CAP definition: A list of actions and an associated timetable for implementation to remedy a specific problem.

The following checklist identifies information for each Corrective Action Plan submission that the Lead RAS-Entity must document and provide to the RC West Reliability Coordinator (RC). If an item on this list does not apply to a specific CAP, a response of “Not Applicable” for that item is appropriate. This template can also be used for providing results of the RAS operational performance analysis when deficiencies are identified.

## CAP Submittal Checklist (to be filled out by the RAS Entity)

| **Submitting RAS Entity Contact Information** | | | | |
| --- | --- | --- | --- | --- |
| RAS Name: |  | | | |
| Lead RAS-Entity Name: |  | | | |
| RAS-Entity(ies) other than Lead  RAS-Entity: |  | | | |
| This submission is  (check applicable): | New CAP  Modification to the existing CAP  Completion to the existing CAP  (provide original CAP submission date) | | | |
| RAS deficiencies identified  through (check applicable): | Periodic RAS evaluation conducted by the PC  Operational analysis conducted by the RAS-entity (may include events when RAS operation/non-operation investigation concluded that the RAS did not meet performance expectations or did not operate as designed)  Planning studies (new Interconnection/load growth or load/generation retiring)  Functional test performed by the RAS-entity(ies)  Other: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Date of the Identifying Event: |  | | | |
| Will this CAP require functional changes[[1]](#footnote-1) be made to a RAS (Y/N)?  ***Note:*** *If applicable, use checklist for RAS modification (RC0690A) to submit RAS modifications.* |  | | | |
| If no changes to RAS necessary, describe mitigation actions and timetable necessary to address the deficiency |  | | | |
| Summary of Actions | Completed Date or In-Service Date | | Submitted to RC West Date | |
| *Example: Repair equipment* | *Example: June 27, 2021* | | *Example: May 1, 2021* | |
|  |  | |  | |
|  |  | |  | |
|  |  | |  | |
|  |  | |  | |
|  |  | |  | |
| List all the supporting documentation provided with this submission  (Insert rows if needed) | ***Title*** | ***Version*** | | ***Effective Date*** |
|  |  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
| Date Submitted: |  | | | |
| Name: |  | | | |
| Title: |  | | | |
| Department: |  | | | |
| Phone: |  | | | |
| Email Address: |  | | | |

**CAP Completion Checklist (to be filled out by RC)**

|  |  |
| --- | --- |
| Date CAP Completed: |  |
| Name: |  |
| Title: |  |
| Department: |  |
| Phone: |  |
| Email Address: |  |

# Supporting Information

### Operationally Affected Parties

Shared with the Public.

## References

|  |  |
| --- | --- |
| NERC Requirements | PRC-012 |
| BA/TOP Operating Procedure |  |
| Other References |  |

## Version History

|  |  |  |
| --- | --- | --- |
| **Version** | **Change** | **Date** |
| 1.0 | New checklist – Approved by Oversight Committee 9/17/20. | 1/01/21 |
| 1.1 | Periodic Review: No content changes, only minor formatting. | 1/18/24 |

# Periodic Review Procedure

### Review Criteria & Incorporation of Changes

There are no specific review criteria identified for this document.

### Frequency

Review at least once every three (3) years.

1. PRC-012 R1 Functionally modified: Any modification to a RAS consisting of any of the following:

   • Changes to System conditions or contingencies monitored by the RAS

   • Changes to the actions the RAS is designed to initiate

   • Changes to RAS hardware beyond in-kind replacement; i.e., match the original functionality of existing components

   • Changes to RAS logic beyond correcting existing errors

   • Changes to redundancy levels; i.e., addition or removal [↑](#footnote-ref-1)