



Preparing for Compliance

Developed For: Registered Entities Subject to Reliability Standards

The MRO has developed this document to assist Registered Entities with preparation for compliance and compliance audits. Listed below are suggestions to consider for compliance documentation and preparation for an audit. This list is not to be considered a guarantee of compliance and is not inclusive of all options for demonstrating compliance.

Compliance Program Development:

(evidence that the required program plan and documentation is in place)

- Identify applicable standards per the entity's functions and registration.
- Consider using the actual Reliability Standard when developing program documentation.
- Develop a folder (binder or electronic) for each applicable standard (or set of standards, such as all TPL's, etc.)
- A plan or procedure must be in place if required by a standard.
- If adhering to an ISO, RTO program, a copy of the governing document a copy must be retained by the entity.
- A schedule or implementation plan must be in place if required by the standard.
- Please be aware that all documents used for representing compliance need to include the "last review" and "next review" dates, as well as the person ID responsible for the document. Document revision and / or modification during the on-site audit may not be allowed which could result in a compliance violation.

Documentation of Evidence:

(supporting documentation or "evidence" to demonstrate compliance)

- Process document (or plan) as described in the above section.
- Data (such as copy of CPS1 and CPS2 data).
- EMS / Database screen shots that demonstrate compliance information.
- Diagrams, operator certificate ID, maintenance and testing records, etc.
- Logs (operator and other type of log).
- U.S. mail, memos, or email proving the required information was exchanged, coordinated, submitted or received.
- Meeting minutes.
- Database lists.
- Voice recordings.

Compliance Audit;

- All documentation and supporting evidence must be ready when the audit begins.
- Registered Entities will receive an audit notice and other supporting material 60-days prior to the scheduled audit date.
- Contracts, agreements and documentation must be clearly referenced to requirements.
- Folders, binders, and all documents identified as supporting evidence should be prepared and flagged to identify the appropriate standard and specific requirement(s).
- Subject matter experts need to be identified for each standard prior to the audit.

MRO Compliance Office

Midwest Reliability Organization