

Compliance Audit Planning Session

Reliability & Security Oversight

**Electric Reliability
& Security for the West**



Agenda

- Audit Facilities
- Evidence Submission
- Data Security
- Evidence Request Tool (ERT)
- Working Papers
- Audit Schedule
- Audit Process
- Audit Scope

Audit Facilities

- Audit Room
 - One private conference room with the capacity to hold the audit team and observers
- Interview Room
 - At least one smaller private conference room or closed enclave to conduct interviews

Evidence Submission

- Provide documentation electronically through the Secure Evidence Locker (SEL).
- Upload Instructions are referenced in the “Documentation Instructions” included in the audit notice package
- SEL will not accept zipped folders
- SEL does not provide notifications to WECC
- For support issues please contact the assigned Compliance Program Coordinator (CPC)

Data Security

- Documentation is submitted via the SEL
- Evidence will be encrypted automatically upon upload to SEL and will be deleted 90 calendar days after audit report

CIP Evidence Request Tool (ERT)

- Level 1 - Documented Processes
- Level 2 - Implementation of controls to meet the security objective(s)

[NERC ERT User Guide link](#)

Working Papers

- Working Papers submitted via Align
- Use the Compliance Narrative to tell your compliance story
- List all evidence in the “Supporting Evidence and Documentation” section

Audit Schedule

- Audit Start Date - Monday
 - Opening Presentations
 - Evidence Review
 - Interviews
- Tuesday – Thursday*
 - Evidence Review
 - Interviews
 - Daily Debriefs
- Audit End Date - Friday
 - Closing Presentation, TBD

***All evidence should be submitted by close of business on the last Thursday**

Audit Process

- Requests for Information (RFI) and Interviews
 - Will be formally documented
 - May be submitted prior to the start of the audit with entity permission
 - All responses must be uploaded to the SEL
- Site Visits
 - Will be scheduled via RFI
 - Team members will minimize disruption to operations
 - Emergency situations take precedence
 - May occur prior to the audit start date

Audit Scope

- Review compliance with:
 - Reliability Standards as specified in the Notice of Audit
 - May expand to include additional Requirements
- Open Enforcement Actions (OEAs) may be included

Questions?

- Audit Notice
- Evidence
- Audit Process
- Open Enforcement Actions
- Logistics/Site Visits Documentation Instructions
- Please contact the Team Leads and/or Compliance Program Coordinator with any additional questions



WWW.WECC.ORG | (801) 582-0353



155 N 400 W, Salt Lake City, UT 84103, USA