



Non-Public and Confidential
Sent via electronic mail

Delivery Method: Via E-mail and the FTP2 site of MRO's EFT Server

Audit Notification Letter

[Insert Date Here]

Registered Entity Name	
Registered Entity Acronym	
NCR ID # (NERC Compliance Registry – NCR)	
Registered Entity Contact	[Primary Contact]
Registered Entity Address	
Compliance Audit Type	[Operations & Planning and/or CIP]
Audit Dates – on-site/off-site	[If O&P and CIP audit periods dates are different - note both dates here]
Audit Period (Monitoring Period)	[Insert Dates]
Registered Entity Functional Registration	[Enter all functions that are applicable to registered entity]
CFR's or Delegation Agreement	[Optional – delete if not used]



Non-Public and Confidential
Sent via electronic mail

Dear **PCC**:

Entity Name (hereinafter [Company]) **NERC ID: (NCRXXXX) MRO (NCRXXXX) RF (NCRXXXX) SPP (NCRXXXX) TRE (NCRXXXX) WECC, etc.**, is scheduled to receive a Compliance Audit from **Month xx, 20xx, through Month xx, 20xx**. The audit scope includes CIP, Operations, and Planning NERC Reliability Standards, and is based on a reliability risk-based assessment conducted by MRO **in conjunction with/on behalf of itself and SPP, RF, TRE, WECC**. The objective of the compliance audit is to review evidence that provides reasonable assurance of compliance or findings related to the applicable Reliability Standards. The Compliance Audit is conducted in accordance with the Compliance Monitoring and Enforcement Program (CMEP) and applicable NERC Rules of Procedure approved by the applicable regulator (in the United States, the Federal Energy Regulatory Commission).

The following personnel will be participating in the audit:

Audit Team Members and Participants		
Team Members/Participants	CMEP Activity Role	Region/Affiliation
	Audit Team Lead (ATL)	MRO
Dave Taylor	Auditor	MRO
Jess Syring	Auditor	MRO
Jim Morales	Auditor	MRO
Julie Sikes	Auditor	MRO
Michael Taube	Auditor	MRO
Nick Caporelli	Auditor	MRO
Rob Quinlan	Auditor	MRO
Rumyana Kreidler	Auditor	MRO
Sam Zewdie	Auditor	MRO
Larry Johnson	Auditor	MRO
Jeff Norman	Observer	MRO



Non-Public and Confidential
Sent via electronic mail

This audit will be conducted by all or some, of the audit team members in the table above. All audit team members have executed confidentiality agreements or acknowledgements. [Entity] may object to any member of the audit team on grounds of a conflict of interest or the existence of other circumstances that could interfere with the team member's impartial performance of his or her duties (see audit team bios).

Any such objections must be provided in writing to the ATL no later than fifteen (15) days prior to the start of on-site audit work.

The documents in the table below are included in this audit notification. **Please note:** Certain documents require completion and are required to be returned by their respective due dates shown in the table below.

Document Name/Description	Document Type	Document Name	Location/Folder Name
Audit Scope Contains the standards and requirements related to the compliance audit.	Informational	Appendix A	Attached
Audit Team Biographies	Informational	Audit Team Biographies.pdf	FTP2 Site of MRO's EFT server
Operations and Planning Reliability Standards Request for Information (RFI)	Data Requests	Ops Planning Reliability Standards RFI Spreadsheet.xlsx	FTP2 Site of MRO's EFT server
RFI Worksheets	Data Requests		FTP2 Site of MRO's EFT server
CIP Evidence Request Tool Version 2.0	Data Requests	CIP_Evidence_Request_MRO_XYZ.xlsx	FTP2 Site of MRO's EFT server



Non-Public and Confidential
Sent via electronic mail

Reliability Standard Audit Worksheets (RSAWs)	Data Requests	Multiple, see Appendix A	NERC RSAWs
MRO Audit Certification	Informational/Attestation	MRO Audit Certification.docx	FTP2 Site of MRO's EFT server
Internal Compliance Program (ICP) Questionnaire*	Data Request	Internal Compliance Program Questionnaire.docx	FTP2 Site of MRO's EFT server
NERC Registered Entity Post Audit Feedback Survey	Informational	NERC Registered Entity Post Audit Feedback Survey.docx	FTP2 Site of MRO's EFT server

In regard to the evidence request items described above and other data requested by MRO, please note that unless otherwise specified, we request that you provide copies of the original, un-redacted and un-combined copies in Word, Excel, Power Point format (non-PDF) or the “native” format for the requested item(s). Please send all responses and supporting documents back to MRO **via the [FTP2](#) site of MRO's Encrypted EFT site no later than the dates listed below (please note the important dates/deadlines below are subject to change and not inclusive):**

* If your entity did not complete an ICP questionnaire during its last audit a blank questionnaire will be provided for you to populate. If your entity completed an ICP questionnaire during its last audit, that questionnaire will be included for you to update.



