

Compliance *FUNDAMENTALS*

The background image shows two utility workers in silhouette, wearing hard hats and holding a large sheet of paper, likely blueprints. They are standing in front of a series of high-voltage power lines that stretch across the frame. The sky is a deep blue with some white clouds, and the sun is visible as a bright, hazy glow behind the workers, creating a strong backlighting effect.

November 14, 9:00 a.m. to 12:00 p.m. Mountain



Compliance Fundamentals

November 14, 2024

Mailee Cook
Training and Outreach
Specialist

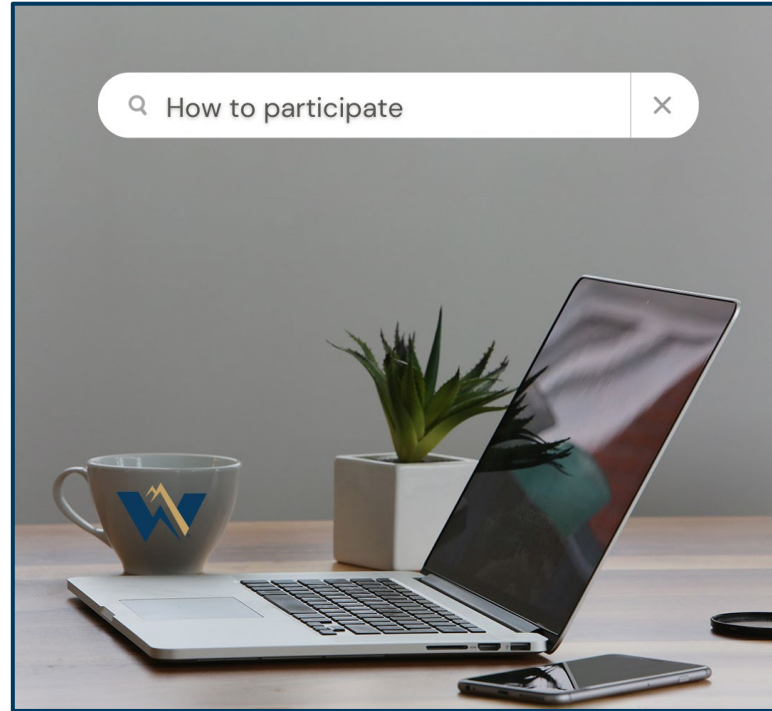
Antitrust Policy

- All WECC meetings are conducted in accordance with the WECC Antitrust Policy and the NERC Antitrust Compliance Guidelines
- All participants must comply with the policy and guidelines
- This meeting is public—confidential or proprietary information should not be discussed in open session

Meeting Guidelines

- This webinar is being recorded and will be posted publicly
- By participating, you give your consent for your name, voice, image, and likeness to be included in that recording
- WECC strives to ensure the information presented today is accurate and reflects the views of WECC
- However, all interpretations and positions are subject to change
- If you have any questions, please contact WECC's legal counsel

Participating



Send questions via chat to WECC Meetings
Use the “raise hand” feature



**What is your favorite
Thanksgiving dish?**

① Start presenting to display the poll results on this slide.



Opening Remarks

November 14, 2024

Steve Noess, Vice President,
Reliability and Security
Oversight



WECC Entity Monitoring

November 14, 2024

Stacia Carron, Manager,
Entity Monitoring

Entity Monitoring

- Each Regional Entity (i.e., WECC) maintains and implements a program for risk-based compliance monitoring
- The most common compliance monitoring methods include:
 - Compliance Audits
 - Spot Checks
 - Self-Certifications

Compliance Audits

- WECC will perform risk-based Compliance Audits as required by the NERC Rules of Procedure and based on criteria established by NERC
 - WECC will conduct Compliance Audits of entities registered as a Balancing Authority, Reliability Coordinator, or Transmission Operator at least once every three years
- WECC is required to notify entities of a planned Compliance Audit at least 270 days before the start date

Spot Checks

- A Spot Check is a process in which WECC requests a Registered Entity to provide information related to one of the following:
 - To support the Registered Entity's Self-Certification, Self-Report, or Periodic Data Submittal and to assess whether the Registered Entity complies with Reliability Standards, or
 - As a random check, or
 - In response to operating problems or system events.
- WECC will allow at least 20 days for the Registered Entity to submit the documents, data, and information or make it available for review

Self-Certifications

- A Self-Certification is an attestation by a Registered Entity that it is compliant or noncompliant with a Reliability Standard Requirement, or that it does not own Facilities that are subject to the Reliability Standard Requirement, or that the Reliability Standard Requirement is not applicable to the Registered Entity
 - WECC may request additional documents, data, and information, if necessary, during a Self-Certification
 - A Registered Entity has 60 days from the notice of Self-Certification to respond

Resources

NERC Rules of Procedure:

[https://www.nerc.com/AboutNERC/RulesOfProcedure/NERC%20ROP%20effective%2020240627 with%20appendices signed.pdf](https://www.nerc.com/AboutNERC/RulesOfProcedure/NERC%20ROP%20effective%2020240627%20with%20appendices%20signed.pdf)



Electric Reliability and Security for the West

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