

After a Self-Report– What can you Expect?

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How do I Self-Report?

- **Self-Reporting is encouraged at the time a Registered Entity becomes aware of:**
 - A violation of a Reliability Standard
 - A change in the violation severity level of a previously reported violation
- **Self-Reports can be submitted through the Texas RE portal**
 - Self-reports should be submitted as soon as possible
 - Mitigation Plans can be submitted at the same time

Why should I Self-Report?

- **Reduce possible penalties**
 - Sanction Guidelines allow self-disclosure as a positive adjustment factor
 - Self-Reporting is considered a positive factor in penalty determination
- **Voluntary corrective action is considered a factor in determining penalties**
 - Early submittal and implementation of Mitigation Plan is encouraged
- **When in doubt, Self-Report any possible violation promptly**

After a Self-Report is Submitted

- **Texas RE will acknowledge receipt of self-report**
- **Texas RE will review self-report to validate the violation**
- **Texas RE may request additional information**
 - Phone Call
 - Email
 - Request for Information
- **If a violation, the enforcement process begins**

Enforcement Process

- **Possible Violations**

- Texas RE will either dismiss the violation or issue a Preliminary Notice of Alleged Violation
- Possible violations will be reported to NERC

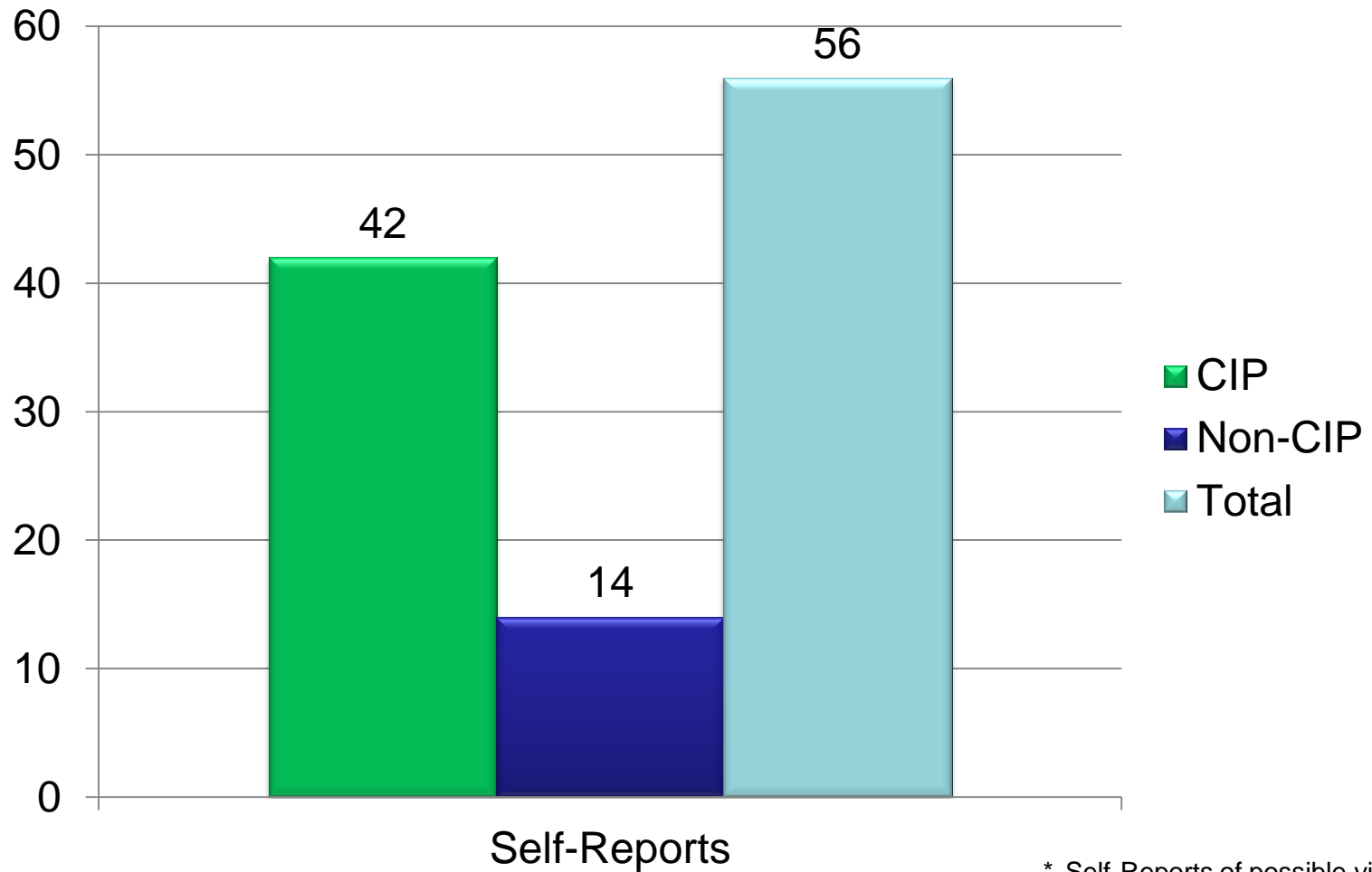
- **Alleged Violations**

- Texas RE will issue a Notice of Alleged Violation and Proposed Penalty or Sanction
 - Will contain a penalty amount

- **Confirmed Violations**

- Texas RE will issue a Notice of Confirmed Violation
 - Violation record is submitted to NERC
 - Entity should mark anything CEII or Confidential (ROP- Section 1501)

2010 Self-Reports*



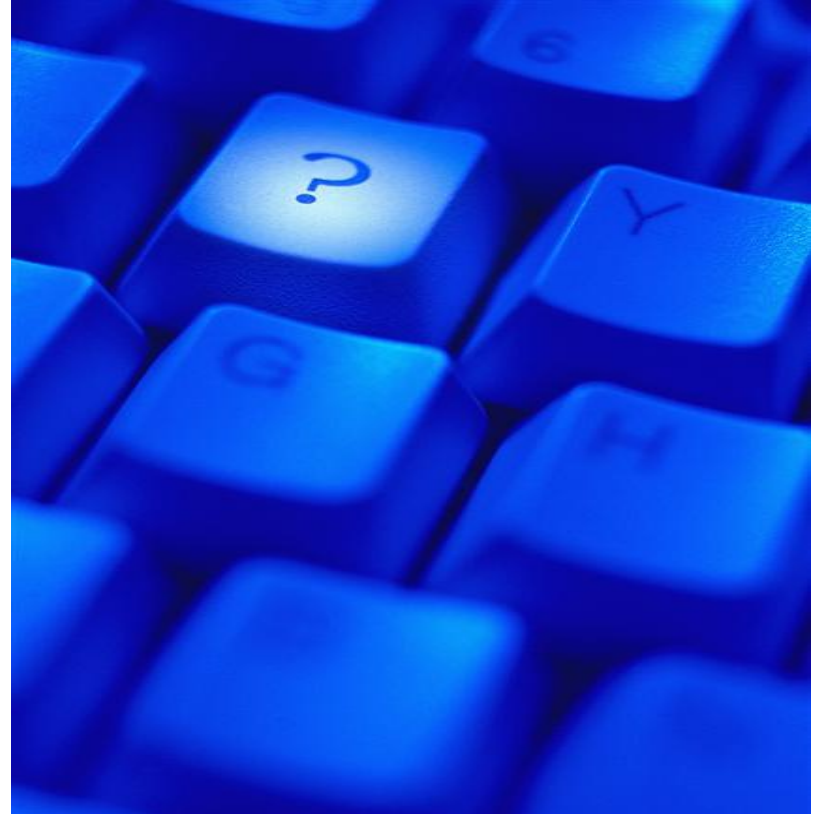
* Self-Reports of possible violations received as of 8/21/2010

CIP Information Resources

- **Critical Infrastructure Protection Working Group (CIPWG)**
 - ERCOT region working group
 - Signature of a non disclosure agreement is required
 - Texas RE staff attends meetings
- **NERC Website**
 - Contains Compliance Application Notices
 - Provide compliance information about items that arise from the field and industry

Questions?

Please visit us at:
www.texasre.org



You may also submit questions to information@texasre.org