Non-Public and Confidential
Sent via electronic mail

Important Dates/Deadlines	
Description	Date
Operations and Planning Reliability Standards Request for Information (RFI)	Item "OP-01" – "OP-17": LIST SPECIFIC RFI NUMBERS [DATE that is 15 calendar days AFTER THIS LETTER IS SENT TO RE]
RFI Worksheets	[Date that is 15 calendar days AFTER this letter is sent to RE]
CIP Evidence Request Tool (ERT)	Level 1 Sampling Populations: [DATE = 4 weeks AFTER this letter is sent to RE]
	Level 1 & Level 2 Evidence: [DATE = day before document review start date]
Reliability Standard Audit Worksheets (RSAWs)	[DATE = day before document review start date]
MRO Audit Certification	[DATE = day before document review start date]
Internal Compliance Program Questionnaire	[DATE = day before document review start date]

In addition to the MRO audit notification packet sent to the designated Primary Compliance Contact, please note that the designated Authorized Officer has received an MRO Audit Certification Letter. The letter explains the objectives of the compliance audit and delegated authority with NERC. Please let us know if you have any questions.

MRO Compliance Office
380 St. Peter Street, Suite 800
St. Paul, MN 55102

CC: **Entity Authorized Officer**

NERC

Regional Contacts

Audit Team



Non-Public and Confidential
Sent via electronic mail

Appendix A - Standards and Requirements included in Audit Scope*

Standard(s)	Requirement(s)	Title
BAL-001-2		Real Power Balancing Control Performance
BAL-002-1		Disturbance Control Performance
BAL-003-1.1		Frequency Response and Bias
BAL-004-0		Time Error Correction
BAL-005-0.2b		Automatic Generation Control
BAL-006-2		Inadvertent Interchange
COM-001-3		Communications
COM-002-4		Operating Personnel Communications Protocols
EOP-001-2.1b		Emergency Operations Planning
EOP-002-3.1		Capacity and Energy Emergencies
EOP-003-2		Load Shedding Plans
EOP-004-3		Event Reporting
EOP-005-2		System Restoration from Blackstart Resources
EOP-006-2		System Restoration Coordination
EOP-008-1		Loss of Control Center Functionality
EOP-010-1		Geomagnetic Disturbance Operations
EOP-011-1		Emergency Plan Development and Coordination
FAC-001-1		Facility Connection Requirements
FAC-002-2		Coordination of Plans For New Generation, Transmission, and End-User Facilities



Non-Public and Confidential
Sent via electronic mail

FAC-003-4		Transmission Vegetation Management
FAC-008-3		Facility Ratings
FAC-010-3		System Operating Limits Methodology for the Planning Horizon
FAC-011-2		System Operating Limits Methodology for the Operations Horizon
FAC-013-2		Assessment of Transfer Capability for the Near-term Transmission Planning Horizon
FAC-014-2		Establish and Communicate System Operating Limits
INT-001-3		Interchange Information
INT-003-3		Interchange Transaction Implementation
INT-004-2		Dynamic Interchange Transaction Modifications
INT-005-3		Interchange Authority Distributes Arranged Interchange
INT-006-3		Response to Interchange Authority
INT-007-1		Interchange Confirmation
INT-008-3		Interchange Authority Distributes Status
INT-009-1		Implementation of Interchange
INT-010-1		Interchange Coordination Exemptions
IRO-001-4		Reliability Coordination - Responsibilities and Authorities
IRO-002-2		Reliability Coordination - Facilities
IRO-003-2		Reliability Coordination - Wide-Area View
IRO-004-2		Reliability Coordination - Operations Planning
IRO-005-3.1a		Reliability Coordination - Current Day Operations



Non-Public and Confidential
Sent via electronic mail

IRO-006-5		Reliability Coordination - Transmission Loading Relief (TLR)
IRO-008-1		Reliability Coordinator Operational Analyses and Real-time Assessments
IRO-009-1		Reliability Coordinator Actions to Operate Within IROLs
IRO-010-1a		Reliability Coordinator Data Specification and Collection
IRO-014-1		Procedures, Processes, or Plans to Support Coordination Between Reliability Coordinators
IRO-015-1		Notifications and Information Exchange Between Reliability Coordinators
IRO-016-1		Coordination of Real-time Activities Between Reliability Coordinators
IRO-017-1		Outage Coordination
MOD-001-1a		Available Transmission System Capability
MOD-004-1		Capacity Benefit Margin
MOD-008-1		Transmission Reliability Margin Calculation Methodology
MOD-010-0		Steady-State Data for Modeling and Simulation of the Interconnected Transmission System
MOD-012-0		Dynamics Data for Modeling and Simulation of the Interconnected Transmission System
MOD-016-1.1		Documentation of Data Reporting Requirements for Actual and Forecast Demands, Net energy for Load, and Controllable Demand-Side Management
MOD-017-0.1		Aggregated Actual and Forecast Demands and Net Energy for Load



