

Regie Identification Number (NIR):	<b>043</b>		
Registered Entity Name:	<b>Parc éolien Nicolas-Riou S.E.C.</b>		
Registered Functions:	<b>GO, GOP</b>		
Registered Entity Acronym:	<b>NRI</b>		
Compliance Monitoring Process:	<b>Compliance Audit</b>		
Distribution:	<b>Public Version. Non-Public Information has been removed, including Restricted Information.</b>		
Regional Entity:	<b>Northeast Power Coordinating Council, Inc. (NPCC)</b>		
Date of Opening Presentation:	<b>February 28, 2025</b>	Date of Closing Presentation:	<b>November 13, 2025</b>
Audit Period Start Date:	<b>April 1, 2021</b>	Audit Period End Date:	<b>February 14, 2025</b>
Date of Report:	<b>November 14, 2025</b>	Implementation Plan Year:	<b>2025</b>
Potential Non-compliance to O&P Reliability Standards <sup>1</sup> :	<b>None (zero)</b>		
Jurisdiction:	<b>Québec, Canada</b>		

<sup>1</sup> O&P stands for Operations and Planning.

## I. Executive Summary

Northeast Power Coordinating Council, Inc. (NPCC) conducted a Compliance Audit of Parc éolien Nicolas-Riou S.E.C. (NRI), NIR 043, from June 4, 2025 to November 13, 2025.

At the time of the Compliance Audit, NRI was registered for the functions of Generator Owner (GO) and Generator Operator (GOP).

The Compliance Audit team (the Team) evaluated the Registered Entity for compliance with nine (9) Reliability Standard requirements in the 2025 Québec Reliability Standards Compliance Monitoring and Enforcement Program (QCMEP) Annual Implementation Plan (2025 Québec Annual Implementation Plan). The Team assessed compliance with the requirements for the period of April 1, 2021 to February 14, 2025.

The Registered Entity submitted evidence for the Team’s evaluation of NRI’S compliance. The Team reviewed and evaluated all evidence provided to assess compliance with selected requirements applicable to the Registered Entity at this time.

Summary of Compliance Audit Findings					
Reliability Standard Requirement(s)	Not applicable (NA)	No Finding (NF)	PNC <sup>2</sup> outcome Violation <sup>3</sup>	PNC outcome SICM <sup>4</sup>	PNC outcome Notice of No Non-Compliance
14	0	14	0	0	0

### The Team notified the Registered Entity of:

- One (1) Recommendation
- One (1) Positive Observation

The findings included in this report are the same as the findings presented to the Registered Entity during the exit briefing.

The NPCC Compliance Audit Team Lead (the Team Lead) certifies that the Team adhered to all applicable requirements of the NERC Rules of Procedure (ROP), the QCMEP and the September 15, 2022 Amended and Restated Agreement on the Implementation of the Québec Reliability Standards Compliance Monitoring and Enforcement Program (the 2022 Agreement).

<sup>2</sup> PNC – Potential Non-Compliance.

<sup>3</sup> Per the QCMEP, Violation means the identification, by the Régie de l’énergie, of a failure by a registered entity to comply with a Reliability Standard that is applicable to the registered entity.

<sup>4</sup> SICM abbreviated term of the Simplified Identification, Correction and Monitoring Procedure following discovery of a non-compliance.

## II. Compliance Audit Process

The Compliance Audit process steps are detailed in the QCMEP. NPCC’s application for the QCMEP generally conforms to the United States Generally Accepted Government Auditing Standards (GAGAS) and other accepted audit practices.

### Objectives

All Registered Entities are subject to compliance assessments with all Reliability Standards applicable to the functions for which the Registered Entity is registered. The Compliance Audit objectives are designed to:

- Provide reasonable assurance of compliance to the identified applicable requirements
- Review the Registered Entity’s internal compliance program and controls

### Scope

The scope of this Compliance Audit considered the Reliability Standards in the 2025 Québec Annual Implementation Plan, and Inherent Risk Assessment (IRA) of NRI completed by NPCC. In addition, the scope of the Compliance Audit included a review of Mitigation Plans or Remedial Action directives that were open during the Compliance Audit.

The Reliability Standards and requirements in scope for this Compliance Audit are illustrated in table below.

Compliance Audit Scope	
Reliability Standards	Requirement(s)
FAC-001-4	R2
FAC-008-5	R6
MOD-032-1	R3
PRC-005-6	R3, R5
PRC-006-NPCC-2	R10
PRC-027-1	R1, R2, R3

The Team did not expand the scope of the Compliance Audit beyond what was stated in the Appendix A of the Compliance Audit notification package.

### Internal Compliance Program

Within the scope of the Compliance Audit, NRI’s compliance program was reviewed.

### Controls

The Team reviewed NRI’s related internal controls associated with requirements in scope.

## Confidentiality and Conflict of Interest

Confidentiality and conflict of interest of the Team are governed under the QCMEP and the 2022 Agreement. NRI was informed of NPCC's obligations and responsibilities under the QCMEP and the 2022 Agreement. The work history for each Team member was provided to NRI, which was given an opportunity to object to a Team member's participation on the basis of a possible conflict of interest or the existence of other circumstances that could interfere with a Team member's impartial performance of duties. NRI had not submitted any objections by the stated objection due date based on the QCMEP and accepted the Team member participants without objection. There were no denials or access limitations placed upon this Team by NRI.

## Methodology

The Electric Reliability Organization (ERO) Compliance Monitoring and Enforcement Manual<sup>5</sup> documents the ERO Enterprise's current approaches used to assess a Registered Entity's compliance with the NERC Reliability Standards. While the ERO Enterprise does not necessarily perform compliance monitoring activities that must be in accordance with GAGAS and other generally accepted audit practices, NPCC uses these standards as framework to conduct compliance monitoring activities under the QCMEP and recognizes that these standards provide information used in oversight, accountability, transparency, and improvements in operations.

NPCC provided NRI with a Compliance Audit notification package to commence the Compliance Audit. NRI provided evidence at the time requested, or as agreed upon, by NPCC. The Team reviewed the evidence submitted by NRI and assessed compliance with the requirements included in the Compliance Audit scope. Additional evidence could be submitted until the agreed-upon deadline prior to the exit briefing. After that date, only data or information that was relevant to the content of the report or its findings could be submitted with the agreement of the Team Lead.

The Team reviewed documentation provided by NRI and requested additional evidence and sought clarification from subject matter experts during the Compliance Audit. The evidence submitted in the form of policies, procedures, emails, logs, studies, data sheets, etc. were validated, substantiated, and cross-checked for accuracy as appropriate. Where sampling is applicable to a requirement, the sample set was determined by a statistical methodology, along with professional judgment.

The findings were based on the facts and documentation reviewed, the Team's knowledge of the Register of entities subject to Reliability Standards (the Register) and of the Main Transmission System (RTP), the NERC Reliability Standards, the Québec appendices of these Reliability Standards and professional judgment. All findings were developed based upon the consensus of the Team.

---

<sup>5</sup> [ERO Enterprise Compliance Monitoring and Enforcement Manual v8.pdf](#)

---

### III. Compliance Audit Findings

Based on the results of this Compliance Audit, no findings were noted for the requirements applicable to NRI.

### IV. Compliance Culture

NRI's compliance culture was not formally reviewed by the Team as part of the compliance audit. Assessment of NRI's compliance culture will be reviewed by NPCC Enforcement on an as needed basis.

## Appendix 1

### Compliance Audit Participants

Following is a list of all personnel from NPCC Compliance Audit Team who were directly involved during the meetings and interviews.

<b>Role</b>	<b>Entity</b>
Compliance Audit Team Lead	NPCC
Team Member	NPCC
Team Member	NPCC
Team Member	NPCC
Observer	Régie de l'énergie
Observer	Régie de l'énergie
Observer	Régie de l'énergie
Observer	Régie de l'énergie