



**TEXAS
REGIONAL
ENTITY™**

An Independent Division of ERCOT

Self-Report Form: Portal Training

Learn how to self-report possible violations of NERC Reliability Standards for your organization on the secure Texas Regional Entity Portal.

portal.texasre.org

To submit a self-report, your organization must have the following roles set up in your Master Account:

Master Account Administrator, Primary Compliance Contact, and/or Contributor

October 2009

Your Portal Account

Portal Home | TexasRE.org

TEXAS REGIONAL ENTITY™

PORTAL

TestCo Energy

Logged in as: **Lois Lane**

Log Out

- System Administration
- Compliance
- Self-Report

Announcements

Welcome to the Texas Regional Entity Portal

The Texas Regional Entity Portal is the vehicle through which many aspects of the NERC Compliance Monitoring and Enforcement Program and NERC registrations are conducted. The portal allows improved administration, increased security, and simpler tracking.

Compliance Summary

Self-Report	
Form Name	Due Date
BAL-001-0 Self-Report (BA)	10/15/2009

Log into the Texas Regional Entity Portal: <https://portal.texasre.org>.

(If you do not know your username, contact your **Master Account Administrator (MAA)** to obtain your username. Then click “I forgot my password” at the login page to have a temporary password emailed to you.)

1. Your contact name displays. **Security Reminder: Do not share usernames or accounts.**
2. Your organization’s Master Account name also displays.

If you have access to more than one organization’s Master Account, you will see a drop-down menu at the top. If you have access to multiple Master Accounts, when filling out compliance forms, you must first use the drop-down menu to select the correct organization.

Submitting Self-Reports via the Portal

- **The Self-Report Form on the portal may be used by entity to self-report possible violations of NERC Reliability Standards to Texas RE.**
- **At this time, personnel who have security permissions to an entity's Master Account (for example, Master Account Administrator, Primary Compliance Contact, or Contributor) also have permission to create and submit a self-report.**
- **Reminder: A self-report is considered a mitigating factor when Texas RE determines an appropriate penalty or sanction.**


Locate Self-Report

Portal Home | TexasRE.org

PORTAL

TestCo Energy

Logged in as: **Lois Lane**
▶ Log Out

- ▶ System Administration
- ▶ Compliance
- ▼ Self-Report 
- Add New
- In Progress

Announcements

Welcome to the Texas Regional Entity Portal
The Texas Regional Entity Portal is the vehicle through which many aspects of the NERC Compliance Monitoring and Enforcement Program and NERC registrations are conducted. The portal allows improved administration, increased security, and simpler tracking.

Reminder: Please keep the portal secure. Each user must have an individual portal account. Do not share your account or password with others.

