

Public**Audit Notification Letter**

<b>Registered Entity Name</b>	<b>Test Entity</b>
<b>Registered Entity Acronym</b>	TEST
<b>NCR ID # (NERC Compliance Registry – NCR)</b>	NCR55555
<b>Registered Entity Contact</b>	<b>Primary Compliance Contact</b>
<b>Registered Entity Contact Email Address</b>	<b>Primary Compliance Contact email address</b>
<b>Compliance Audit Type</b>	<b>Operations &amp; Planning and Critical Infrastructure Protection</b>
<b>Audit Dates –</b>	<b>Month Day, Year – Month Day, Year</b>
<b>Audit Period</b>	<b>Monitoring Period Start Date – Monitoring Period End Date</b>
<b>Registered Entity Functional Registration</b>	<b>Balancing Authority (BA)</b> <b>Distribution Provider (DP)</b> <b>Generator Operator (GOP)</b> <b>Generator Owner (GO)</b> <b>Planning Authority (PA)</b> <b>Resource Planner (RP)</b> <b>Reliability Coordinator (RC)</b> <b>Transmission Operator (TOP)</b> <b>Transmission Owner (TO)</b> <b>Transmission Planner (TP)</b> <b>Transmission Service Provider (TSP)</b>
<b>CFR's or Delegation Agreement</b>	CFR000000
<b>Audited Functions</b>	BA, DP, TOP, TO, TP



## Audit Notice Letter

### Electric Reliability and Security for the West

Dear Primary Compliance Contact:

The WECC Compliance Audit (Audit) for Test Entity (TEST) is scheduled for Month Day, Year through Month Day, Year. This letter provides information to assist TEST in preparing for the Audit. Also, this letter serves as notice to TEST to provide evidence of compliance with the North American Electric Reliability Corporation (NERC) Reliability Standards applicable to TEST as part of the upcoming Audit. An explanation of WECC's authority and registered entity obligations regarding the production of data necessary to assess compliance with the applicable Reliability Standards is posted on the WECC website, titled "[Compliance Monitoring Authority](#)".

A pre-audit conference call is scheduled for Month Day, Year at 2:00 p.m. Mountain Time. At that time, Audit Team Leads (ATL), Compliance Program Coordinator (CPC); and TEST personnel will review the Audit agenda, logistics, and address any outstanding issues or questions that TEST may have. This will include discussion of potential on-site activities. If TEST is unable to participate in a conference call at the set date and time, please contact the CPC via email at CPC email as soon as possible so WECC can reschedule the call. We will provide more information prior to the call.

The Audit activities will begin Month Day, Year. The Audit Team will begin their review of TEST's documentation prior to the Month Day, Year and expect to be finished with the Audit by Month Day, Year.

ATLs will coordinate with TEST on specific details and timing of any on-site audit activities. On-site activities could occur as early as Month Day, Year, and typically include two to six audit team members. Observers' participation will be confirmed prior to scheduling on-site activities via formal data request.

The following personnel will be participating in the audit:

#### Audit Team Members and Participants

Team Members/ Participants	CMEP Activity Role	Region/ Affiliation
Participant Name	Audit Team Lead	WECC
Participant Name	Compliance Program Coordinator	WECC
Participant Name	Audit Team Member, Operations & Planning	WECC
Participant Name	Audit Team Member, CIP	WECC
Participant Name	Observer	WECC

**Audit Notice Letter**

This audit will be conducted by all, or some, of the audit team members in the table above. TEST may object to any member of the audit team on grounds of a conflict of interest or the existence of other circumstances that could interfere with the team member's impartial performance of his or her duties. **Any such objections must be provided in writing to the ATL no later than Thirty (30) days prior to the start of the audit.**

The documents in the table below are included in this audit notification. **Please note:** Certain documents require completion and are required to be returned by their respective due dates shown in the table below.

