

Compliance Monitoring Closing Presentation

Reliability & Security Oversight

**Electric Reliability
& Security for the West**

Agenda

- Preliminary Audit Findings
- Audit Report Process
- Potential Noncompliance Process
- Audit Feedback Form



Thank You

- **Preparing for an audit is a significant undertaking**
- **The audit engagement is a capstone event for your compliance program**
- **Your efforts are critical to ensuring the reliability and security of the BES**

Audit Findings Terms

- No Finding (NF)
 - Audit Team did not discover a potential noncompliance
- Potential Noncompliance (PNC)
 - Audit Team discovered areas of potential noncompliance
- Open Enforcement Action (OEA)
 - Violation identified prior to audit and currently with WECC Enforcement
- Not Applicable (NA)
 - The requirement does not apply to your entity due to registered functions or assets
- Area of Concern (AOC)
 - A situation that, if not addressed, could develop into future noncompliance or risk to the BPS. Ineffective or nonexistent internal controls may contribute to an area of concern.
- Recommendation
 - Suggested improvements in the compliance program, control-related processes, procedures, or tools to enhance the reliability, security, or resiliency of the BES. Opportunities for process improvements should be shared with the Registered Entity.
- Positive Observation
 - A conclusion reached during an audit that relates favorably with respect to the quality of the registered entity's processes, controls, or corporate culture of compliance.



Preliminary Audit Findings



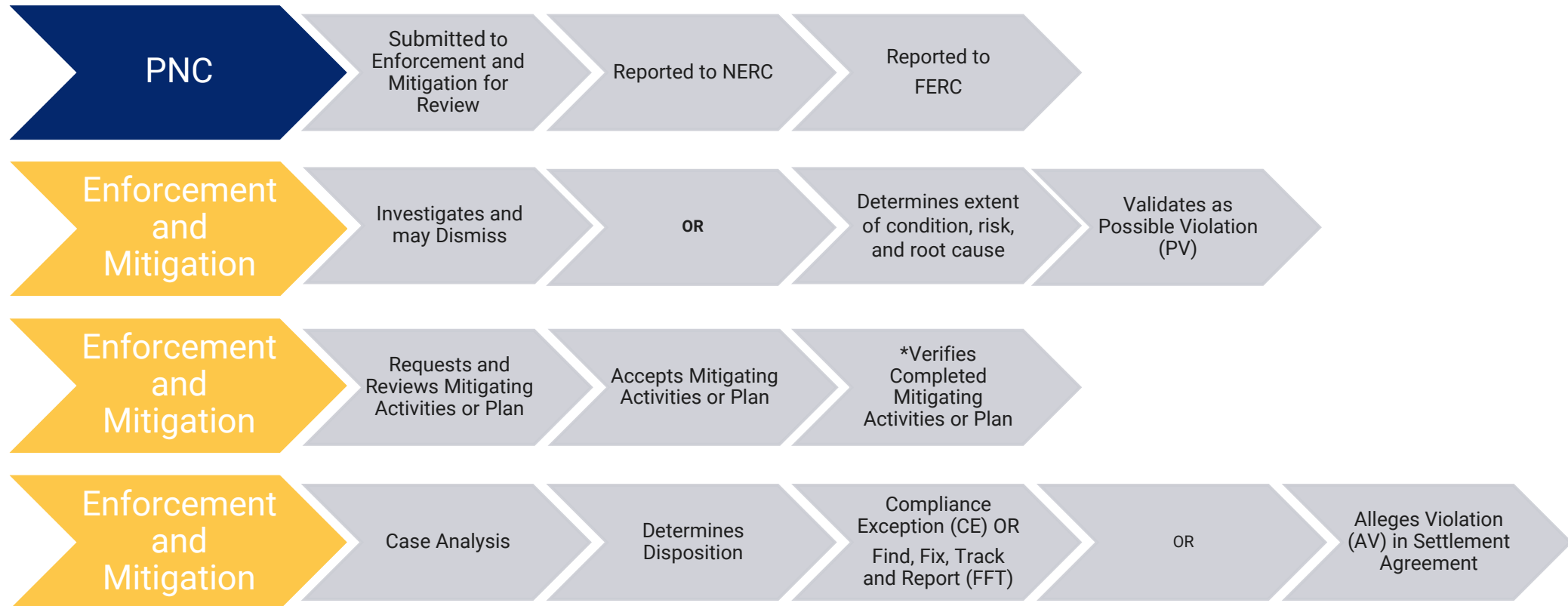
Post Audit

Audit Report Process



*NERC will post the public audit report to the NERC website.
All CIP information will be redacted from the public report.

Potential Noncompliance (PNC) Process



Audit Feedback Form

- NERC Post Audit Feedback Survey
 - <https://www.surveymonkey.com/r/PJS7KDX>



WECC



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