



NORTHEAST POWER COORDINATING COUNCIL, INC.  
1040 AVE. OF THE AMERICAS, NEW YORK, NY 10018 (212) 840-1070 FAX (212) 302-2782

(Today's date)

(Name)

Primary Compliance Contact

(Company)

(Street Address)

(City, State Zip code)

Email: (name@company.com)

Re: Inherent Risk Assessment for (Company) (NCR number)

Dear Mr./Ms. (Primary Compliance Contact)

In accordance with the ERO Risk-based approach to Compliance Monitoring and Enforcement, NPCC needs to update the Inherent Risk Assessment (IRA) of (Company) and its registered function(s).

The IRA is a risk-based approach to determine the appropriate compliance monitoring methods (audit, spot check, self-certification), frequency and scope for compliance to the NERC Reliability standards and requirements.

Attached for your completion is the NPCC Entity Risk Assessment IRA worksheet. The form requests information regarding your entity and its functions. Please review and provide information to enable NPCC to perform an accurate and comprehensive IRA.

A submittal date of (**due date**) or earlier is suggested to enable NPCC ERA staff to review and process submitted materials.

This information will help NPCC determine the scope and frequency of future audits and alternative monitoring methods. The results of the IRA will be provided to you in your Compliance Oversight Plan (COP) to inform you of proposed monitoring.

### **Worksheet Instructions:**

If Column "B" of the attached form contains a function applicable to your entity, then please provide the requested information (Column D) into Column E (*Entity's Response*) and F (*Entity Supporting Documentation*) to assist NPCC in updating the IRA. Note that there are "*Generation*" and "*Transmission*" tabs for completion as applicable. If you had previously provided information for NPCC's BES Survey update, you may transpose your latest information into the applicable tabs.

For Company Profile information (Cell E9), please provide your latest information as if you were filling out the Pre-Audit Survey for an audit. You may provide this information in a separate Word document if you refer to it in Cell E9 and ensure that the separate document contains "CompanyProfile" in the file name.

**File Upload Instructions:**

Instructions to upload your completed IRA worksheet and supporting information are provided in a separate document (attached to the email).

The link to upload the files is shown below:

[https://\(npcc secure portal password protected link to upload completed IRA update\)](https://(npcc secure portal password protected link to upload completed IRA update))

The password will be sent to you via text message to your mobile phone.

Thanking you in advance for your assistance.

*Ben Eng*

Ben Eng  
NPCC

*Manager, Entity Risk Assessment*

Attachments:    Inherent Risk Assessment Worksheet  
                      IRA Update and Support Docs Submittal Instructions

cc:     Jacqueline Jimenez/NPCC  
          Jenifer Vallace Farrell/NPCC  
          Duong Le/NPCC  
          Michael Bilheimer/NPCC

(ACC name #1) Alternate Compliance Contact  
(ACC name #2) Alternate Compliance Contact (if applicable)