



**Reliability & Security  
Workshop**

**WECC**

**March 17–18, 2026  
San Diego, California**



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# What to Expect During a Monitoring Activity

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# Agenda

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- Milestones
- Request for Information
- Risk Areas and Mitigation
- Internal Controls and Reporting



# **Monitoring Engagement Planning and Milestones**

# Monitoring Schedule



# Align Notice Package

[General](#)
[Working Papers](#)
[RFI](#)
[ANP](#)
[Report](#)

## ANP Documents

AUDIT DOCUMENT ID	DOCUMENT NAME	DESCRIPTION
AD22-00170	US_Audit Feedback Questions	WECC encourages the entity to submit its feedback regarding this compliance audit. Please use word document to collect feedback from your staff prior to completing the online form.
	Audit Notice Letter - Test	This letter provides information to assist [ACRO] in preparing for the Audit.
	Documentation Instructions - Test	Reference material to outline and clarify providing supporting evidence files and completing Working Papers in Align and Excel workbooks.

- The notice letter identifies important due dates, scope, and all associated attachments for engagements, such as
  - WECC feedback instruction, for Registered Entities
  - Documentation instructions
  - Monitoring engagement survey

# Working Papers

General
**Working Papers**
RFI
ANP
Report

**Compliance Narrative:**  
 Provide a brief explanation, in your own words, of how you comply with this Requirement or Part. References to supplied evidence, including links to the appropriate page, are recommended.

**Registered Entity Evidence of Compliance**

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

**Report Narrative (CEA)**

# Secure Evidence Locker

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## Step 1 - Validation

Enter a Reference ID and click "Validate" to add new evidence to your submission.

## Step 2 - Upload Files

Click "Upload" to add evidence to your submission.

**Do NOT include any sensitive information in the file names that you are uploading!**

Compressed files (e.g., ZIP, ZIPX, SIT, GZ, TAR, RAR, ARJ, 7Z, 7ZX) as well as a number of files types that can contain executable malware are prohibited from upload.

If you experience any problems uploading evidence, contact your Region for assistance.



## Step 3 - Submit Evidence

Verify all documents meet submission standards, then click "Submit" to complete.



# Monitoring Engagement Request for Information

# Align Request for Information Tab

ME25-01569

[General](#)
[Working Papers](#)
[RFI](#)
[ANP](#)
[Report](#)

Audit Request for Information

ID	CATEGORY	RFI RECEIV...	DUE DATE	STATUS	CEA COMMENTS	REGISTERED ENTITY COMMENTS
<a href="#">RI26-007762</a>	ANP		03/14/2026	Registered Entity Processing	CIP Evidence Request Tool and Instructions: Please open the attached file. Upload the responses to the Secure Evidence Lock...	
<a href="#">RI26-007763</a>	ANP		03/14/2026	Registered Entity Processing	O&P Evidence Spreadsheet: Please open the attached file. Upload the responses to the Secure Evidence Locker (SEL) using the...	
<a href="#">RI26-007764</a>	ANP		03/14/2026	Registered Entity Processing	Pre-Audit Survey: Please open the attached files. Please complete the Pre-Audit Survey and return a signed copy. Upload the...	
<a href="#">RI26-007765</a>	Sampling		04/01/2026	Registered Entity Processing	Please open the attached files. Upload the responses to the Secure Evidence Locker (SEL) using the reference IDs provided in the file...	
<a href="#">RI26-007766</a>	Additional RFI		04/02/2026	Registered Entity Processing	RI26-00766_FAC-008-5_R6 Please open the attached file. Upload the responses to the Secure Evidence Locker (SEL) using the...	


 Page  of 1

- Audit Notice Package (ANP)
  - Initial Request for Information (RFI)
- Sampling
  - Generated from initial RFI submittal
- Additional RFIs

# Request for Information Acknowledgement

- Acknowledge the RFI
  - Check the box at the top of form
- Perform action at the bottom of the form
  - Select “None” and click “Update”
- Submit RFI indicates all information is uploaded to SEL
  - Only select “Submit” if all evidence is uploaded to SEL

ME25-01569 | RI26-007764

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**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**

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**Action**

**Instructions** Selecting 'Submit' within the dropdown below and updating the form will send back your response to the CEA.

