



## Process for Monitoring Adherence to WECC Regional Criterion Requirements

### 1. Introduction

WECC's authority to administer adherence by Members to Regional Criteria is set forth in the Bylaws, as amended from time to time.

### 2. Scope

This process applies only to Regional Criteria not referenced in an approved Reliability Standard. The monitoring of Regional Criteria referenced in an approved Reliability Standard may be undertaken by the Compliance Department in accordance with the Compliance Monitoring and Enforcement Program.

### 3. Definitions

Term or Acronym	Definition
Alleged Non-Adhering Party	The party alleged to be in non-adherence of the Regional Criterion Requirement. This term is used throughout this document to identify the party even after final determination of the alleged non-adherence has been determined.
Board	The Board of Directors.
Date of Receipt	The date on which the Director of Standards received the Report of Non-Adherence.
Notification Date	The date on which the Director of Standards notified the Alleged Non-Adhering Party that a Report has been filed.
Regional Criteria	Shall have the definition set forth in the NERC Rules of Procedure, as may be

Term or Acronym	Definition
	amended from time to time.
Remedial Action Plan	A plan submitted to correct non-adherence with a Regional Criterion as set forth in Section 4.3 below.
Report of Non-Adherence	The report initiated by the Reporting Party and communicated to the Director of Standards that includes a report of non-adherence with a Regional Criterion Requirement (Report).
Reporting Party	The person or entity having direct knowledge of the alleged non-adherence to a Regional Criterion Requirement and filing the Report with the Director of Standards. The identity of the Reporting Party shall remain anonymous unless otherwise allowed by that party.
Requirement	A requirement set forth in a Regional Criterion approved by the Board.

## 4. Process

### 4.1. Reporting and Communication

A Report may be filed by any Reporting Party with direct knowledge of the alleged non-adherence. The Report must be in writing and must include a description of the alleged non-adherence and evidence or documentation supporting the alleged non-adherence.

The Reporting Party shall deliver the Report to the Director of Standards by mail or email. Within seven days of the Date of Receipt, the Director of Standards shall inform the Reporting Party that the Report has been received.

The Director of Standards shall complete a review of the Report, considering the Purpose and Intent of the Regional Criterion and any other relevant factors. The Director of Standards may engage the assistance of any person to help complete the review subject to any confidentiality restrictions and appropriate confidentiality protections. Details of the review shall remain confidential until the review reaches final disposition.

Within 60 days of the Date of Receipt, the Director of Standards shall communicate to the Reporting Party that:

- The Regional Criterion Requirement in question does not apply to the Alleged Non-Adhering Party;
- The Alleged Non-Adhering Party is operating under a Board-approved exemption to the Regional Criterion or Remedial Action Plan proposed for adherence; or
- Additional time will be needed to determine whether non-adherence has occurred.

Within 60 days of the Date of Receipt, the Director of Standards shall communicate to the Alleged Non-Adhering Party:

- The content of the Report, to include, but not be limited to, specifying the Regional Criterion Requirement associated with the alleged non-adherence and the evidence supporting the non-

adherence;

- A request that the Alleged Non-Adhering Party provide the Director of Standards a written response to the allegation(s), to include, but not be limited to, an explanation of the process taken to review the alleged non-adherence and the findings of that process; and
- An instruction that the Alleged Non-Adhering Party provide the requested written response within 60 days of the Notification Date.

## 4.2. Results of Review

If the Alleged Non-Adhering Party finds that it is not in adherence with the Regional Criterion Requirement, and it is not operating under a Board-approved exemption or a previous Remedial Action Plan, it shall prepare and submit a Remedial Action Plan to the Director of Standards as set forth below within 90 days.

If the Alleged Non-Adhering Party finds that it is in adherence with the Regional Criterion Requirement, it shall provide with its response evidence that it is adhering to the identified Requirement(s). The Director of Standards shall review the Alleged Non-Adhering Party's conclusion and evidence and decide whether WECC is in concurrence with the Alleged Non-Adhering Party's finding.

If the Director of Standards concurs with the Alleged Non-Adhering Party's finding, the Director of Standards shall inform the Reporting Party and the Alleged Non-Adhering Party of its concurrence, and no further action shall be taken.

If the Director of Standards does not concur with the Alleged Non-Adhering Party's finding, the Director of Standards shall notify the Alleged Non-Adhering Party that the Director of Standards has found the Alleged Non-Adhering Party non-adherent, including the basis for that conclusion, and that the Alleged Non-Adhering Party is required to prepare and submit a Remedial Action Plan to the Director of Standards as set forth below within 90 days.

If, after 90 days, the Alleged Non-Adhering Party has not submitted a Remedial Action Plan, the Director of Standards shall notify the appropriate corporate officer of the Alleged Non-Adhering Party and WECC may take any other action against the Alleged Non-Adhering Party consistent with the Bylaws.

At any point during this process, the Alleged Non-Adhering Party may submit a request for exemption from the Regional Criterion Requirement or additional evidence demonstrating adherence. No further action shall be taken while the request for exemption or examination of additional evidence is pending.

## 4.3. Remedial Action Plans

If either the Director of Standards or the Alleged Non-Adhering Party conclude that the Alleged Non-Adhering Party is not in adherence with the Regional Criterion Requirement(s), the Alleged Non-Adhering Party shall file a Remedial Action Plan for adhering to the Regional Criterion Requirement(s).

A Remedial Action Plan shall include a detailed plan and schedule for becoming adherent, including projected milestone dates at which the Alleged Non-Adhering Party projects meeting specified remedial tasks included in the Remedial Action Plan.

The Director of Standards shall review the Remedial Action Plan to ensure it will result in adherence. If the proposed Remedial Action Plan will not result in adherence, the Director of Standards shall notify the Alleged Non-Adhering Party who shall revise its Remedial Action Plan.

The Alleged Non-Adhering Party shall submit Remedial Action Plan reports to the Director of Standards on the first day of each quarter until the Director of Standards concludes that adherence has been achieved.

Failure to meet a Remedial Action Plan milestone will result in a letter from the Director of Standards to the appropriate corporate officer of the Alleged Non-Adhering Party delineating the failure to adhere and requesting an explanation as to why the Alleged Non-Adhering Party is not in adherence.

## 4.4. Notice and Publication

The Director of Standards shall provide notice to the Board (or designated committee) of validated non-adherence to a Regional Criterion. Validated non-adherence and the related elements of this process not deemed confidential will be made public on the website.

## 4.5. Appeals

The Director of Standards' findings may be appealed to the CEO.

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