



# **Alberta Reliability Standards**

## **Reliability Standards Audit Worksheets**

### **Using the Template**



## Introduction

The Compliance Monitoring Program specifies that the ISO, as the Compliance Monitoring Authority, “ensures that the appropriate compliance procedures and required forms templates for the *reliability standards* being evaluated are maintained and available to the market participants”.

To achieve this goal, the AESO has developed Reliability Standards Audit Worksheets (RSAWs). The RSAW is used by the compliance monitoring authority (CMA) as a documentation tool for assessment of the evidence and determination of compliance of market participant or the AESO with requirements of a particular *Alberta Reliability Standard (ARS)*.

The AESO is the CMA relative to market participants on AIES. RSAW's are also available to market participants to assist them in self-assessments of their internal compliance with approved ARS.

This document is an AESO information document and guideline, and not an AESO authoritative document. Revisions to this document may be made from time to time by the AESO Compliance group as considered necessary by the AESO.

## 2. Purpose

The purpose of this information document is to provide an understanding on how the RSAW template is intended to be used. The goal of developing this document is to establish a common understanding of the consistent documentation that will occur during an audit assessment.

## 3. Applicability

This information document applies to version 1.0 of the Alberta RSAWs.

## 4. Definitions

Italicized terms used in this document have the meanings as set out in the *Alberta Reliability Standards Glossary of Terms*, Part 1 of *ISO Rules*, and the RSAW Guideline.

## 5. Design

The RSAW provides the CMA and *registered market participants* with the framework for recording audit assessment information. Each *Alberta Reliability Standard* will have an RSAW unique to the requirements and measures to the Standard. This information document provides an understanding of the generic document rather than specific sections for any one *Alberta Reliability Standard*.



# Reliability Standard Audit Worksheet RSAW\_v1.0\_XXX-###-AB-#

The “**Cover Sheet**” provides clear information indicating the Alberta *Reliability Standard* being assessed for the *registered market participant along with applicable dates, the type of audit, and the identification of the Audit Authority*.

## Reliability Standard Audit Worksheet RSAW\_v1.0\_XXX-XXX-AB-X

The RSAW version and Reliability Standard identifier

Alberta Reliability Standard TITLE here

Alberta Reliability Standard Effective Date: MMM DD, YYYY

### Applicability:

- Copied direct from the AUC approved Alberta *Reliability Standard*

The Effective Date of the Reliability Standard as approved by the AUC

Registered Entity:	Legal name of entity under review
Audit Date:	Date of substantial completion of the audit
Date of Last Audit:	Date brought forward from prior audit
Type of Audit:	Select audit type here - Spot Check; Table Top Audit [see ISO rule 12]
Audit Authority/Organization:	AESO



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## PART ONE – ASSESSMENT SUMMARY

**Suspected Non-Compliance to the standard?**    Yes     No

This section is intended to provide a quick reference of whether a suspected contravention has been identified through the course of the audit. Where a YES is present to indicate a suspected contravention, the AESO will proceed with the appropriate next steps in accordance with ISO Rule 012.

The completed RSAW document will be filed with the *MSA* as evidence in support of the referral of a suspected contravention. As the RSAW will form part of the referral; it may become part of any subsequent hearing process and/or part of the public record. Therefore information documented should be clear, concise and related to the specific Alberta *reliability standard* requirements that have been assessed.

### Assessment Commentary:

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This section provides high level summary information from the audit team regarding the assessment of the registered entities compliance with the Alberta *Reliability Standard*. It is intended as an executive summary of the audit assessment and information provided may be transferred to other documents such as a letter of referral to the *MSA*. The assessment commentary must state if there is a “suspected contravention” of the Alberta *Reliability Standard* and may include any applicable recommended actions.

Items within this section may also provide commentary such as “the audit team would like to thank XXX, the subject matter expert (SME), from the registered entity for their help on this audit.” This may be added into a report or follow-up discussion with the audited entity so they are aware of the cooperation, availability of time and/or evidence, that the subject matter expert provided. It may also be used to document any challenges that arose during the audit.

### Summary of Findings by Requirement

R1 –

R2 –

This section is summary level information brought forward from the audit notes within the Assessment Program for each requirement. No new information should be in the summary that has not already been documented within the supporting sections of the RSAW.

**PART TWO – CONTACTS**

Contact Type	Name Email Telephone	Sign-off
Entity Leader	Entity Leader contact information This person is the designated contact at the Entity who is responsible for the outcome of the audit specific to the RSAW under review. It may, or may not, be an authorized officer of the entity.	Not applicable Entity Leader sign-off is not required on the audit
Entity SME	SME Contact information This person is a key contact at the Entity who is designated a SME and provides the audit team with substantial portion of audit evidence.	Not applicable Entity SME sign-off is not required on the audit
Audit Leader	Audit team lead contact information The Audit Leader is the person responsible to conduct the audit and coordinate the day-to-day activities of the audit team.	Audit Team lead signs here at conclusion of audit as indication of completion of audit
Audit Team	Audit member(s) contact information The team member(s) responsible for audit work as assigned by either the Audit Leader or the Standard Owner (SO).	Sign off at completion as required
Standard Owner	SO contact information This person is the ISO designated person accountable and responsible for the Alberta <i>Reliability Standard</i> . In their role within the audit process, they may not conduct any of the on-site activities, however they are responsible for the outcome of the audit.	Standard Owner signs here at conclusion of audit as indication of completion of audit and acceptance of audit findings
Audit Manager	Audit Manager contact information This person is responsible for the overall coordination of the work, including assigning team members, coordinating audit requests with other audits underway, serving as trouble-shooter when problems arise on the audits, and review all of the documentation for the audit process.	Audit Manager signs here at conclusion of audit as indication of completion of audit and acceptance of audit findings

**PART THREE – COMPLIANCE AUDITOR ASSESSMENT / CHECKLIST**

**Requirement 1**

**R1** Text is transferred directly from approved Alberta *Reliability Standard*. This restates the requirements wording found in the Alberta *Reliability Standard* to ensure that the audit is to the applicable version of the standard for the period under review.

