2016 Ops & Planning Audit Results

Srinivas Kappagantula
Planning Committee
November 3, 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)
On-Site Activity

• 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
<table>
<thead>
<tr>
<th>Preliminary Findings</th>
<th></th>
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<tbody>
<tr>
<td>No Finding</td>
<td>46</td>
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<tr>
<td>Open Enforcement Actions</td>
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<tr>
<td>Possible Violations</td>
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<tr>
<td>Not Applicable</td>
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<tr>
<td>Areas of Concern</td>
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<tr>
<td>Recommendations</td>
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<tr>
<td>Positive Observations</td>
<td>3</td>
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</table>
• 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