



2016 Ops & Planning Audit Results

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Reliability Standards and Compliance
Subcommittee
November 16, 2016

- Engagement Notification Letter, dated July 18, 2016
 - 21 NERC Reliability Standards
 - 48 Requirements (68 if including subreq.)
 - 12 Data Samples with follow-up evidence requests for selected samples
- Audit Team
 - 3 Auditors from RF
 - 2 Auditors from SERC
 - 4 Observers (1 RF, 1 FERC, and 2 NERC)

- October 18, 2016
 - Milford Control Room Tour
 - Operator Interviews
 - Follow up questions to tour and operator interviews
- October 19, 2016
 - Discussions with SMEs on targeted topics/questions
 - COM-002-4
 - TPL-001-4
- Closing Presentation

Preliminary Findings

No Finding	46
Open Enforcement Actions	2
Possible Violations	0
Not Applicable	0
Areas of Concern	2
Recommendations	9
Positive Observations	3

- Report development
 - PJM will comment on a draft report provided by RF/SERC
- Post-Audit Plan
 - Evaluate all Areas of Concern and Recommendations
 - Implement process improvements, as appropriate, to address Areas of Concern and Recommendations
 - Engage stakeholders as needed