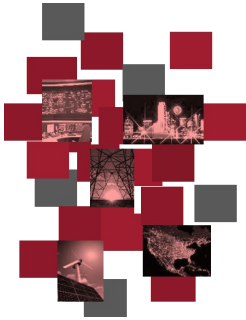


CERTREC®
YOUR REGULATORY EXPERTS



Simplifying NERC Compliance Using “Living” RSAWs



Simplifying NERC Compliance Using “Living” RSAWs

Reliability Standards Audit Worksheets (RSAW) are used by NERC Compliance Enforcement Authorities (CEAs) to audit Registered Entities to determine whether or not sufficient evidence supports regulatory compliance with the applicable regulatory standards and requirements and to establish a record of the audit.

The RSAWs are intended to provide a consistent approach to the audit and capture of evidence to substantiate entity compliance for each applicable regulatory requirement.

What are the Challenges of Maintaining RSAWs Audit Ready?

During audits and spot checks, NERC uses the Registered Entity's completed RSAWs and all associated evidence files to demonstrate compliance with the electric reliability standards and to identify non-compliances (potential violations).

With the exception of spot checks, regulatory audits of Registered Entities are typically 3 or more years apart and often RSAWs are created and updated just prior to the audit.

Personnel that are already time and resource constrained, also lack knowledge of and experience with NERC compliance procedures and processes. Additionally, many are unable to actively keep up with ever changing NERC standards, requirements and guidance – too much information.

Registered Entity policies, procedures and compliance evidence files are in varying formats and maintained by multiple owners in traditional file folders. Documentation often lacks links to standards and requirements and manual, labor-intensive “cut and paste” methods are often employed.

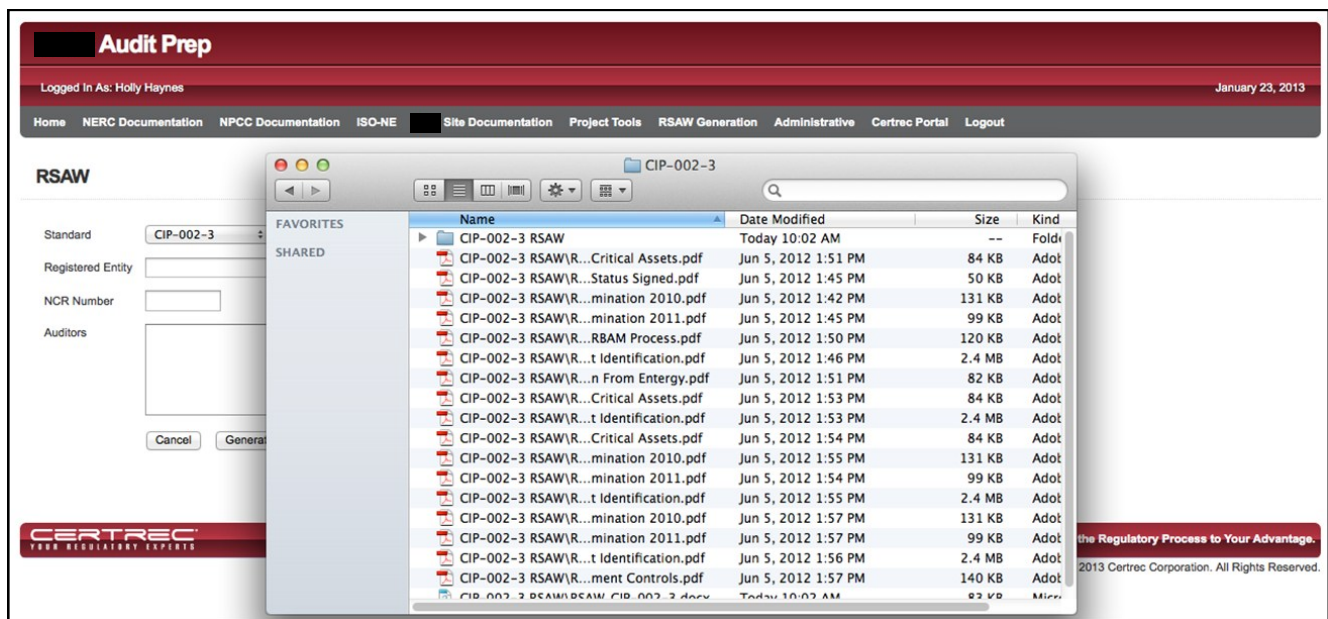
Additionally, NERC changes the format and content of the RSAWs, requiring information to be transferred to the “new” format often many times during a typical entity's audit cycle.

The Solution?

Certrec's "Living" RSAW

A
"Living"
RSAW

Certrec, a regulatory compliance process expert that helps utilities manage the regulatory process to their advantage, introduces the "Living" RSAW - a web-based solution for creating, managing, and submitting RSAW documentation and evidence in compliance with NERC submission criteria.



Certrec's "Living" RSAW – A Web-based Solution

Includes a One-Click, Auto-Generated RSAW Submittal Package

Continuous Compliance with Certrec's "Living" RSAW Solution

- ▶ Regulatory Standards, Requirements, directives and criteria (NERC, Regional Entity, ISO and RTO) are pre-loaded and maintained up to date by Certrec
- ▶ Compliance Application Notices are pre-loaded and maintained up to date by Certrec
- ▶ RSAW templates are pre-loaded with compliance narrative developed within the solution and relationally linked to the appropriate RSAW location
- ▶ Registered Entity Subject Matter Experts identified for each Standard and Requirement
- ▶ Registered Entity's policies, procedures, evidence files, and lifecycle changes are relationally linked to the applicable NERC Standards and Requirements within the RSAW as well as any Regional Entity, ISO and RTO requirements, criteria and directives
- ▶ Ability to generate self-audit or regulatory audit RSAW Packages with the click of a mouse
- ▶ Changes made to the NERC approved RSAWs do not significantly impact the solution (template updated by Certrec)



Helping You Cut Through the Complexity

Founded in 1988, Certrec is a regulatory compliance expert that helps utilities manage the regulatory process to their advantage.

With more than 300 cumulative years of regulatory and industry experience with the Nuclear Regulatory Commission, the Federal Energy Regulatory Commission, the North American Electric Reliability Corporation (NERC), and other Regional Entities,

Certrec's:

- ▶ Office of Licensing and Compliance
- ▶ Office of NERC Compliance
- ▶ Office of Assessment and Recovery
- ▶ New Plant Services

are used by utilities across North America.

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