



Helping our members work together
to keep the lights on... today
and in the future

SPP Quarterly Compliance Forum

SPP 693 Audit Update

Philip Propes

October 9, 2013



Audit Experiences

- **Pre-Audit Activities**
 - **Very good pre-audit preparation and organization**
 - **Lengthy review and discussion of pre-audit materials**
 - **Many standards and requirements were labeled as “No Finding” in advance of arrival**
 - **Pre-audit updates were regularly provided**
 - **Well developed agenda and timeline**
 - **Background information shared with SPP regarding possible FERC interest areas and focal points**

Audit Experiences

- **On-Site Audit Activities**
 - **September 23 – 26, 2013**
 - **Very good interaction between regions**
 - **SERC, MRO, SPP RE**
 - **Issues were discussed and outcomes were mostly clarified before moving on to next area**
 - **Regular progress updates were provided**
 - **Auditor roles were well defined and maintained**
 - **FERC observers tended to stray into Market questions and discussions with Operations Staff**

Audit Experiences

- **Audit Outcomes**
 - No possible violations
 - No areas for concern
 - Two recommendations were received, both focusing on process document improvements
 - SPP should review its unwritten operating practices and prepare documentation (process documents) to supplement training.
 - SPP should assure the DR EMS is thoroughly tested in conjunction with EOP-008 drills, as prescribed in EOP-008-1, R7.1.

Possible Member Inquiries

- **Processes?**
- **Interpretations?**
- **Outcomes?**
- **Other Audit Concerns?**

Additional Assistance

- **SPP Criteria and Tariff**

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