Readiness Audit Program
Process Improvements

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Lessons Learned – So Far

- Must remain true to the process
- Report development
  - 30 business days not adequate for commenters
- Requirements for large vs. small CA
  - Size of audit team
- Operation across different regions
  - Regional leadership and participation
- Delegation of responsibilities
  - Requires audits of delegate sites
- Responsibilities split between multiple locations
  - Requires multiple site visits
Process Improvements Implemented

- Audit period extended
- Notification and questionnaire response time extended
- Control room walk-through moved to first day
  - Provides insight to the team early in the visit
  - Formulate questions for audit
- Checklist developed for use by the “tools” subteam (control room)
  - Provides consistency
  - Supplements open discussion
Process Improvements Implemented

- Revised self-assessment questionnaire and auditors guides
  - Questions have been reviewed and revised for clarity and preciseness.
  - Discussion encouraged – fewer yes or no answers allowed.
  - Format of both documents have been structured to match one another.
  - Sub-team guides developed
Process Improvements Implemented

- NERC currently interviewing for full-time team leaders
  - One recent new-hire
  - Four additional planned
- Possible standards violations
  - Team notifies NERC Vice-President Compliance
  - NERC Vice-President Compliance notifies regional CEP for investigation
Process Improvements - In Progress

- Size and make-up of the audit team being reviewed
- Duration of audit being further reviewed
- Additional audit items being considered
- Recommendation tracking
  - Tracking procedure being developed
    - Regional follow-up with NERC oversight
- Identify and disseminate “best practices”
Process Improvements - Future

- Combine reliability coordinator and control area processes
- Functional model implementation
  - Modules to be developed for each reliability function
- Training for auditors
- Constructive feedback