VECC ALIGN AUDIT & SPOT CHECK

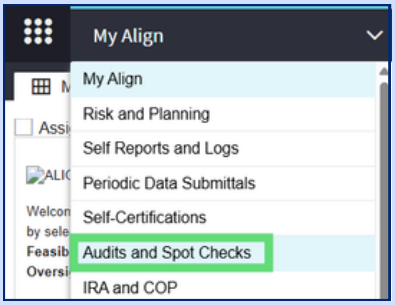
REFERENCE GUIDE

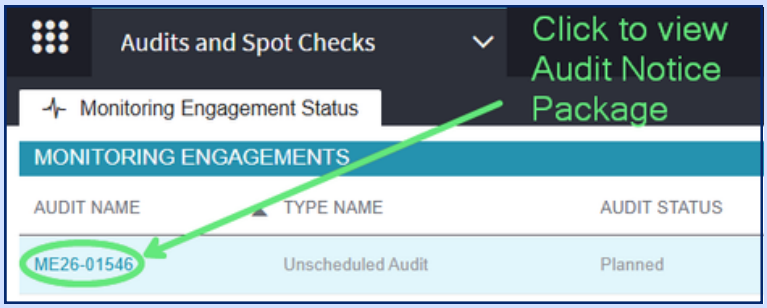
Purpose

This guide will help entities who are selected for a monitoring activity to find their Audit Notice Package (ANP) in Align, and it will outline WECC's Align audit and spot check process.

Finding your Monitoring Engagement in Align

- Log in to Align.
- Go to the **My Align** dropdown and select **Audits and Spot Checks**.
- "**ME**" is your monitoring engagement with the year.





Need Access to Align?

Align users must have an ERO Portal account.

Follow the Align User Guide to

- Set up account, p. 3–27
- Request access, p. 28–34
- Approve access, p. 35–37

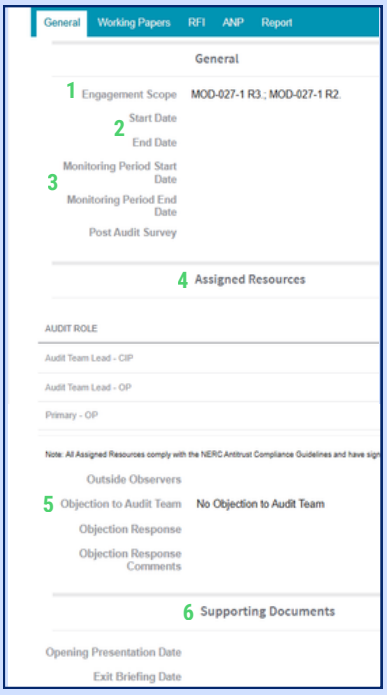
Note: Align permission are automatically given to the Primary Compliance Contact (PCC) of a registered entity.

Reviewing the General Tab

The ANP opens to the General tab. Any changes to the audit team or scope will be shown on this tab.

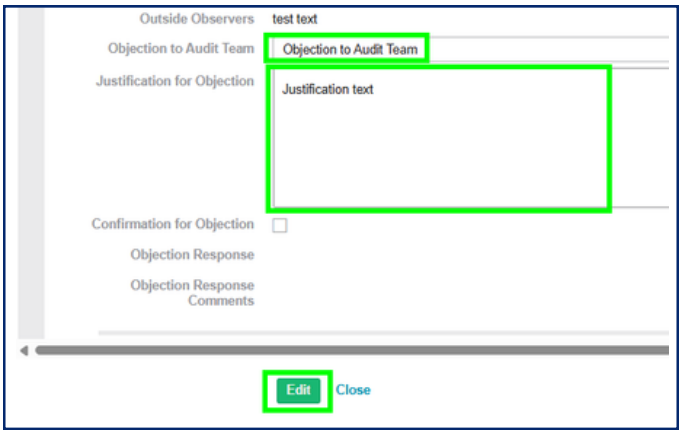
The General tab contains:

1. Scope
2. Start and end dates
3. Monitoring period
4. Assigned resources (audit team)
5. Objections
6. Supporting documents (audit report upload here)



Objections to Audit Team

- Click **Edit** at the bottom of the window.
- Select **Objection to Audit Team** in the dropdown.
- Write your objections in the **Justification of Objection** box.