As the Alberta *Reliability Standard* is updated the RSAW will be updated.

Where an audit spans over two versions of an Alberta *Reliability Standard*, it is possible, that for part of the audit, an earlier RSAW version will apply while the other part of the audit will be in accordance with a later version of the RSAW.

**R1.1**

**Measures 1**

These measures will be used by the *ISO* in carrying out its compliance monitoring duties in accordance with *ISO rule 12*. The *ISO* may consider other data and information, including any provided by a *market participant*.

**MR1** Text transferred directly from approved Alberta *Reliability Standard*.

Measures stated in the Standard are types of checks that show compliance – they do not specify the exact check. For example, check for completeness is a measure. The audit check for the assessment program in AR1 will help to understand what “complete” means along with what evidence is acceptable to provide proof of completeness.

**MR1.1**

**Assessment 1**

**AR1** No new requirements will be introduced in the Assessment Program. The Assessment Program will seek to identify more specifically how each Requirement will be assessed.

**AR1.1**

The Assessment Program is an indication of a methodology or approach that will be taken by the audit team during the audit. It is different from the Measures found within the Alberta *Reliability Standard* in that it provides more clarity on how the assessment of the measure will occur. For example, a Requirement may indicate that a “plan” must exist; the Measure may indicate that “plan” must be reviewed; the Assessment program may indicate that during the review of the plan, it must exist, it must contain specific information i.e. more than a cover page that states “Plan”. The Assessment program may provide guidance to the auditor on how to review the evidence and determine whether it meets the requirement.



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The RSAW documents will be posted to the AESO website. Entities should review this section and prepare to provide evidence or responses to address these checks. The Assessment program may not provide full disclosure of the Assessment Program steps the audit team may use to assess a requirement's compliance.

	<b>Assessment Notes</b>	<b>Applicable Document(s) Page, Section, Date and/or Version</b>
R1	Audit team members will use this area to document assessment notes during the audit.	Audit team members will use this area to document specific web pages, document pages, sections, version references etc. used to verify evidence during the audit. This record will also assist the Standard Owner and Audit Manager during their review for quality assurance of the audit and/or review.
R1.1	These notes include such items as observations while performing the audit, notes on relevant telephone conversations and informal encounters with auditee's personnel and others, and other documentation of relevant evidence acquired during the audit in addition to that outlined in the Assessment Program.	

	<b>Findings</b>
R1	The audit team will utilize this section to summarize their findings for compliance to the overall requirement and sub-sections. This summary level information will be transferred to the Part One Assessment Summary.

Each subsequent Requirement and Measure will have its own Assessment Program developed between the AESO Compliance group and the AESO Standard Owner.



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**PART FOUR – ISO CMP AUDITOR GUIDES – “DISCLAIMER”**

**ISO CMP Auditor Guides – “Disclaimer”**

ISO developed the Reliability Standard Audit Worksheet (RSAW) to add clarity and consistency to the audit team’s assessment of compliance with this Alberta *Reliability Standard*. In adding clarity for the assessment, the RSAW may include additional detail that is consistent with the Alberta *Reliability Standard*. This additional detail clarifies the methodology that ISO has elected to use to assess requirements and should not be considered additional *reliability standard* requirements. Alberta *Reliability Standards* are updated frequently.

The ISO RSAWs are written to specific versions of each Alberta *Reliability Standard*. RSAW users should choose the applicable RSAW version of the Alberta *Reliability Standard* being assessed.

**PART FIVE – ADMINISTRATION**

This document is an AESO information document and guideline, and not an AESO authoritative document. Revisions to this document may be made from time to time by the AESO Compliance group. Market participants will be notified of revisions through the stakeholder update process.

**Revision History**

Revision	Date	Comments
#.#	MMM DD, YYYY	Initial version of Worksheet
		As each version of the RSAW is released, this section will be updated to provide clarity to the market. The RSAW release will be timed to occur shortly after the new version of an Alberta <i>Reliability Standard</i> has been approved by the AUC.

**Audit Team - General Notes to File:**

The audit team notes are for audit team use only. The information in the notes will not be made public. The intention is to provide a place to document informational items for subsequent audit teams for consideration during the subsequent audits. The items are administrative in nature and do not form part of the record for the assessment of compliance to a *Reliability Standard*. An example might be the auditor puts a note to the file for the future auditor to review a particular file, or see a specific person for additional detail to support a requirement. The note in that case, would not be a finding, but rather a suggestion that the future auditor may find helpful in executing their role. It is not an obligation on the future audit. This section may also provide focus for any subsequent audit to review particular findings to assure that appropriate action had been taken since the last audit.