

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

