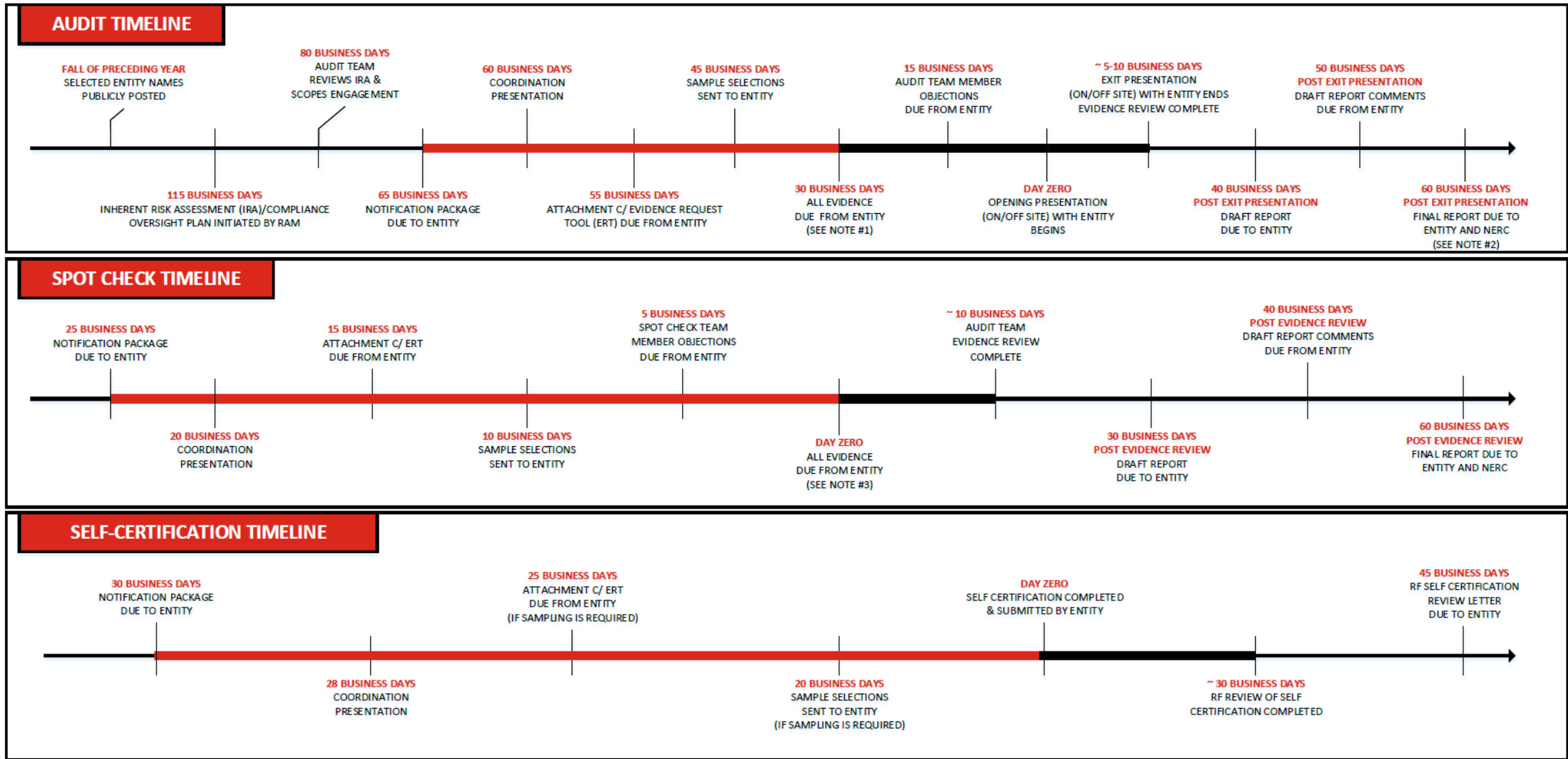
OPERATIONS & PLANNING

UPCOMING EVENTS

February 22, 2021
Technical Talk with RF



ReliabilityFirst CMEP Engagement Timelines

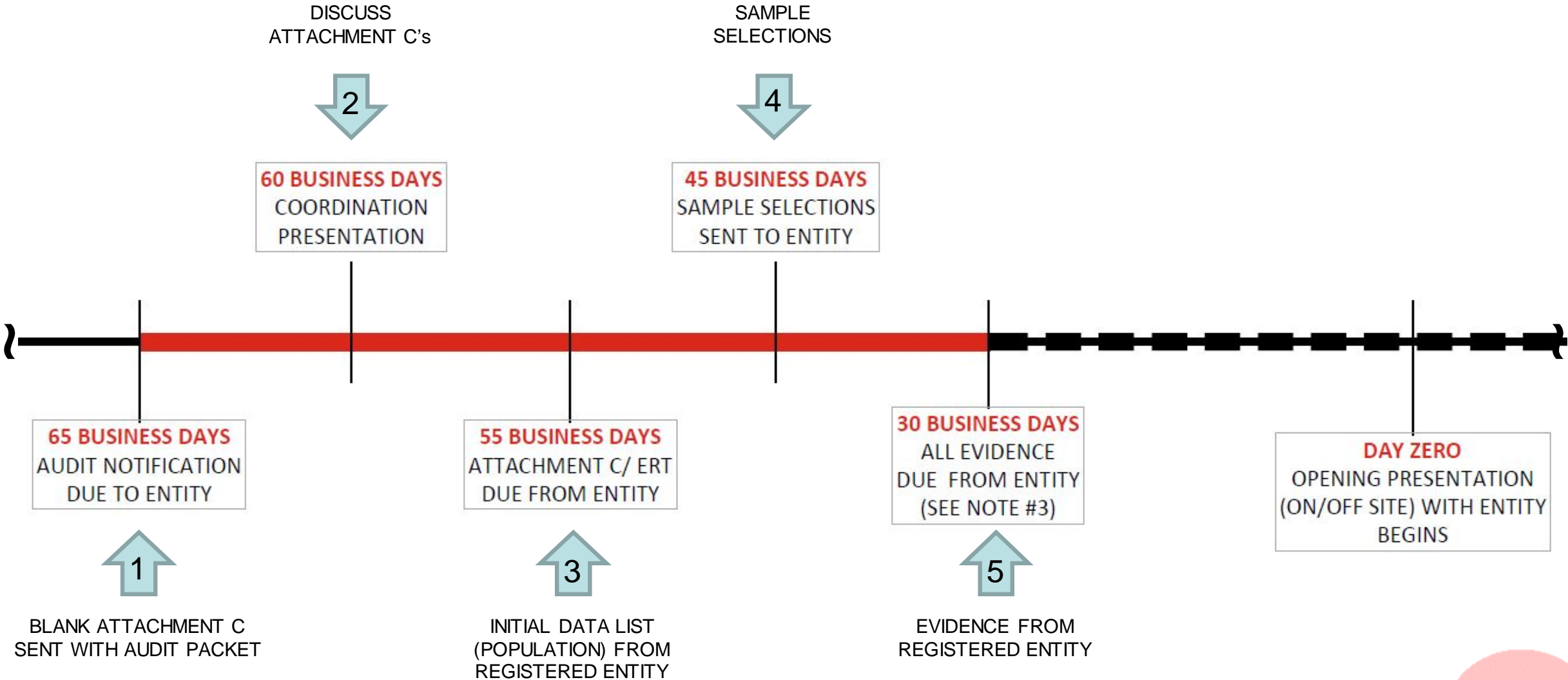


ADDITIONAL NOTES:

1) FOR CIP AUDITS THIS EVIDENCE INCLUDES COMPLETED RSAWS, TFE, LEVEL 1 EVIDENCE, AND LEVEL 2 EVIDENCE. FOR O&P AUDITS THIS EVIDENCE INCLUDES COMPLETED RSAWS AND APPLICABLE EVIDENCE.

2) IF THE FINAL REPORT DOESN'T CONTAIN POTENTIAL NON-COMPLIANCES, THE REGISTERED ENTITY WILL BE SENT BOTH THE NON PUBLIC AND THE PUBLIC REPORTS. IF THERE ARE POTENTIAL NON-COMPLIANCES, THE REGISTERED ENTITY WILL RECEIVE THE NON PUBLIC REPORT AND ONCE ALL POTENTIAL NON-COMPLIANCES HAVE BEEN PROCESSED THE PUBLIC REPORT WILL BE SENT.

Process Flow



FAC-008-3 R6 Att C Instructions



Contains Confidential Information Including Privileged and Critical Energy Infrastructure Information. Do Not Distribute.

Attachment C

Standard Number	Requirement Number	Data List	Data List returned to ReliabilityFirst	Evidence Requested	Evidence Returned to ReliabilityFirst
FAC-008-3	R6.	Provide a list of all Facility Ratings (solely and jointly owned). Use Attached Template	Return Data List to ReliabilityFirst no later than 55 business days prior to the start of the scheduled audit.	Each Transmission Owner and Generator Owner shall have evidence to show that its Facility Ratings are consistent with the documentation for determining its Facility Ratings as specified in Requirement R1 or consistent with its Facility Ratings methodology as specified in Requirements R2 and R3 (Requirement R6).	Return Evidence Requested to ReliabilityFirst no later than 30 business days prior to the start of the scheduled audit.