Elements of the ANP Tab

ANP Documents: Downloadable documents

- Audit Feedback Questions: Questions from online survey
- Audit Team Biographies: Short employment history
- Audit Notice Letter: Audit info. Including important dates and deadlines
- Documentation Instructions: Resource for evidence submission

Audit Notice Letter: Audit info at the time the notice was sent. Any changes to audit team and scope will reflect on General Tab.

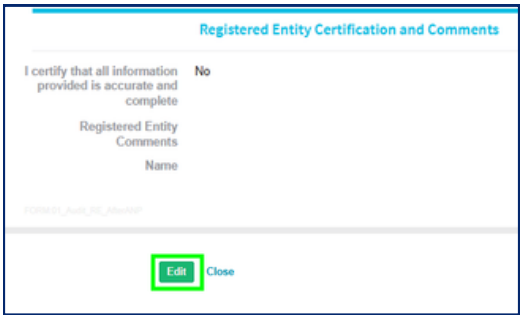
- Compliance Scope is the entity's registered functions
- Working paper Secure Evidence Locker (SEL) reference numbers

Registered Entity Certification and Comments:

- After all evidence and working papers are submitted, certify that all information provided is accurate and complete.

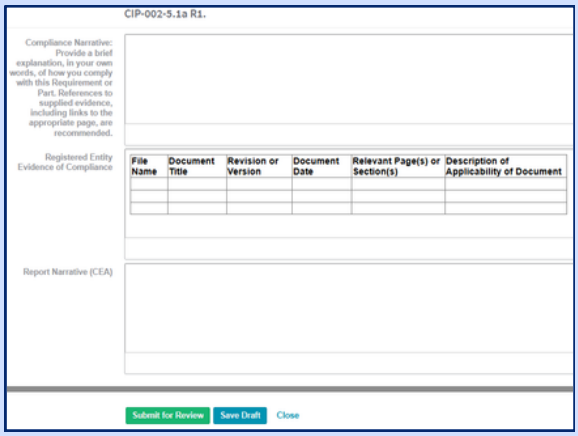
Certify Evidence Submission

- Click **Edit**.
- Go to the **ANP** tab.
- Select checkbox.
- Select **Update**.



Working Papers

Please use the *Working Papers* in Align to provide a brief explanation of how you comply with the Requirements applicable to your engagement scope.



- References to supplied evidence, including references to the appropriate page, are recommended.
- Refer to the status of any outstanding self-reports and mitigation plans in each working paper, as applicable.
- Ensure supporting evidence files associated with the Working Paper are listed in the Registered Entity Evidence table.
- If you have already uploaded evidence that also connects to your working paper, do not upload again. Please make note to where we can find the uploaded evidence in evidence table.
- Submit for review when you have completed applicable sections.
- All working papers must be completed and submitted to WECC to closeout audit in Align.

Align Nuances

- Formatting is lost when pasting in Align.
- Do not embed any links in narrative.
- To keep formatting, highlight information, then click and drag to Align fields.