**Action** -- None --

RE-ARFI2-Review

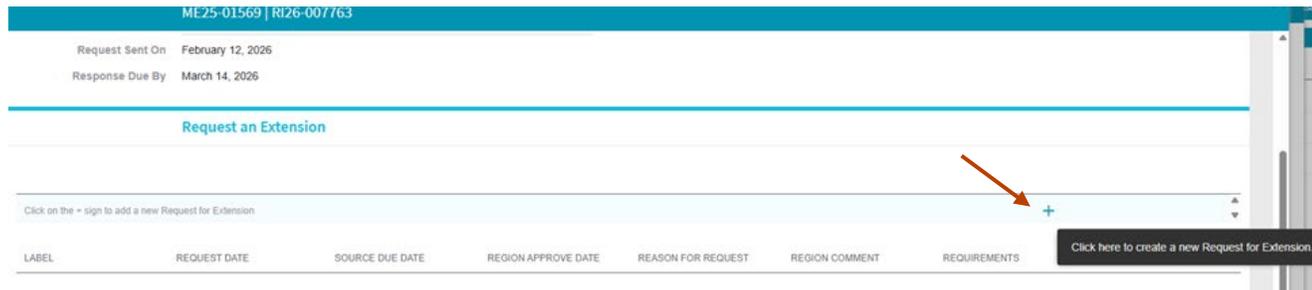
-- None --

Submit

Update
Close

# Request for Information Extensions

## Request an Extension



- Click the “+” icon to pull up the request for RFI extension form
- Enter the requested new due date
- Provide a narrative reason for the extension request
- Click “Update”

## Submit the Request for Extension



# Request for Information Sample

SAMPLE TABLE A		APPENDIX A
Infographics Key	Sample Table A	
Foreword		
AG for CMEP Work	Population Description	Sample Selection
Auditor Handbook	Statistical Sampling	
Coord. Oversight	<b>Primary Population</b> (Examples: Substations, Generating Stations, ESPs, PSPs, CCAs)	<b>Using Statistical Sampling</b>
Sampling Guide	1-8	Entire population
	9 +	8 Samples
	<b>Dependent Population of Elements:</b> (Examples: Relays, CCAs, Routers, Firewalls & Other)	<b>Using Statistical Sampling</b>
	1-9	All Elements
	10-19	9 Samples
	20-40	16 Samples
	41-100	23 Samples
	101-1000	29 Samples
	1001 +	33 Samples
	CM Comp Guide	<b>Independent Population of Elements:</b> (Examples: Transmission Segments, Blackstart units, Outages, Mis-operations, Daily Operations reports, Line Ratings, others)
Risk-Based Enf.	1-9	All Elements
Enf. Comp Guide	10-19	9 Samples
	20-40	16 Samples
	41-100	23 Samples
	101-1000	29 Samples
	1001 +	33 Samples
Cert. Comp Guide	<b>Non-Statistical Sampling</b>	
	<b>Physical Visits :</b> Due to geographic limitations and/or time constraints, the team may choose to sample less than 4 physical sites.  (Examples: Control Centers, Substations, Generating Stations)	<b>Non-Statistical</b>
Glossary	1-4	Entire population
	5+	4 Samples

The confidence factor is 95% +/- 10% error. Confidence factor is based upon the minimum value of the population span, i.e. for a population range of 10-19; the 95%+/-10% reflects the confidence factor for a population.

# Request for Information Workbooks

## NERC Website

[Home](#) > [Programs](#) > [Compliance](#) > [CMEP Resources](#)

### CMEP Resources

This page provides a listing of commonly used resources related to the Compliance Monitoring and Enforcement Program (CMEP).

### CIP ERT & User Guide

- 
CIP Evidence Request Tool Master v10  
February 5, 2026 XLSX

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- 
CIP Evidence Request Tool Release Notes v10  
February 5, 2026 PDF

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- 
CIP Evidence Request Tool User Guide v10  
February 5, 2026 PDF

<https://www.nerc.com/programs/compliance/cmep-resources>

## WECC Website

### Compliance - United States

Welcome to the WECC Compliance page for the United States. Here, you'll find the most current guidance, documents, processes, contact information, and answers to frequently asked questions related to WECC oversight activities. We encourage Registered Entities to bookmark this page and check back often for the latest updates on WECC oversight.

The North American Electric Reliability Corporation (NERC) and WECC actively monitor, assess, and enforce compliance with Reliability Standards in the United States through the Compliance Monitoring and Enforcement Program (NERC CMEP).

