PJM Ops & Planning Audit Update

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Reliability Compliance
Reliability Standards and Compliance Subcommittee
July 19, 2019
• Audit Timeline
• Controls Review Update
• PJM Deliverables
• Key Dates
• Q/A
Overall 2019 Audit Timeline

February/March
- Mock Audit: March 11 – 13
- Controls Review: Feb 7 – June 1
- Report potential issues: Jan 1 – July 22

April/May/June
- Address Mock Audit Recommendations: March 13 – July 22

July/August
- Data Requests: July 22 – Oct 21
- Audit Scope Notification: July 22

September/October
- Audit: Oct 21- 25

Ongoing: Communications & Training
<table>
<thead>
<tr>
<th>Applicable Standard</th>
<th>Applicable Requirement(s)</th>
<th>#</th>
<th>Internal Control</th>
<th>Control Type (Preventive or Monitoring/Detective)</th>
<th>Control Frequency (e.g., real-time, daily, monthly, quarterly, annual, etc.)</th>
<th>Control Owner</th>
<th>Evidence of Control</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRC-005-6</td>
<td>R3.</td>
<td>1</td>
<td>Maximo is used as a computerized maintenance management system to track protection system maintenance and testing. Alerting is enabled to notify personnel of approaching due dates for maintenance</td>
<td>Preventative</td>
<td>On-going</td>
<td>C. Transformer</td>
<td>See Maximo screenshots</td>
</tr>
<tr>
<td>FAC-003-4</td>
<td>R1.</td>
<td>2</td>
<td>Public outreach is performed so that the public understands the important of vegetation management through various advertisement methods. Call in number is provided in all ads and the public is advised to report tree issues</td>
<td>Detective</td>
<td>On-going</td>
<td>B. Walnut</td>
<td>See example advertisements</td>
</tr>
<tr>
<td>EOP-010-1</td>
<td>R1.</td>
<td>3</td>
<td>System operators and applicable personnel receive annual training and simulation of the GMD Operating Procedure. Afterwhich, their feedback is documented and assessed for inclusion in the GMD Operating Procedure.</td>
<td>Corrective</td>
<td>Annual</td>
<td>A. Solar</td>
<td>See 2017 feedback form and 2018 GMD procedure reflecting the feedback</td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>On an annual basis, an internal audit is completed to review compliance to all applicable standards.</td>
<td>Preventative</td>
<td>Annual</td>
<td>Internal Audit Department</td>
<td>See 2017 and 2018 internal audit reports</td>
</tr>
</tbody>
</table>
Feedback from NERC, RF, and SERC

- Great documentation and supporting evidence
- SMEs knowledgeable about the controls presented
- Potentially reduced audit scope
Key Dates and Deliverables

- **May**
  - Completed RFI Conference Calls

- **June**
  - Completed Mock Audit Recommendations

- **July**
  - Receive 90 Day Letter from RF
  - Controls Final Report

- **August – September**
  - Submit RSAWs
  - RFI and Data Sampling

- **October**
  - Onsite Audit