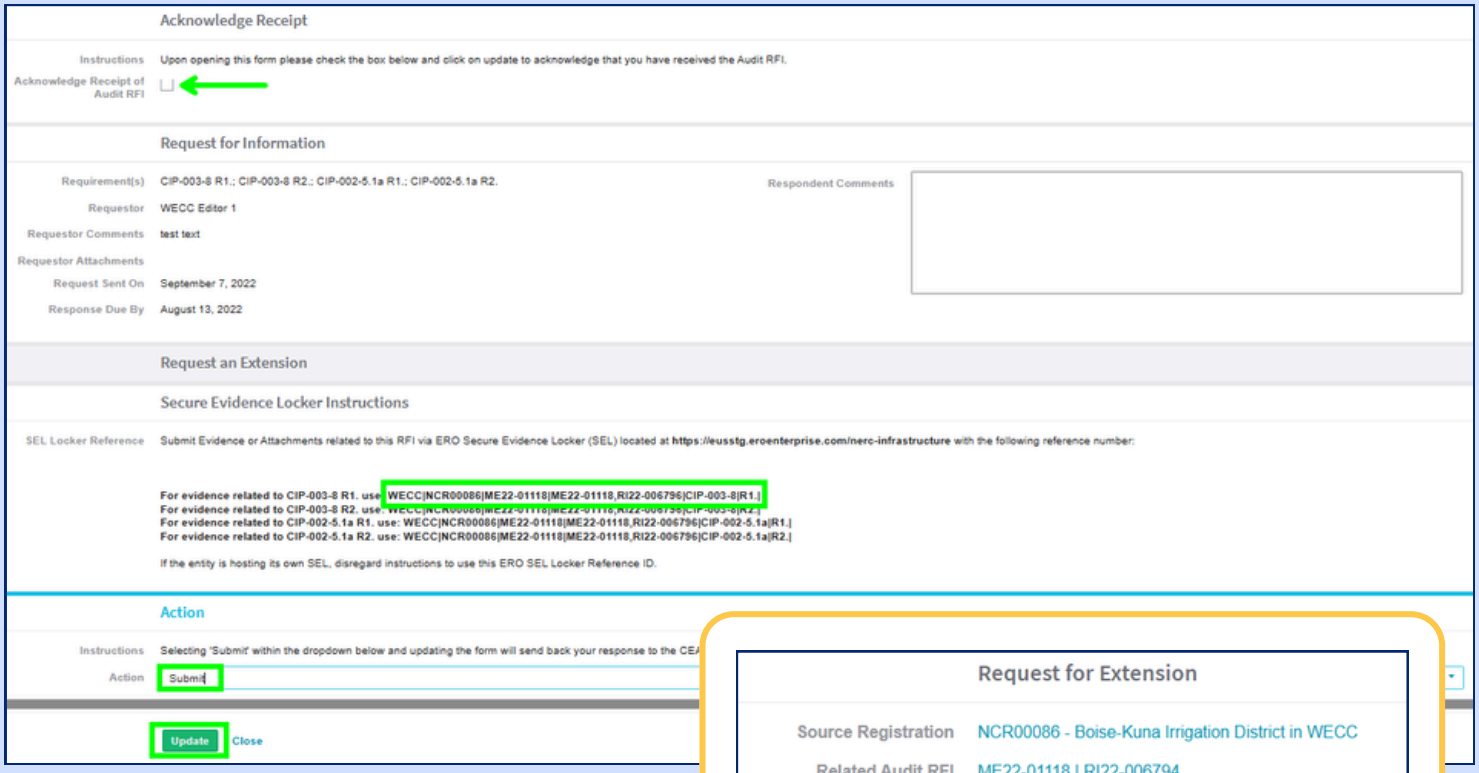
Requests for Information

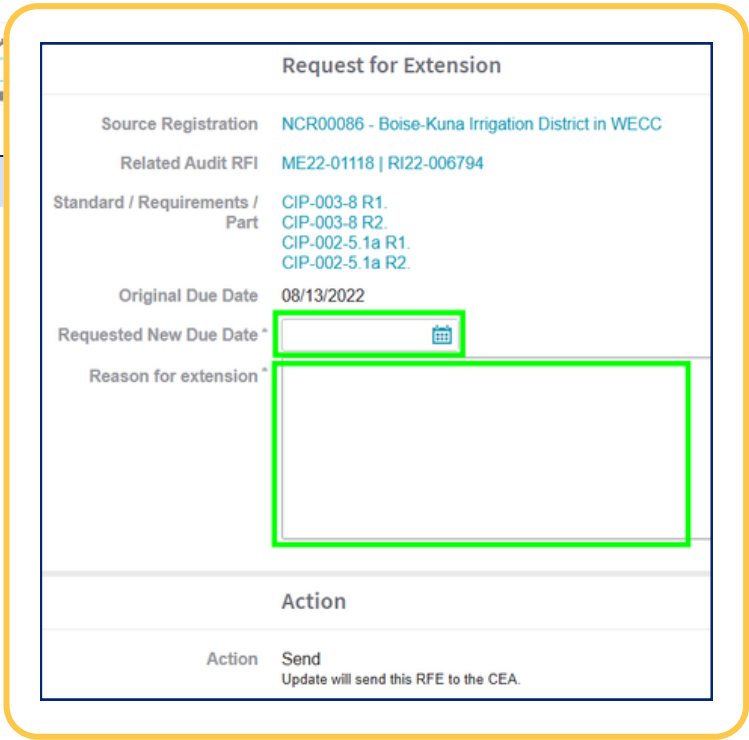
Initial RFIs: RFIs submitted with ANP

- **Pre-Audit Survey**: Upload signed copy to SEL.
- **Evidence Request Tools (ERT)**: Evidence requests per standard in scope. Please use SEL reference numbers.

Additional RFIs: Submitted after ANP has been sent.

- Check **Acknowledge Receipt** only when you have submitted evidence in the SEL and are ready to submit RFI. Once RFI has been acknowledged it cannot be changed.