Audits		
As identified in the NERC CMEP, WECC provides audit oversight for both Critical Infrastructure Protection and Operations and Planning Standards.		
File Type	Title	Modified
Excel	<a href="#">OP Evidence Spreadsheet</a>	2025-03-11

<https://www.wecc.org/program-areas/compliance/compliance-united-states>

# Request for Information Resources



February 02, 2026 Headlines

## Key Issues Outlined in Letter to CEOs

NERC has begun direct outreach to industry chief executive officers to enhance...

[All](#) [Headlines](#) [Videos](#) [Podcasts](#) [Testimony](#) [Reliability Insights](#)

February 09, 2026  
Standards, Compliance, and Enforcement Bulletin - February 9–16, 2026

<https://www.nerc.com/newsroom>

### STANDARDS SUBJECT TO FUTURE ENFORCEMENT

U.S. Effective Dates for Reliability Standards		
U.S. Effective Date	Standard(s)	Phased-In (Y/N)
April 1, 2026	<a href="#">CIP-003-9 – Cyber Security – Security Management Controls</a>   <a href="#">Implementation Plan</a>	No
	<a href="#">TPL-008-1 – Transmission System Planning Performance Requirements for Extreme Temperature Events</a>   <a href="#">Implementation Plan</a>	Yes
July 1, 2026	<a href="#">CIP-012-2 – Cyber Security–Communications between Control Centers</a>   <a href="#">Implementation Plan</a>	No
October 1, 2026	<a href="#">PRC-024-4 – Frequency and Voltage Protection Settings for Synchronous Generators, Type 1 and Type 2 Wind Resources, and Synchronous Condensers</a>   <a href="#">Implementation Plan</a>	Yes
	<a href="#">PRC-029-1 – Frequency and Voltage Ride-through Requirements for Inverter-based Resources</a>   <a href="#">Implementation Plan</a>	Yes
	<a href="#">PRC-030-1 – Unexpected Inverter-Based Resource Event Mitigation</a>   <a href="#">Implementation Plan</a>	Yes
	<a href="#">TOP-003-7 - Transmission Operator and Balancing Authority Data and Information Specification and Collection</a>   <a href="#">Implementation Plan</a>	No
April 1, 2027	<a href="#">BAL-007-1 – Near-term Energy Reliability Assessments</a>   <a href="#">Implementation Plan</a>	No

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October 1, 2028	<a href="#">CIP-015-1 – Cyber Security – Internal Network Security Monitoring</a>   <a href="#">Implementation Plan</a>	No
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# **Risk Areas and Standards/Requirements for Engagement Monitoring**