Non-Public and Confidential
Sent via electronic mail

MOD-018-0		Treatment of Nonmember Demand Data and How Uncertainties are Addressed in the Forecasts of Demand and Net Energy for Load
MOD-019-0.1		Reporting of Interruptible Demands and Direct Control Load Management
MOD-020-0		Providing Interruptible Demands and Direct Control Load Management Data to System Operators and Reliability Coordinators
MOD-021-1		Documentation of the Accounting Methodology for the Effects of Demand-Side Management in Demand and Energy Forecasts
MOD-025-2		Verification and Data Reporting of Generator Real and Reactive Power Capability and Synchronous Condenser Reactive Power Capability
MOD-026-1		Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions
MOD-027-1		Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions
MOD-028-2		Area Interchange Methodology
MOD-029-1a		Rated System Path Methodology
MOD-030-2		Flowgate Methodology
MOD-032-1		Data for Power System Modeling and Analysis
MOD-033-1		Steady-State and Dynamic System Model Validation
NUC-001-3		Nuclear Plant Interface Coordination
PER-001-0.2		Operating Personnel Responsibility and Authority
PER-003-1		Operating Personnel Credentials



Non-Public and Confidential
Sent via electronic mail

PER-004-2		Reliability Coordination - Staffing
PER-005-2		System Personnel Training
PRC-001-1.1		System Protection Coordination
PRC-002-2		Disturbance Monitoring and Reporting Requirements
PRC-004-5(i)		Protection System Misoperation Identification and Correction
PRC-005-1.1b		Protection System, Automatic Reclosing, and Sudden Pressure Relaying Maintenance
PRC-005-6		Protection System, Automatic Reclosing, and Sudden Pressure Relaying Maintenance
PRC-006-3		Automatic Underfrequency Load Shedding
PRC-008-0		Implementation and Documentation of Underfrequency Load Shedding Equipment Maintenance Program
PRC-010-0		Technical Assessment of the Design and Effectiveness of Undervoltage Load Shedding Program
PRC-011-0		Undervoltage Load Shedding System Maintenance and Testing
PRC-015-1		Remedial Action Scheme Data and Documentation
PRC-016-0.1		Special Protection System Misoperations
PRC-017-0		Special Protection System Maintenance and Testing
PRC-018-1		Disturbance Monitoring Equipment Installation and Data Reporting
PRC-019-2		Coordination of Generating Unit or Plant Capabilities, Voltage Regulating Controls, and Protection
PRC-021-1		Under-Voltage Load Shedding Program Data



Non-Public and Confidential
Sent via electronic mail

PRC-022-1		Under-Voltage Load Shedding Program Performance
PRC-023-4		Transmission Relay Loadability
PRC-024-2		Generator Frequency and Voltage Protective Relay Settings
PRC-025-2		Generator Relay Loadability
PRC-026-1		Relay Performance During Stable Power Swings
TOP-001-4		Transmission Operations
TOP-002-4		Operations Planning
TOP-003-3		Planned Outage Coordination
TOP-004-2		Transmission Operations
TOP-005-2a		Operational Reliability Information
TOP-006-2		Monitoring System Conditions
TOP-007-0		Reporting System Operating Limit (SOL) and Interconnection Reliability Operating Limit (IROL) Violations
TOP-008-1		Response to Transmission Limit Violations
TOP-010-1(i)		Real-time Reliability Monitoring and Analysis Capabilities
TPL-001-4		Transmission System Planning Performance Requirements
TPL-002-0b		System Performance Following Loss of a Single Bulk Electric System Element (Category B)
TPL-003-0b		System Performance Following Loss of Two or More Bulk Electric System Elements (Category C)



Non-Public and Confidential
Sent via electronic mail

TPL-004-0a		System Performance Following Extreme Events Resulting in the Loss of Two or More Bulk Electric System Elements (Category D)
TPL-007-1	R1	Transmission System Planned Performance for Geomagnetic Disturbance Events
VAR-001-4.2		Voltage and Reactive Control
VAR-002-4.1		Generator Operation for Maintaining Network Voltage Schedules
CIP-002-5.1a	R2	Cyber Security - BES Cyber System Categorization
CIP-003-6	R2	Cyber Security - Security Management Controls
CIP-004-6	R3,R4,R5	Cyber Security - Personnel & Training
CIP-005-5	R1,R2	Cyber Security - Electronic Security Perimeter(s)
CIP-006-6	R1,R2,R3	Cyber Security - Physical Security of BES Cyber Systems
CIP-007-6	R1,R2,R3,R4,R5	Cyber Security - Systems Security Management
CIP-009-6	R1,R2	Cyber Security – Recovery Plans for BES Cyber Systems
CIP-010-2	R1,R2	Cyber Security - Configuration Change Management and Vulnerability Assessments
CIP-011-2	R1,R2	Cyber Security - Information Protection
CIP-014-2	R1	Cyber Security - Physical Security

* The Compliance Audit may include follow-up on recommendations or mitigation from previous CMEP activities for standards and requirements that are not included in Appendix A.