Compliance Summary

Self-Report	
Form Name	Due Date
BAL-001-0 Self-Report (BA)	10/15/2009

Email Questions

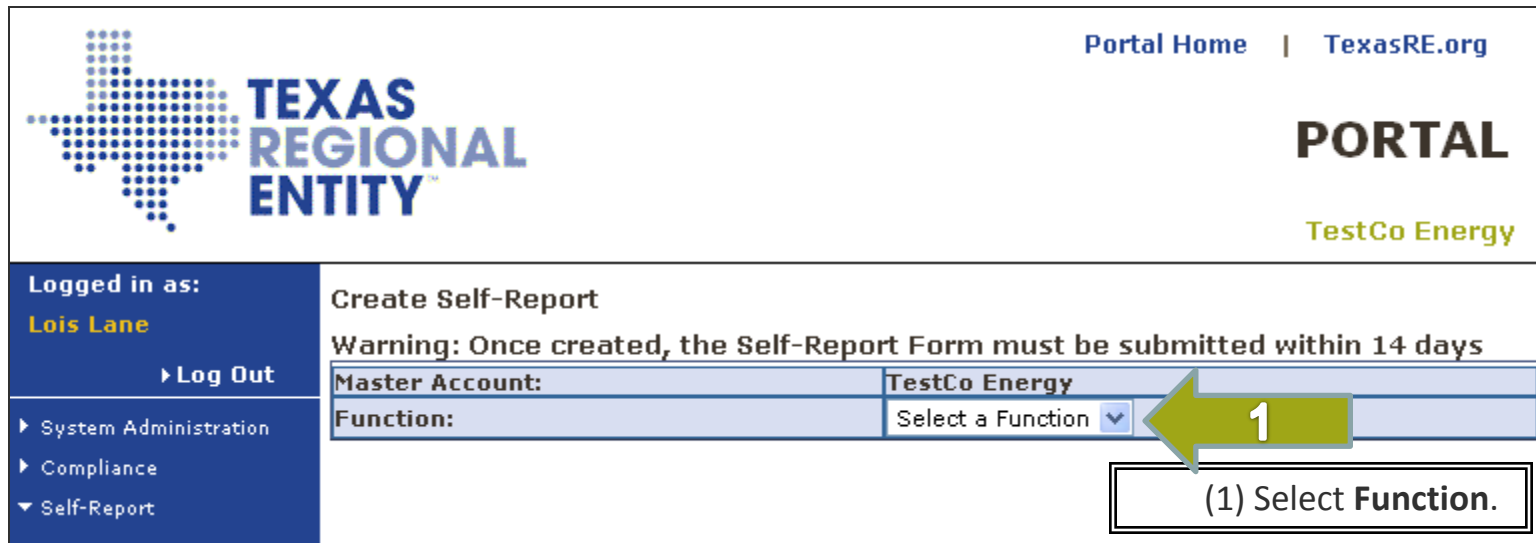
- ▶ Support

To create or locate self-report forms, select **Self-Report**.

Select **Add New** to create a new self-report.

Important: Self-report forms cannot be deleted.
Do not create a self-report form unless the entity actually intends to complete a submission.

Create a New Self-Report



Portal Home | TexasRE.org

TEXAS REGIONAL ENTITY™

PORTAL

TestCo Energy

Logged in as: **Lois Lane**
▶ Log Out

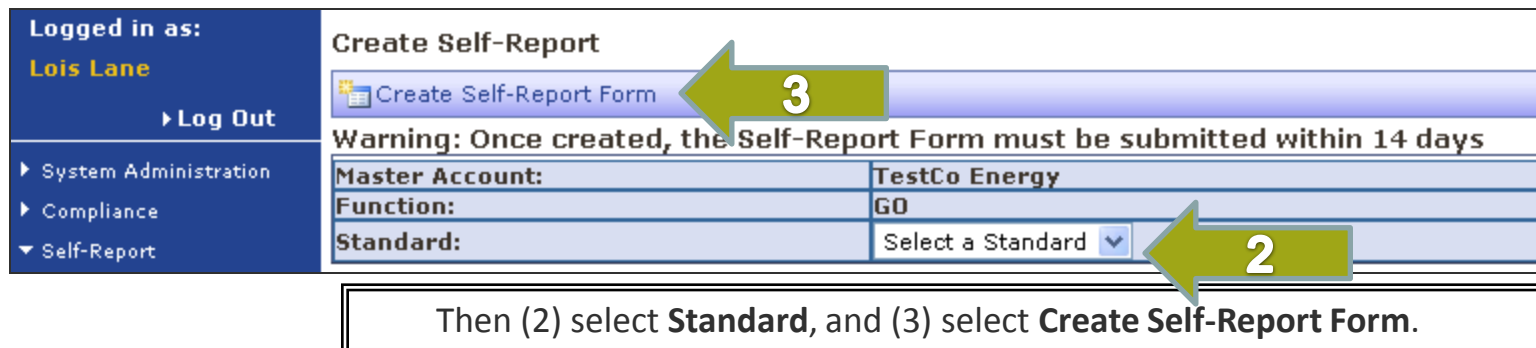
▶ System Administration
▶ Compliance
▼ Self-Report

Create Self-Report

Warning: Once created, the Self-Report Form must be submitted within 14 days

Master Account:	TestCo Energy
Function:	Select a Function ▼

(1) Select **Function**.



Logged in as: **Lois Lane**
▶ Log Out

▶ System Administration
▶ Compliance
▼ Self-Report

Create Self-Report

▶ Create Self-Report Form

Warning: Once created, the Self-Report Form must be submitted within 14 days

Master Account:	TestCo Energy
Function:	GO
Standard:	Select a Standard ▼

Then (2) select **Standard**, and (3) select **Create Self-Report Form**.

Self-Report Form Due Date and Preparation

- When the self-report form is created by the entity, it is due in 14 days.
- Self-report forms cannot be deleted.
- The form must be completed in order for it to be saved.
- The form may be edited before it is submitted.
- Return to a saved form by selecting “Self-Report” and “In Progress.”

EOP-009-0 Self-Report (GO)

Save Item | Cancel Changes | Save PDF | Return To Search Results

New Mitigation Plan

*Required Fields Status: New

Technical Contact

* Find | Clear | New Contact

Texas Regional Entity will disclose this information to NERC and other third parties, only as required, and in accordance with established procedures pursuant to section 1500 of the NERC rules of procedure.