# Oversight Planning

## Nation-wide Risks



## Western Interconnection Risks

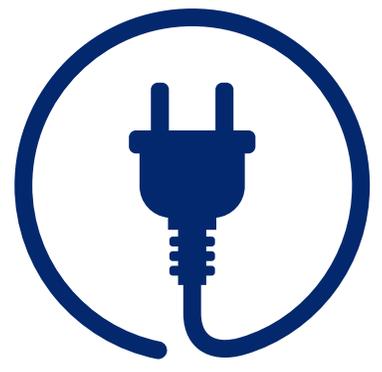


## Regional Risks



## Entity Risks

Inherent Risks +  
Performance History





# Risk Types

# Oversight Planning

## Risk Types



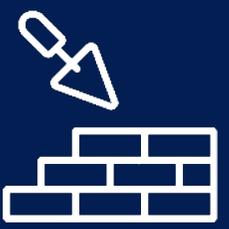


# Risk Mitigation

# Oversight Planning

## Risk Mitigation

**Good Foundation**



**Mature Program**



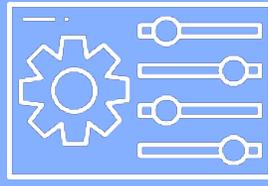
**Quickly Discover**



**Program Improvement**



**Internal Controls**



**Oversight**

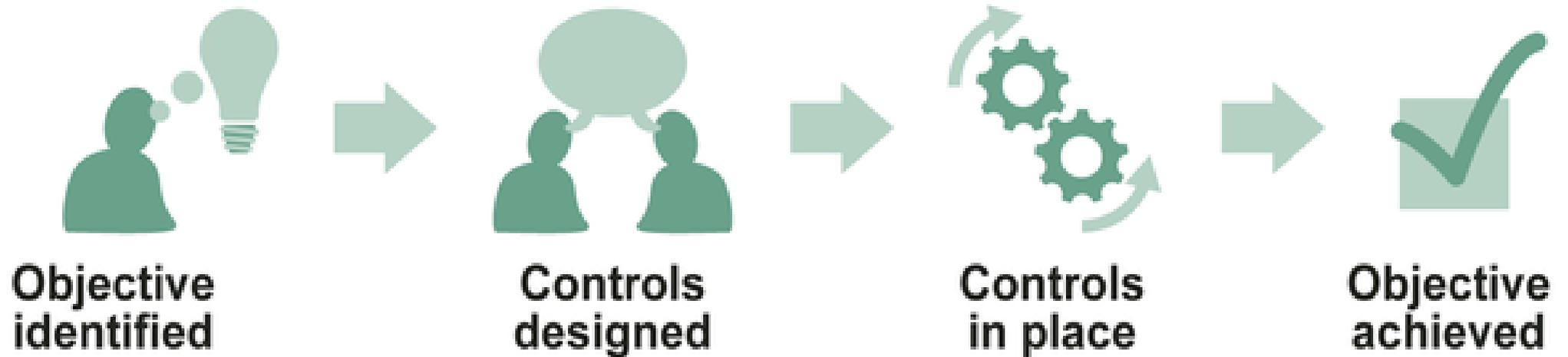




# Internal Controls

# Internal Controls

*What does an internal controls assessment look like during monitoring engagements?*



Source: GAO. | GAO-14-704G

# Internal Controls

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Keep in mind ... internal controls are:

- a core element of managing risk
- can be used to “pro-actively” identify risk and mitigation strategies

Many Standards/Requirements have “built in” controls but often additional controls are needed to ensure:

- timeliness — to meet deadlines
- accuracy — by performing peer checks or reviews
- completeness — to make sure nothing is missed
- evidence documentation

# Internal Controls

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## Expectations for Registered Entities

### Evidence of Compliance:

- Provide evidence and narratives that demonstrate compliance with the Standard and the associated requirements in scope

### Internal Controls:

- Provide evidence to show how your internal controls help to mitigate associated risk
- You may receive an Internal Controls Data Collection Template (ICDCT) prior to the start of an engagement

## Expectations for Regional Entities

- Evaluate evidence and narratives to determine compliance with the Standard and Requirements in scope
- Review internal controls:
  - ICDCT response, if applicable
  - Interview questions
  - Request for information
- Evaluate the effectiveness of controls implemented to mitigate risk

# Internal Controls

## Provide feedback about internal controls

- During interviews
- During debriefs
- Documented In the final closing presentation
- Follow up at 90-day post-monitoring meeting

## Internal control feedback will be documented as:

- Areas of Concern
- Recommendations
- Positive Observations

- **Area of Concern:** 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.
- **Recommendations:** 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 a monitoring engagement that relates favorably with respect to the quality of the registered entity's processes, controls, or corporate culture of compliance.

# Internal Controls

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- The **Purpose Statement** in each Standard speaks to an identified risk to the BES and is the reason the Standard was written. The associated Requirements (as a group) speak to the actions needed to mitigate that risk.
- **Internal controls** are needed to ensure your efforts to mitigate risk are consistently carried out, timely, accurately, and completely.
- **Documentation** is an important control and is evidence that should be provided during monitoring engagements.

# Internal Controls

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## **Examples of documentation of internal controls, that serve as good evidence:**

- Written processes and procedures that are dated, signed, and have a consistent review and revision cycle
- Check lists for complex or seldom used tasks
- Contact lists for entities, agencies and staff needed for coordination and notifications. These should have a regular schedule for review and updates
- Software solutions for task reminders to ensure deadlines are met, for tracking training, to manage assets, for change management — software solutions can be more effective than spreadsheets
- Methods to capture and preserve evidence for real-time events, such as operator logs, voice recordings, meeting minutes

# Post Monitoring - Reports

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## The Final Report (non-public)

For Audits and Spot Checks, WECC is required to provide entities with a non-public report that will document each Positive Observation, Recommendation, and Area of Concern.

Entities also have an opportunity to provide WECC with observation regarding the monitoring engagement process, via a feedback form or link.

## Post-Monitoring 90-day Meeting

WECC will schedule a 90-day post-monitoring engagement call to review and discuss observations, answer questions, or request any needed outreach.



**ENGAGE WITH WECC**





[www.wecc.org](http://www.wecc.org) | (801) 582-0353



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