FAC-008-3 R6 Att C Blank

Index Number (RF use only)	Transmission Facility Identifier	Substation Name(s)	Type (Line/Transformer/Bus/Inductor, etc.)	kV(s)	Joint Owner, if applicable	Comments (example: Multiterminal line etc.)



FAC-008-3 R6 Att C Population

Index Number (RF use only)	Transmission Facility Identifier	Substation Name(s)	Type (Line/Transformer/Bus/Inductor, etc.)	kV(s)	Joint Owner, if applicable	Comments (example: Multiterminal line etc.)
	Riverside - Hope	Riverside - Hope	Line	161		
	Hope - North	Hope - North	Line	161		
	NW Auto XFMR 1	NW	Transformer	345 - 161		
	NW Auto XFMR 2	NW	Transformer	345 - 161		
	NW - Riverside	NW - Riverside	Line	161		
	NW - South	NW - South	Line	161		
	South - Lake Road	South - Lake Road	Line	161		
	Hope - East	Hope - East	Line	161		
	NW - West	NW - West	Line	161		



FAC-008-3 R6 Att C Sample Selections

Index Number (RF use only)	Transmission Facility Identifier	Substation Name(s)	Type (Line/Transformer/Bus/Inductor, etc.)	kV(s)	Joint Owner, if applicable	Comments (example: Multiterminal line etc.)
1	Riverside - Hope	Riverside - Hope	Line	161		
2	Hope - North	Hope - North	Line	161		
3	NW Auto XFMR 1	NW	Transformer	345 - 161		
4	NW Auto XFMR 2	NW	Transformer	345 - 161		
5	NW - Riverside	NW - Riverside	Line	161		
6	NW - South	NW - South	Line	161		
7	South - Lake Road	South - Lake Road	Line	161		
8	Hope - East	Hope - East	Line	161		
9	NW - West	NW - West	Line	161		



Identifiers

- For each Attachment C, the “identifier” is the Registered Entity’s identification name or number
- For example, for FAC-003-4 R6, Transmission Vegetation Management, Vegetation Inspections, the population identifier is the Registered Entity’s unit of choice
 - E.g., circuit, pole line or line miles
- For PRC-005-6 R3, Protection System Maintenance, the components may be identified separately or may be grouped and identified with relays (see example on next slide)