- Use SEL reference number in RFI unless directed otherwise by WECC.
- Select **Submit** in **Action dropdown**, and **Update** to submit to WECC.
- Extension requests require you to acknowledge receipt first. Click the “plus” symbol to create a request. You must put a new date and reason to submit for WECC review.
- Following interviews, provide bulleted list of attendees in **Respondent Comments** field.





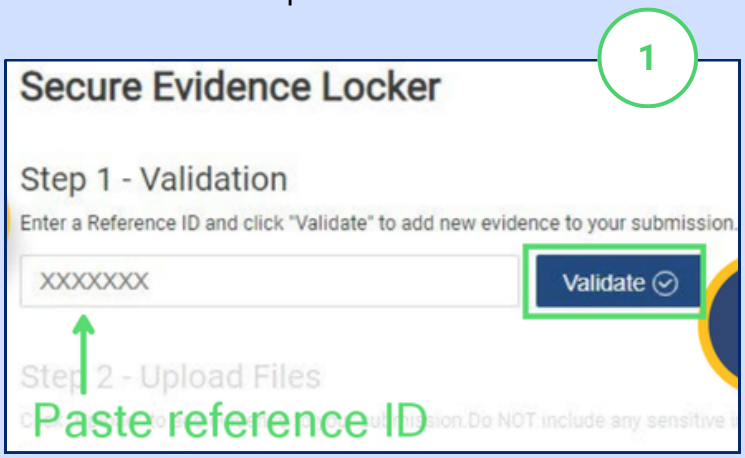
Secure Evidence Locker (SEL)

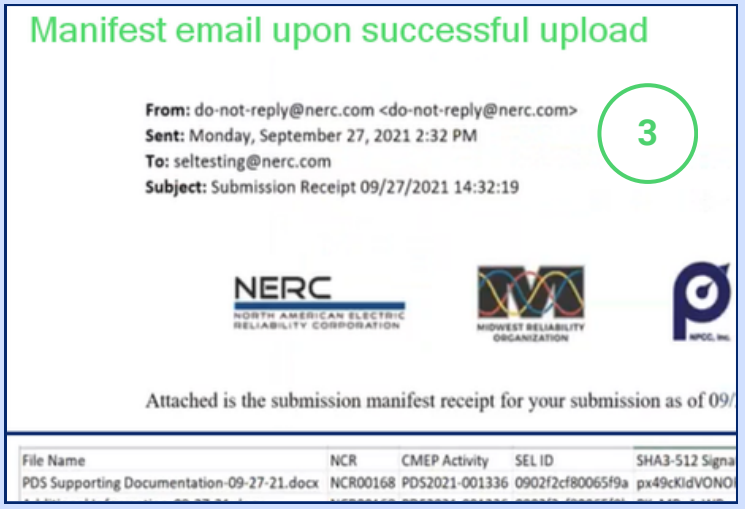
Uploading Steps

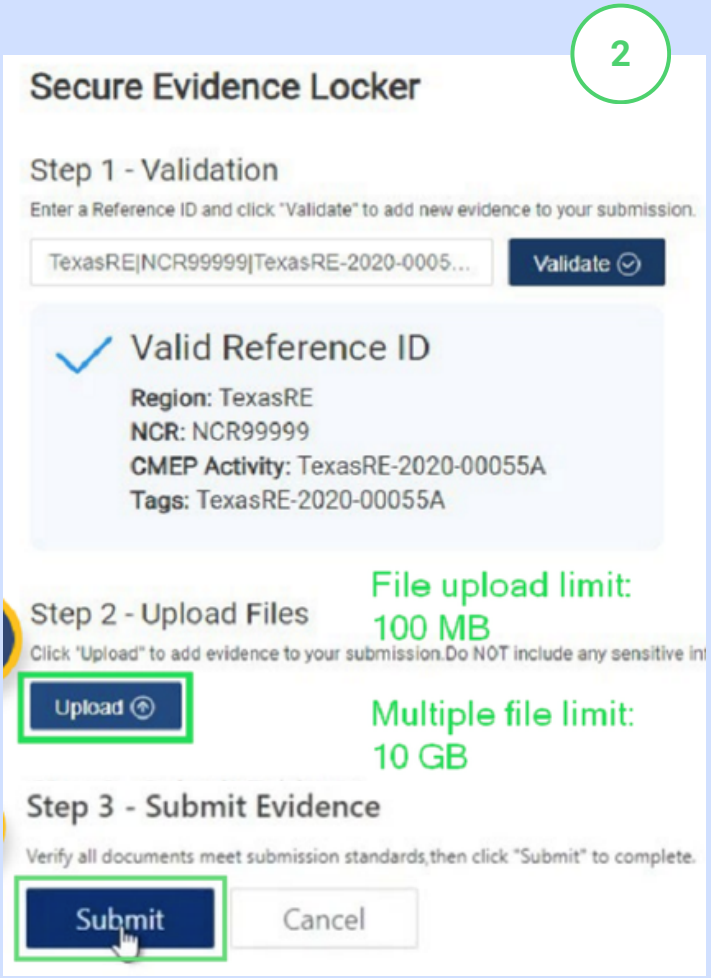
With your reference ID from the **RFI**, **Working Papers**, **O&P Spreadsheet**, or **CIP ERT**, go to the NERC SEL Portal.

1. Paste reference ID and validate.
2. Upload files:
   - Compressed files and executable cannot be uploaded.
   - There is no known character limit on file names. Names cannot contain %.
3. Keep emailed manifests; they are confirmation of upload and your only record.
   - **Notify WECC after uploading to the SEL.**

SEL Hours: 8 a.m.–10 p.m. ET







Feedback

WECC values your feedback on your audit or spot check experience and takes seriously what is expressed in the feedback survey.

At the close of your audit or spot check, you can access the online survey two ways:

1. You will receive an RFI highlighting the feedback at the close of audit and spot check.
2. A link will be posted in the General tab of your Align ME at the close of audit or spot check.

Resources

- Data Handling in Align and the SEL
- NERC Helpdesk Support (requires ERO Portal credentials)
  - NERC Support phone: 202-400-3019

Audit Reference Materials

- Sample Audit Closing Presentation
- Sample Audit Documentation Instructions
- Sample Audit Notice Letter
- Sample Audit Opening Presentation
- Sample Pre-Audit Presentation