Document Name	Instructions	Location
Audit Scope ( <a href="#">Appendix A</a> )	List of <b>initial</b> standards and requirements within scope of the audit	Attached (see below)
Audit Team Biographies	A short biography and the recent employment history of the individual Audit Team members	Align/ANP/ANP Documents
Documentation Instructions	Reference material to outline and clarify providing supporting evidence files and completing Working Papers in Align and Excel workbooks.	Align/ANP/ANP Documents
Pre-Audit Survey	Complete and return a signed copy.	Align/General/ Audit Request for Information
<a href="#">CIP Evidence Request Tool</a> (ERT)	Specific data or documentation requests which must be included with the entity's audit documentation. The lists are not intended to be a complete list of documentation required. Each entity is expected to provide sufficient and appropriate documentation to demonstrate compliance with all requirements within the scope of the audit. The workbooks allow a registered entity to provide consistent data for use during an audit, for cross referencing, creating sample set for standard issued data request, and aid in the audit process in reducing additional data requests.	Align/General/ Audit Request for Information
O&P Evidence Spreadsheet		



Audit Feedback Questions	WECC encourages TEST to submit its feedback regarding this compliance audit. Please use word document to collect feedback from your staff prior to completing the online form. <a href="#">Online NERC Compliance Audit Feedback</a>	Align/ANP/ANP Documents
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WECC determined the scope for this audit based on TEST's Registration, Inherent Risk Assessment, and Compliance Oversight Plan. In addition, the scope of the audit could include a review of Open Enforcement Actions.

Entities are responsible for compliance with all Reliability Standards and Requirements in effect per their registered functions at all times. The Audit Team is authorized to expand the scope to any other requirements they may deem necessary based on evidence reviewed and the Audit Team's collective professional judgment. Audit scope expansion can occur at any point during the audit process.

The Audit Team as needed may request additional evidence. Subject Matter Experts (SMEs) will need to be available to answer questions from the Audit Teams regarding the evidence submitted, during the audit engagement dates. The ATL(s) will provide you with a tentative schedule and discuss the availability of your SMEs during the Audit.

As referenced in the ERO CMEP Implementation Plan and the ERO Enterprise Guide for Compliance Monitoring, the Audit Team may seek information concerning TEST's Internal Controls through inquiries, observations, inspection of documents and records, or through testing. The objective of the internal controls inquiry is to provide information which can be considered to modify the nature, timing, or extent of future compliance monitoring activities.

Reference documents are also available on the WECC Compliance Website at:

<https://www.wecc.org/Pages/Compliance-UnitedStates.aspx>

On Month Day, Year, the Audit Team will hold a virtual meeting with TEST to give a short presentation. WECC requests that TEST also give an introductory presentation. TEST's presentation should be 30 minutes or less. It may include information such as:

- Organization overview
- Size of organization
- List of entities with which TEST is connected
- Overview of electric and geographic area
- Overview of company organization (e.g., organizational charts)
- Overview of control room operations



- Review of organization's Internal Compliance Program
- Introduction of key personnel supporting the Audit process

The Audit Team will present the preliminary findings of the audit in a virtual meeting at the close of the audit.

**Please note the important dates/deadlines below (subject to change and not inclusive).**

<b>Important Dates/Deadlines</b>	
<b>Description</b>	<b>Date</b>
Pre-Audit Conference Call	Month Date, Year at 2:00 p.m. Mountain Time
All requested evidence, Working Papers, Program and Procedure Documents, and the Pre-Audit Survey	60 days prior to audit
Objections to Audit Team Members	30 days prior to audit

If you have any questions or concerns, please contact the CPC at CPC email.

Thank you for your assistance in this effort.

Sincerely,

Director of Entity Monitoring

#### **Appendix A - Standards and Requirements included in Audit Scope.**

<b>Standard(s)</b>	<b>Requirement(s)</b>
STD-0XX-X	RX.
STD-0XX-X	RX.
STD-0XX-X	RX.
STD-0XX-X	RX.