PRC-005-6 R3 Att C

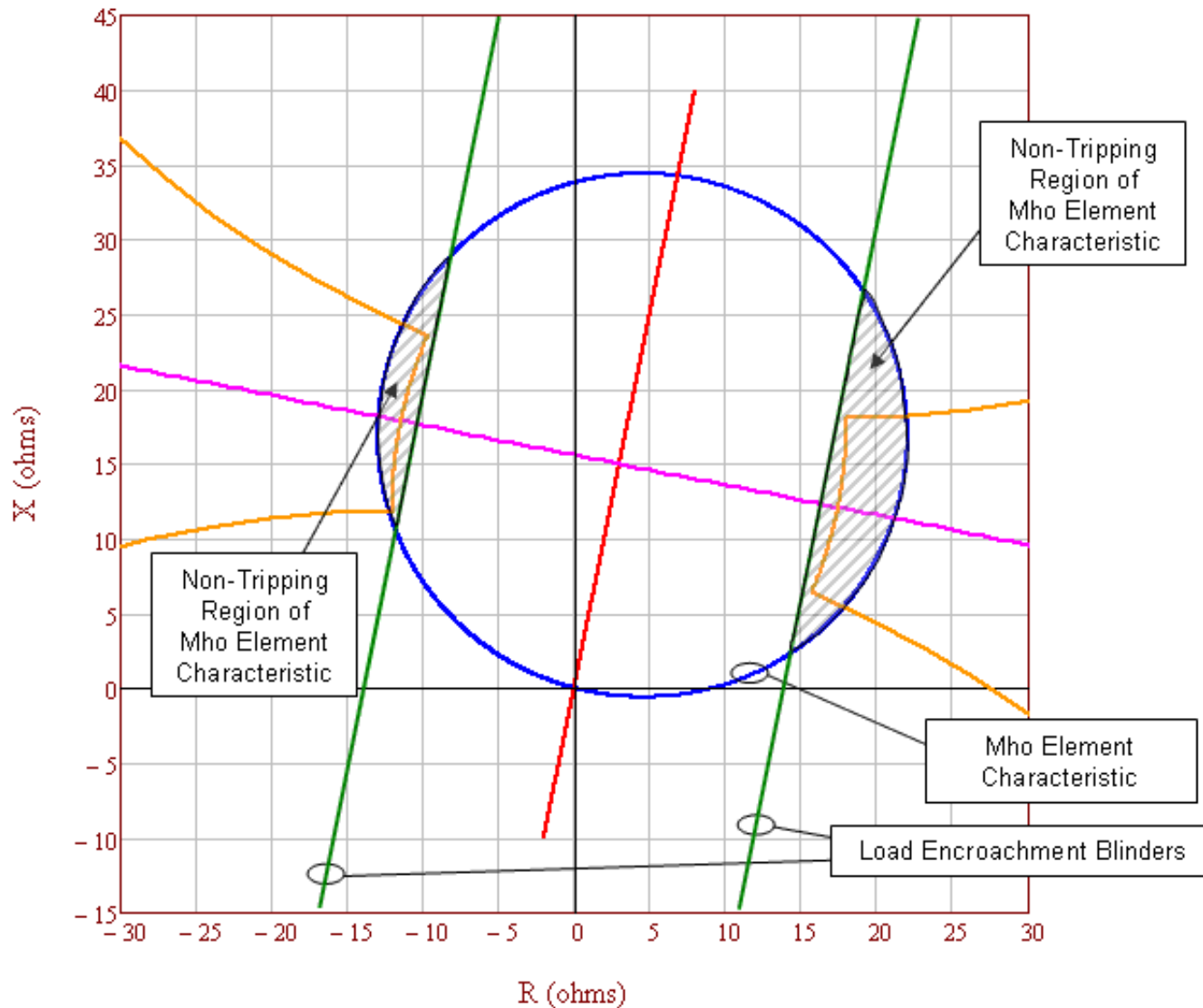
Index Number (RF use only)	Function (DP/GO/TO)	Generating Station/ Substation	Component Type (See Drop-Down box)	Microprocessor Relay (Yes / No / N/A)	Component is part of a UFLS, UVLS, RAS (SPS), Auto Recl or Sudden Pressure Relaying (Blank if no)	List of all applicable Components*	Device Identifier (if applicable)	Defined maintenance and testing Interval(s) per prior Standard/ Version **	Defined maintenance and testing Interval(s) per PRC-005-2/6, R3 or R4.	Previous Test Date	Date Last Maintained/ Tested
	GO	Gen A	Protective Relay	Yes		U2 GSU Diff	1682	4 Years	6 Years	6/10/2011	6/1/2015
	DP	Substation D	Protective Relay	No		Brk 1-2 Fail	10753	5 Years	6 Years	11/6/2009	11/2/2014
	TO	Substation D	Protective Relay	Yes		Line 13825	12835	12 Years	12 Years	11/6/2003	8/2/2014
	TO	Substation D	Communications System	N/A		Line 13825	18268	1 Year	4 Months	12/3/2017	4/1/2018
	TO	Substation D	Communications System	N/A		Line 13825	18268		6 Years	N/A	N/A
	TO	Substation D	Current Sensing Device	N/A		Line 13825 A	16325	10 Years	None	9/1/2004	8/2/2014
	DP	Substation E	Protective Relay	Yes	UFLS	Fdr 103	34812	5 Years	6 Years	3/5/2009	1/8/2014
	DP	Substation E	Voltage Sensing Device	N/A	UVLS	Fdr 104 B	24897	10 Years	12 Years	3/2/2004	1/8/2014
	TO	Substation F	Control Circuitry	N/A	RAS	Bus 1 B	43572	5 Years	12 Years	2/20/2009	2/7/2014
	TO	Substation F	Control Circuitry	N/A	Sudden Pressure	Tr 1	37465		12 Years		9/29/2015

Notes:

* Alternative - List relays only. RF will select sample. Entity will provide requested evidence for all components associated with selected relays.



PRC-026-1 R2 Example R-X Plot



Example Compliant R-X Plot
Figure 12 from PRC-026
Application Guidelines
Page 49 of PRC-026-1



Evidence Organization

- Organize evidence by Requirement
- See list of “Evidence Requested” in the RSAW
- Submit all applicable and requested evidence, even if it was included with a different Standard or Requirement
- Highlighting and bookmarks are acceptable and recommended
- Reference the Attachment C “identifier” in the file name or bookmark
- Make sure files are searchable



Questions & Answers

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