

ERO Enterprise Registered Entity Post Audit Feedback

We appreciate the time and effort your company has expended in preparation for and support of the recent Compliance Audit¹ (Audit) of your organization. We are always interested in improving our process and would appreciate your feedback. The Electric Reliability Organization (ERO) Enterprise takes this feedback seriously, and every feedback survey will be reviewed to help assess the performance of the ERO Enterprise in compliance monitoring activities. Please feel free to privately discuss your feedback with NERC Compliance Staff (complianceoversight@nerc.net) or Regional Entity Compliance Management. Thank you for your time and effort.

In responding to the survey, please note the following:

1. All responses must be submitted through the [online survey tool](#). This Word version is provided to show a complete view of the survey and to assist with compiling responses, if needed.
2. Questions 1-4 are mandatory and you will not be able to move ahead unless completed.
3. Questions 5-15 are general questions intended to gain feedback to improve ERO Enterprise processes.
4. Questions 16-19 apply to participants of the Multi-Region Registered Entity (MRRE) Coordinated Oversight Program.
5. All data will be sent to and analyzed by NERC.
6. Where possible, please provide specific and detailed examples to include quantifiable data of any issues raised or suggested enhancements.

Please feel free to provide additional comments and suggestions in the open text sections, especially if "Needs Improvement" or "Exceeds Expectation" is selected. The survey takes approximately 15 minutes to complete.

Compliance Audit Information

1. Registered Entity Information:

Registered Entity Name or MRRE Group Name:	
Registered Entity NCR # or MRRE Group #:	
Submitter Name:	

¹This survey also applies to source feedback on Spot Checks conducted by the Regional Entities.

Title:	
Audit Team Lead:	

- Audit Start Date: [Click here to enter a date.](#)
- Regional Entity or Lead Region for MRRE: [Choose an item.](#)
- Audit Scope: [Choose an item.](#)

Pre-Audit (Audit Planning Stage)

- How clearly did the Regional Entity communicate how the risks your organization poses to the Bulk Power System informed the Audit scope? If "Needs Improvement" or "Below Expectations" is selected, please comment as to what could have made this process more understandable.

Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:			

- Did you participate in an Internal Control Evaluation (ICE)?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
If no, briefly explain why, and skip to question 8:	

- If you answered yes to question 6 above, how clearly did the ICE process afford you an opportunity to provide internal controls for evaluation related to the risks and Standards associated with identified inherent risks?

Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:			

- How well did the Audit notification package convey information on Audit dates, agenda, scope, objectives, Requests For Information or Data Request, submittal of Reliability Standard Audit Worksheets, and the right to object to Audit Team members?

Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:			

9. How clearly did the Audit Team Lead(s) communicate the Audit expectations including, but not limited to, logistics, conduct of interviews, Request For Information or Data Request process?

Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:			

Audit Implementation (Fieldwork Stage)

10. The Audit Team:

	Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
Performed their duties in a professional and impartial demeanor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstrated a high level of knowledge and expertise around the risk and associated Reliability Standards in scope for this Audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Composition lead to an efficient and effective audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:				

11. The Audit Team Lead(s):

	Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
Effectively managed the schedule, provided flexibility to accommodate your organization, and provided prompt and timely communication.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provided prompt and timely communication regarding Data Requests and the sufficiency of	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

time to deliver the requested data.				
Communicated the Audit progress and current status of findings during scheduled debriefs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Comments and Suggestions:				

Post-Audit (Reporting Stage)

12. The Audit Team:

	Exceeds Expectations	Meets Expectations	Below Expectations	Needs Improvement
Communicated the Audit findings and the basis for the findings during the closing presentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communicated the timeline for development of the Audit Report and, if Potential Noncompliance was identified, the right to due process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notified your organization about Areas of Concern and how the Areas of Concern could lead to a violation. (Leave blank if N/A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provided details around Areas of Concern that provided an understanding of risk. (Leave blank if N/A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communicated formal Recommendations for improving your organization's processes and procedures, internal controls, etc. (Leave blank if N/A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Did your organization gain awareness that could potentially be seen as a benefit from audit activities? (Leave blank if N/A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments and Suggestions:

13. Are there opportunities for improvement noted by your organization for either the Audit team or Audit process?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
Additional Comments and Suggestions:	

14. Please provide details regarding the Regional Entity staff overall performance that you believe are noteworthy, commendable, innovative, or may be considered a best practice.

Additional Comments and Suggestions:

15. Overall, what value has risk-based compliance monitoring brought to your organization? Please provide comments or suggestions on how tools, processes can be improved as well as comments or suggestions regarding outreach and/or training that have not been previously addressed.

Additional Comments and Suggestions:

Multi-Region Registered Entity Coordinated Oversight Program (Program)
Skip this Section if your organization does not participate in the Program.

16. Please specify Lead Regional Entity and Affected Regional Entity(ies).

LRE:	
ARE(s):	

17. Overall, does your company's Audit experience support continued participation in the Program?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
Additional Comments and Suggestions:	

18. Did your company experience increased efficiencies during the Audit due to inclusion in the Program?

<input type="checkbox"/>	Yes
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<input type="checkbox"/>	No
Additional Comments and Suggestions:	

19. Please provide comments on successes or areas for improvement (i.e. tools, processes, or transparency) identified due to participation in the Program.

Additional Comments and Suggestions:
