MARCH 21, 2023

RELIABILITY & SECURITY

Virtual Workshop

WECC

Align & SEL Experiences

March 21, 2023

Jessica King
Daniel Shiramizu

Agenda

- What to Expect with Align and SEL
- Comparing WECC's current audit process to using Align and SEL
  - Notice of Audit
  - RSAWs
  - Data Requests
  - Providing Evidence

What to Expect

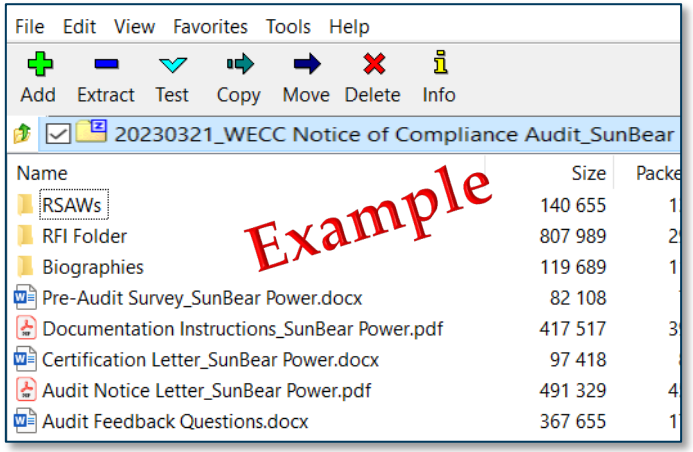
- Align
  - All US audits starting after **July 1, 2023**
  - Evolution of training
  - Centralized System
  - Increase in quality and consistency
  - Automation of CMEP activity

- SEL
  - Increased security

Comparing Audit Processes

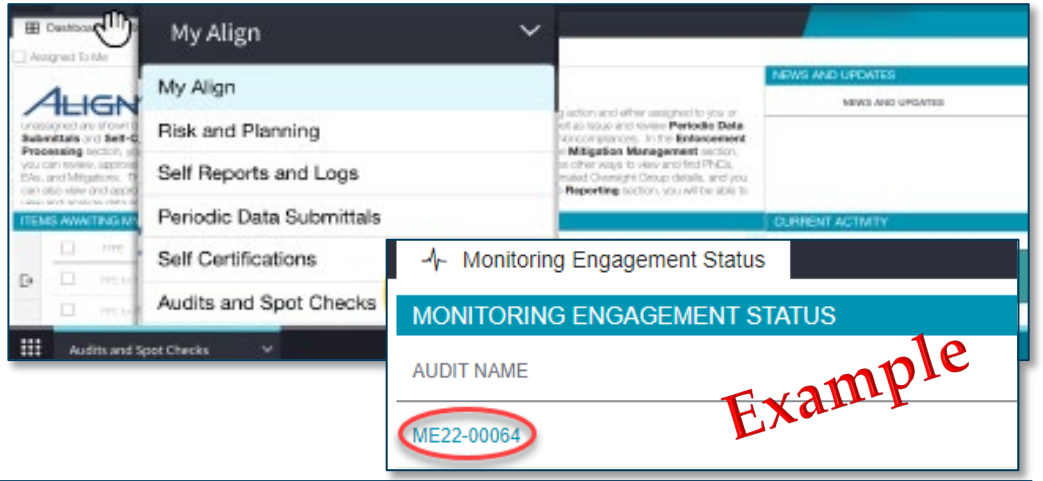
Secure Workspace Process

- Notice of Audit Package (NOAP) sent through Secure Workspace as a zipped folder



Align and SEL Process

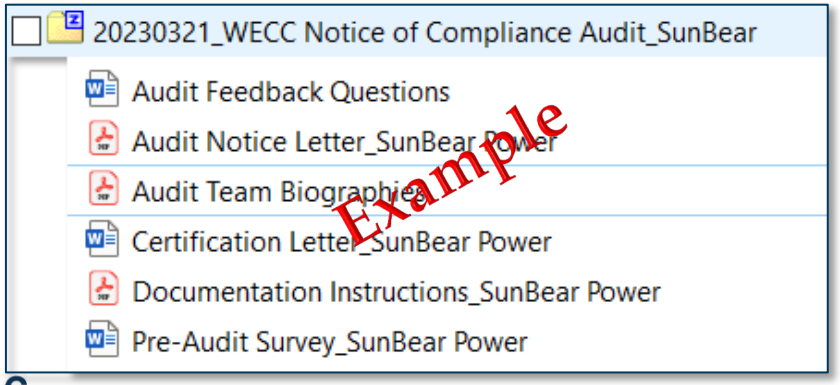
- Audit Notice Package (ANP) accessed through Audit and Spot Checks drop down in Align



Comparing Audit Processes

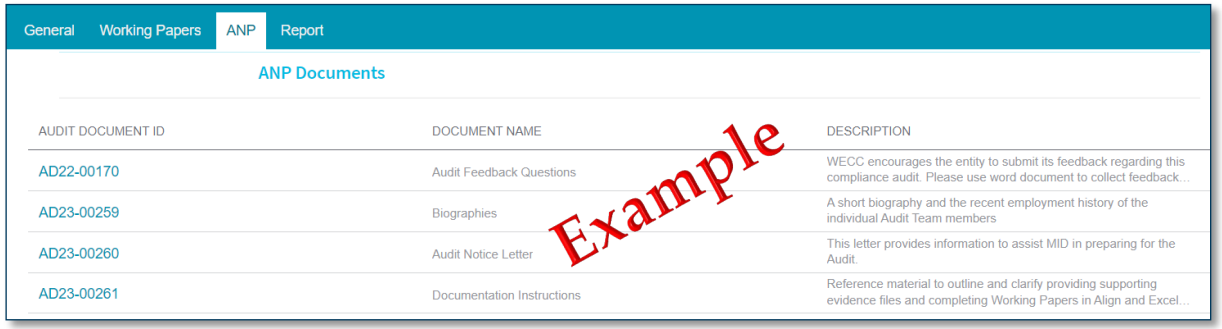
NOAP

- **NOAP Documents:** Audit Feedback Questions, Documentation Instructions, Audit Notice Letter, and Audit Team Biographies



ANP

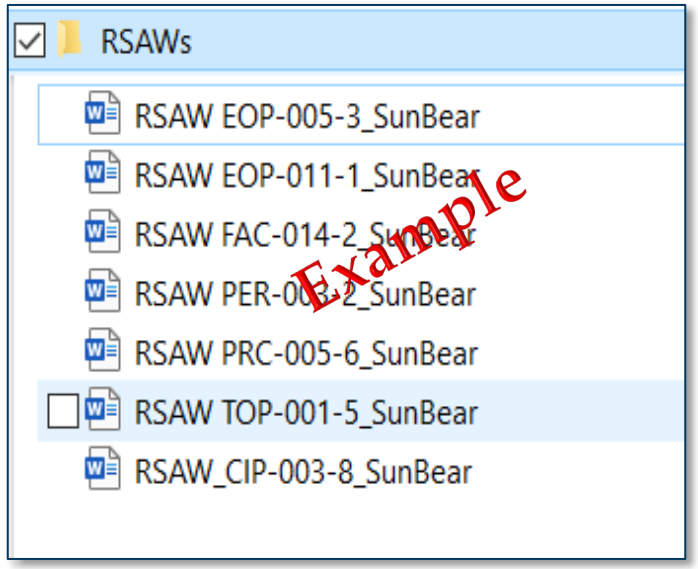
- **ANP Documents:** Attached for download on ANP Tab



Comparing Audit Processes

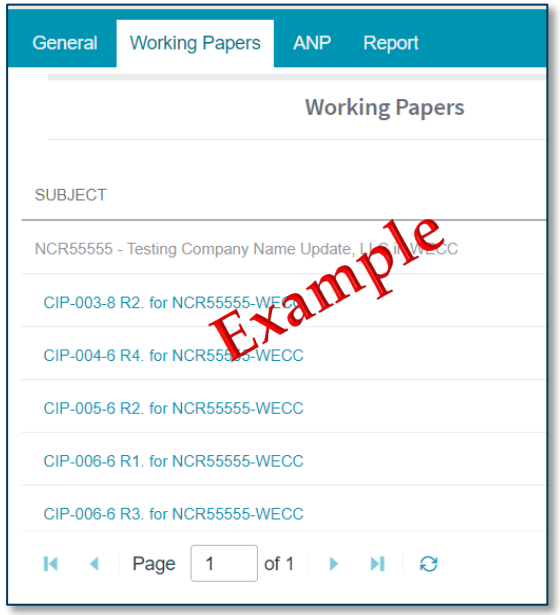
NOAP

- **RSAWs Folder:** Provides all RSAWs in scope of the audit

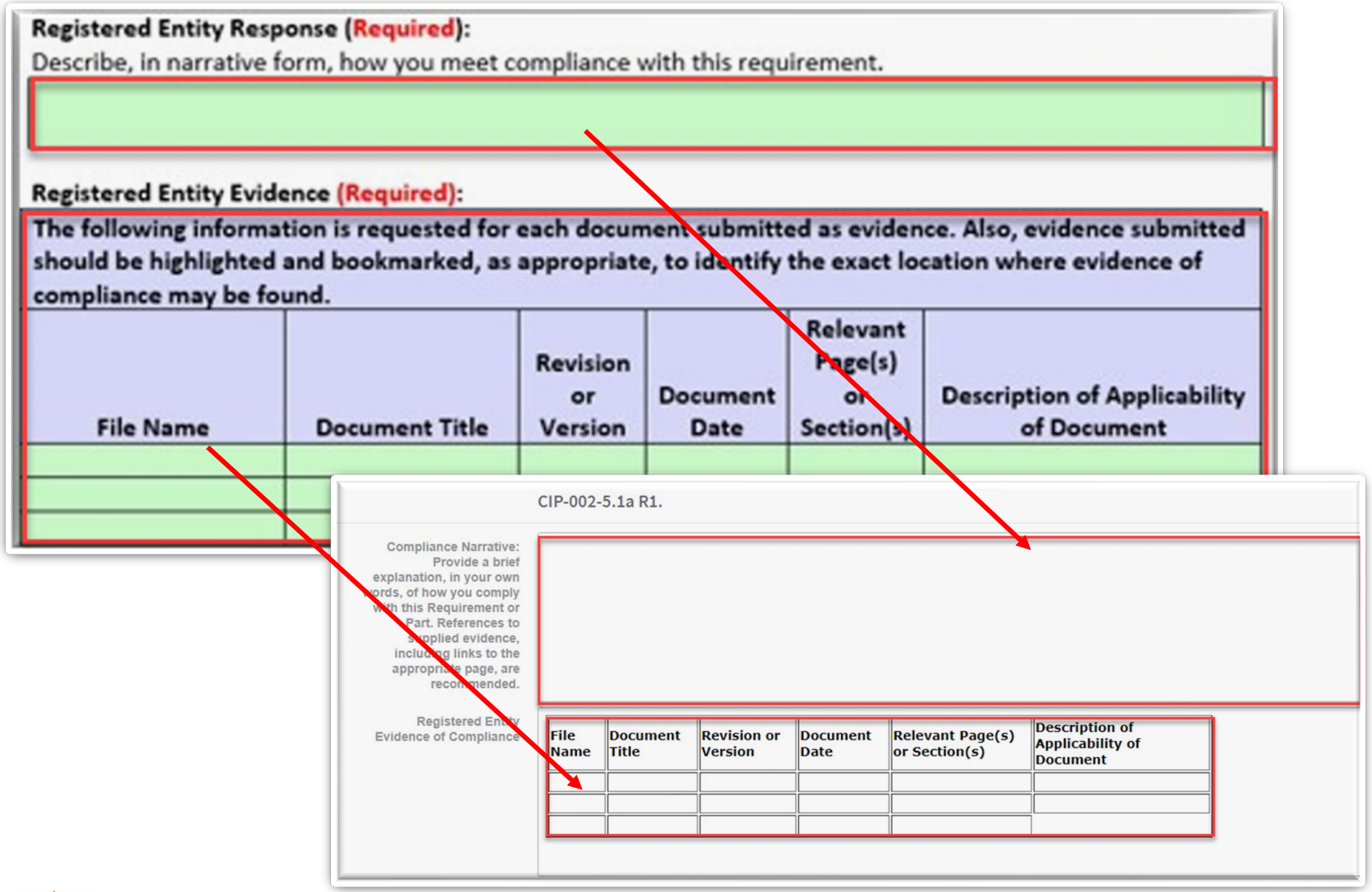


ANP

- **Working Papers:** Tab in the Monitoring Engagement- Supplements RSAWs



Align Working Papers



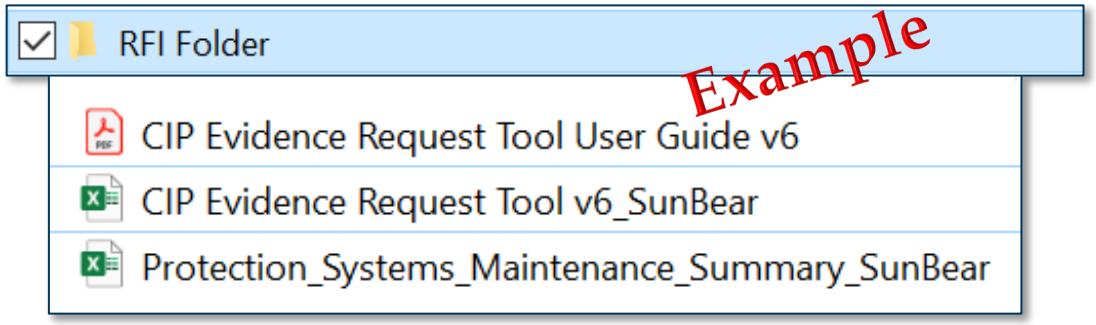
- Copy and Paste from RSAW into the Compliance Narrative box.
- Formatting is lost when pasting into Align.
- Do not embed any links in the narrative.

Comparing Audit Processes

NOAP

SUNBEAR POWER

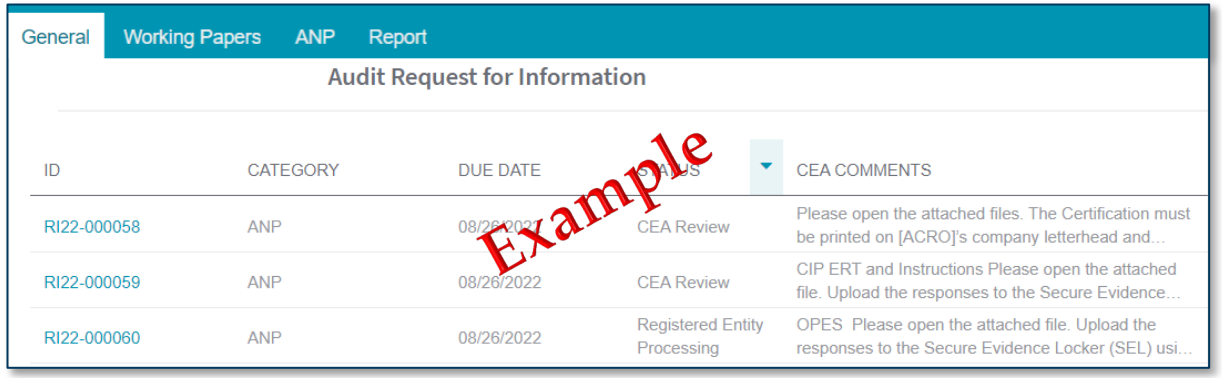
- **NOAP RFI Folder**



ANP

ORKO Electric Company

- **Align ANP RFIs**



ANP SEL Reference IDs

CIP ERT

Detail Tab or Request ID	Standard	Require-ment	Initial Evidence Request Required in RSAW and NERC Evidence Request Spreadsheet	Response Due Date	SEL Reference ID for Upload
CIP-002-R1-L1-01	CIP-002	R1	Provide the process that was implemented to identify each of the high impact and medium impact BES Cyber Systems, and each asset containing a low impact BES Cyber System. Additionally, provide evidence of the implementation of that process.	*Reference Audit Notice Letter*	WECC|NCR55555|ME22-00064|ME22-00064|CIP-002-5.1a|R1.|

Example

O&P Evidence Spreadsheet

Evidence Request (ER) ID	Standard	Registered Function	Require-ment	Initial Evidence Request Required in RSAW and per WECC Audit Approach	SEL Reference ID for Upload
EOP-008-R1-ER-01	EOP-008-2	BA, RC, TOP	R1	Provide dated, current, and in effect Operating Plan for backup functionality in electronic or hardcopy format.	WECC|NCR055555|ME22-00064|ME22-00064|EOP-008-2|R1.|

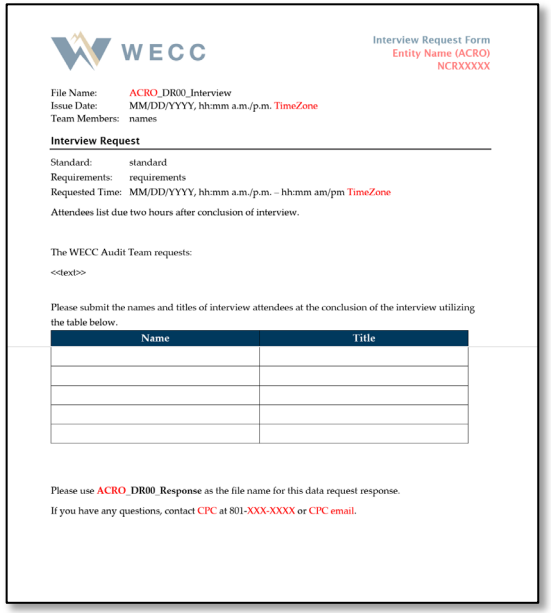
Example

Comparing Audit Processes

Secure Workspace Process

SUNBEAR POWER

- **Data Requests (DR)**



WECC

Interview Request Form
Entity Name (ACRO)
NCRXXXXX

File Name: ACRO_DR00_Interview
Issue Date: MM/DD/YYYY, hh:mm a.m./p.m. TimeZone
Team Members: names

Interview Request

Standard: standard
Requirements: requirements
Requested Time: MM/DD/YYYY, hh:mm a.m./p.m. – hh:mm am/pm TimeZone

Attendees list due two hours after conclusion of interview.

The WECC Audit Team requests:

<<text>>

Please submit the names and titles of interview attendees at the conclusion of the interview utilizing the table below.

Name	Title

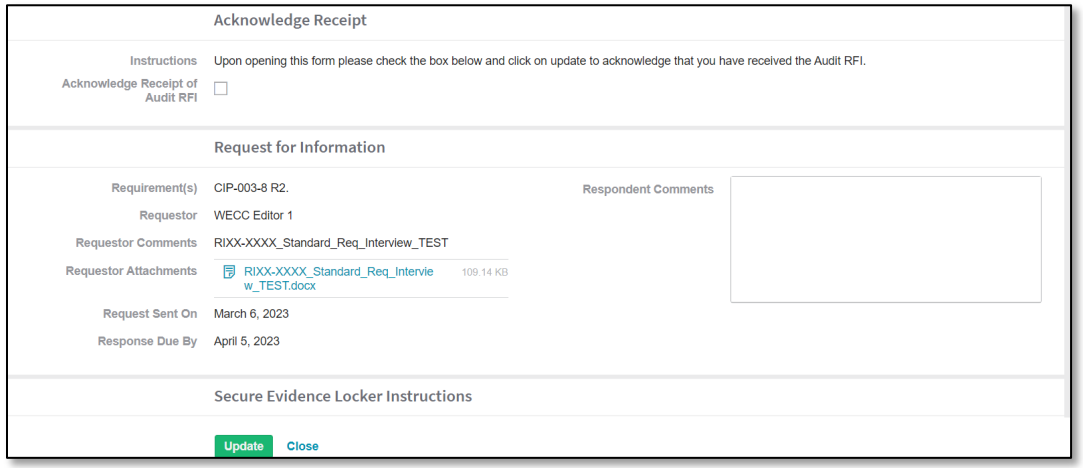
Please use ACRO_DR00_Response as the file name for this data request response.

If you have any questions, contact CPC at 801-XXX-XXXX or CPC email.

Align and SEL Process

ORKO Electric Company

- **Requests for Information (RFI)**



Acknowledge Receipt

Instructions: Upon opening this form please check the box below and click on update to acknowledge that you have received the Audit RFI.

Acknowledge Receipt of Audit RFI: ☐

Request for Information

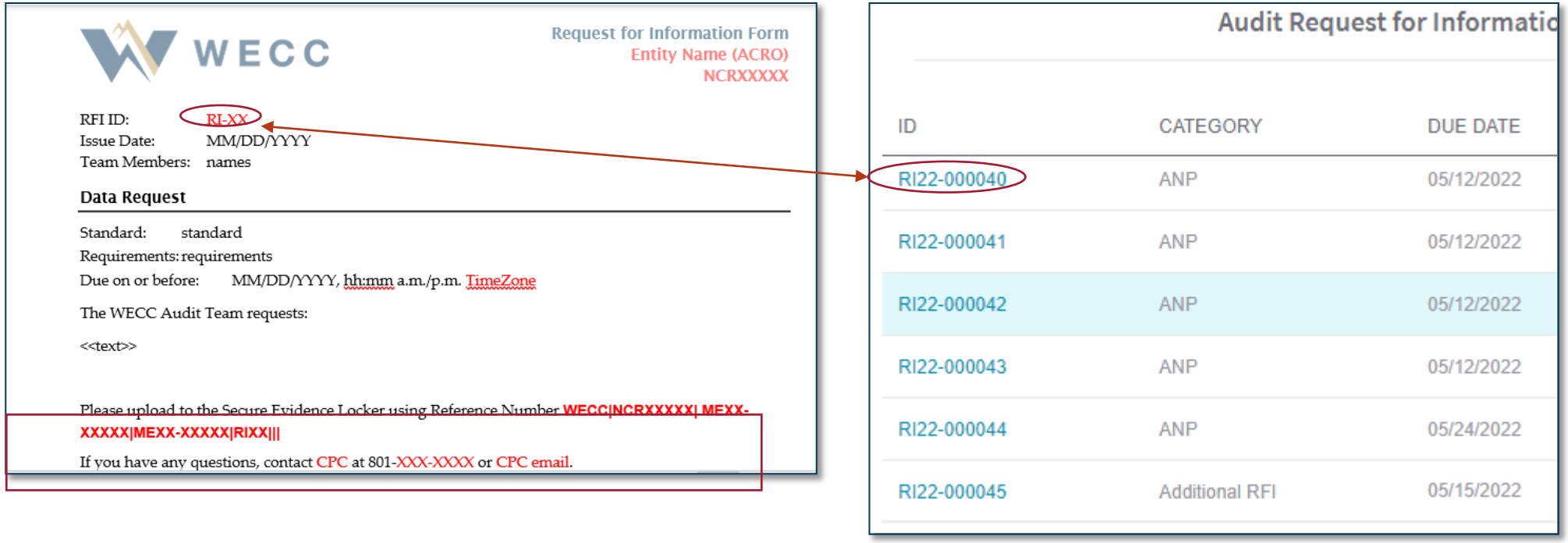
Requirement(s): CIP-003-8 R2.
Requestor: WECC Editor 1
Requestor Comments: RIXX-XXXX_Standard_Req_Interview_TEST
Requestor Attachments: RIXX-XXXX_Standard_Req_Interview_TEST.docx 109.14 KB
Request Sent On: March 6, 2023
Response Due By: April 5, 2023

Respondent Comments:

Secure Evidence Locker Instructions

Update Close

Align RFIs



WECC

Request for Information Form
Entity Name (ACRO)
NCRXXXXX

RFI ID: RI-XX
Issue Date: MM/DD/YYYY
Team Members: names

Data Request

Standard: standard
Requirements: requirements
Due on or before: MM/DD/YYYY, hh:mm a.m./p.m. TimeZone

The WECC Audit Team requests:

<<text>>

Please upload to the Secure Evidence Locker using Reference Number **WECC|NCRXXXXX| MEXX-XXXXX|MEXX-XXXXX|RIXX|||**

If you have any questions, contact CPC at 801-XXX-XXXX or CPC email.

Audit Request for Informatic

ID	CATEGORY	DUE DATE
RI22-000040	ANP	05/12/2022
RI22-000041	ANP	05/12/2022
RI22-000042	ANP	05/12/2022
RI22-000043	ANP	05/12/2022
RI22-000044	ANP	05/24/2022
RI22-000045	Additional RFI	05/15/2022

- WECC will continue to attach an RFI document for download.
- RFI IDs are not sequential
- Once an RFI has been submitted it cannot be changed.
- Interview responses are now a bulleted attendees list in the Respondent Comments box in Align.

Comparing Audit Processes

Secure Workspace Process

SUNBEAR POWER

- **Upload evidence to WECC Secure Workspace**

Align and SEL Process

ORKO Electric Company

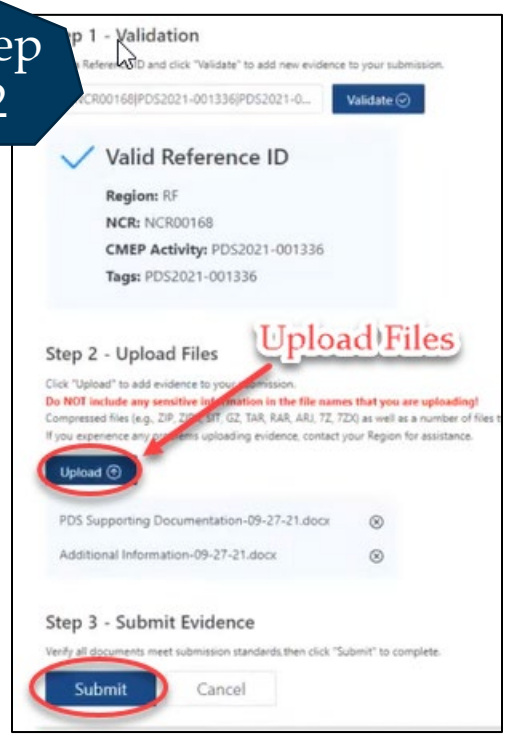
- **Upload evidence to Secure Evidence Locker (SEL)**

NERC SEL Portal

Step 1

*Notify WECC after uploading to the SEL.

Step 2



Step 3

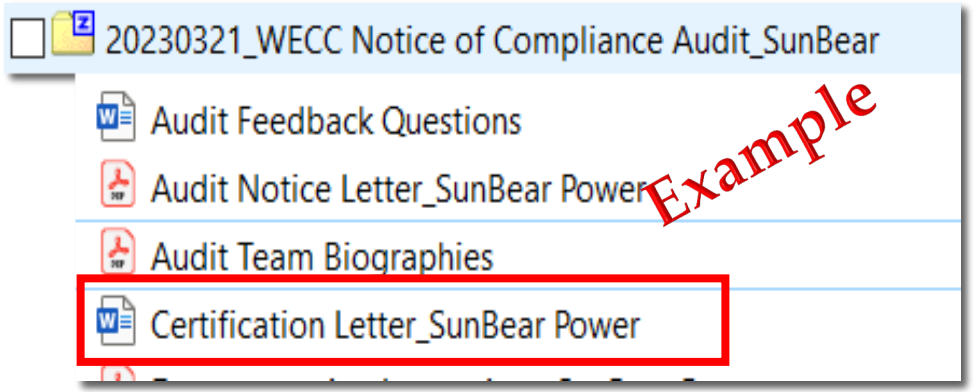
*Keep Manifests as your record of upload to the SEL.

Note: Compressed files and executable files cannot be uploaded.

Comparing Audit Processes

NOAP

- **Certification Letter:** Signed letter by entity.



ANP

- **Align Certify:** Check box in Registered Entity Comments Section on the ANP Tab.

Best Practices

- Evidence Submittal
- Early DR/RFI Submission
- Detailed and Responsive
- Entity Preparedness

Closing Thoughts

- Similarities between current process and new process
- Stay tuned for upcoming training on Align audit processes
- All US audits starting after July 1, 2023, will use Align and SEL

WECC

Electric Reliability and Security for the West

www.wecc.org