As an authorized representative of **TestCo Energy**, I certify the following:

TestCo Energy is Not in Compliance with the following requirement(s) of NERC Reliability Standard EOP-009-0 (indicated by checkmark) but is in compliance with all other requirements of the standard.

TestCo Energy is indicating a possible violation that has **not** been previously identified to Texas Regional Entity.

TestCo Energy is indicating a possible violation that was **previously identified to Texas Regional Entity**. Provide issues tracking number, if known.

Self-Report Form Overview

Provide the following information on the form:

- Technical contact
- Whether the possible violation has been previously identified to Texas RE

FAC-002-0 Self Report (GO)

[Save Item](#) | [Cancel Changes](#) | [Save PDF](#) | [Return To Search Results](#)

New Mitigation Plan

*Required Fields

Status: New

Technical Contact

*

[Find](#) | [Clear](#) | [New Contact](#)

Texas Regional Entity will disclose this information to NERC and other third parties, only as required, and in accordance with established procedures pursuant to section 1500 of the NERC rules of procedure.

As an authorized representative of **TestCo Energy**; I certify the following:

TestCo Energy is Not in Compliance with the following requirement(s) of NERC Reliability Standard FAC-002-0 (indicated by checkmark) but was in compliance with all other requirements of the standard.

TestCo Energy is indicating a possible violation that has not been previously identified to Texas Regional Entity.

TestCo Energy is indicating a possible violation that was previously identified to Texas Regional Entity. Provide issues tracking number, if known.

Self-Report Form Overview (continued)

- Requirements or sub-requirements for which entity was not in compliance
- An explanation
- The date and time of the alleged violation
- The date that alleged violation was discovered

Check all requirements for which TestCo Energy was Not in Compliance:

- R1.** The Generator Owner, Transmission Owner, Distribution Provider, and Load-Serving Entity seeking to integrate generation facilities, transmission facilities, and electricity end-user facilities shall each coordinate and cooperate on its assessments with its Transmission Planner and Planning Authority. The assessment shall include:

- R1.1.** Evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems.

NOTE: While submittal of a mitigation plan is not required until after a determination of a violation is confirmed, early submittal of a mitigation plan to address and remedy an identified deficiency is encouraged. Submittal of a mitigation plan shall not be deemed an admission of a violation. (See NERC Rules of Procedure, Appendix 4C, Section 6.4.)

Provide a detailed explanation why this was not accomplished

*

Enter date of alleged violation


* 

Enter time of alleged violation

hh:mm:ss

- R1.2.** Ensurance of compliance with NERC Regional, subregional, Power Pool, and individual facility connection requirements.
- R1.3.** Evidence that the parties involved in the assessment have coordinated and cooperated on the assessment of the reliability impacts of new facilities on the interconnected transmission systems. While these studies may be performed independently, the results shall be jointly evaluated and coordinated by the entities involved.
- R1.4.** Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to evaluate system performance in accordance with

Click to select date with the calendar function.



Self-Report Form Overview (continued)

- Reason for the non-compliance
- Reliability Impact Statement
- Whether the mitigation plan is included
- Additional comments

Reason for the non-compliance:

Reliability Impact Statement:

Mitigation Plan Included?
 Yes No

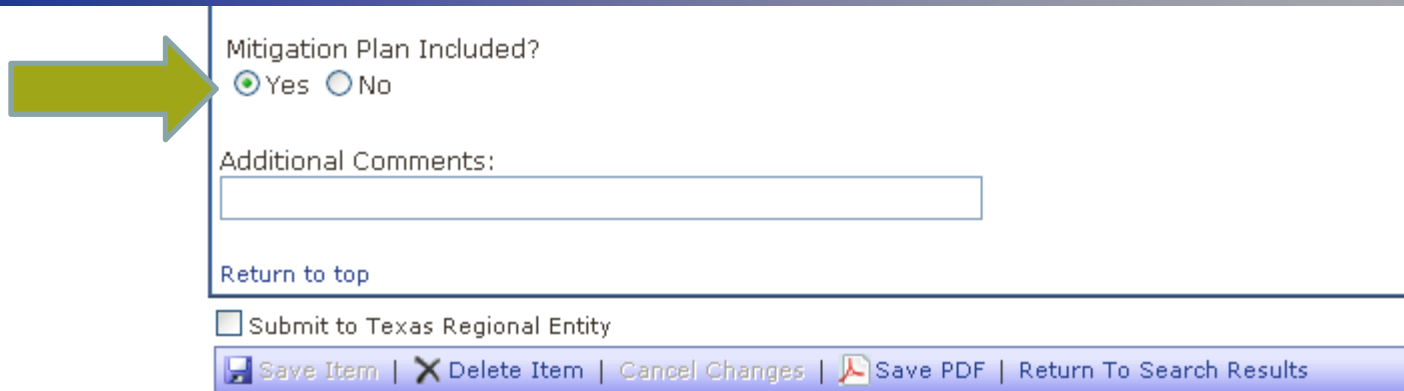
Additional Comments:

[Return to top](#)

Submit to Texas Regional Entity

[Save Item](#) | [Delete Item](#) | [Cancel Changes](#) | [Save PDF](#) | [Return To Search Results](#)

Submitting a Mitigation Plan with Self-Report



Mitigation Plan Included?
 Yes No

Additional Comments:

[Return to top](#)

Submit to Texas Regional Entity

[Save Item](#) | [Delete Item](#) | [Cancel Changes](#) | [Save PDF](#) | [Return To Search Results](#)

- **Fill out a mitigation plan form, available on <http://www.texasre.org/enforcement/nerc/mitplan/> -- the mitigation plan form may be attached to the electronic self-report form.**
- **On the self-report form, in answer to “Mitigation Plan Included,” click “Yes.”**
- **Save the self-report form.**

Submitting a Mitigation Plan with Self-Report (continued)

FAC-002-0 Self-Report (GO)

Save Item | Delete Item | Cancel Changes | Save PDF | Return To Search Results

New Mitigation Plan | Attachments (0) **1**

*Required Fields **Status: Saved**

Technical Contact

* Jimmy Olsen (jimmy@powerplant.com) Find | Clear | New Contact

Texas Regional Entity will disclose this information to NERC and other third parties, only as required, and in accordance with established procedures pursuant to section 1500 of the NERC rules of procedure.

Attachment Search Results for FAC-002-0 Self-Report (GO)

New Item | **2** | Return to Item Page

File Name	Size	Delete
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(2) Select New Item.

Submitting a Mitigation Plan with Self-Report (continued)

Upload Attachments for FAC-002-0 Self-Report (GO)

Upload Attachments for FAC-002-0 Self-Report (GO)

(3) Use **Select** to browse to your mitigation plan.

(4) Select **Submit** to attach the mitigation plan to the self-report form.

Attachment Search Results for FAC-002-0 Self-Report (GO)

New Item | Delete Selected | Return to Item Page

File Name	Size	Delete
Texas RE Mitigation Plan NERC Standard.doc	185k	<input type="checkbox"/>

(5) Select **Return to Item Page** to return to self-report form.

FAC-002-0 Self-Report (GO)

Save Item | Delete Item | Cancel Changes | Save PDF | Return To Search Results

New Mitigation Plan | Attachments (1)

(6) **Attachments (1)** displays at top of self-report form. Delete or add attachments at any time before submitting to Texas RE.

Submitting a Mitigation Plan with Self-Report (continued)

- **While submittal of a mitigation plan is not required until after a determination of a violation is confirmed, early submittal of a mitigation plan to address and remedy an identified deficiency is encouraged.**
- **Do not delay the submission of a self-report in order to complete a mitigation plan.**

Submission of the Self-Report



Submit to Texas Regional Entity

Save Item | Delete Item | Cancel Changes | Save PDF | Return To Search Results

Check **Submit to Texas Regional Entity**, then **Save Item**.

A warning box will pop up. Click **OK**.

Important: Once the self-report form has been submitted to Texas RE, the portal automatically notifies Texas RE. The form will be locked to the entity.

Locate Submitted Form/Understand Search Results

Locate the form(s) by going to **Self-Report**, then **In Progress**.

A date in green indicates when that the form was officially submitted to Texas RE. Green does not indicate the status of the possible violation or that an attached mitigation plan has been approved.

The green highlight is your indication that the form was successfully submitted. If the date is not highlighted in green, the form has not been submitted to Texas RE.

Export List | Create Certification Statement RPP: 500

Search Results for Form Type = "Self-Report"

	Form Type	Form Name	Due Date	Lockout Date	Ready for Approval	Submittal Status
New	Self-Report EOP-009-0	Self-Report (GO)	10/19/2009	11/2/2009	0/0	
Edit	Self-Report EOP-009-0	Self-Report (GOP)	10/19/2009	11/2/2009	0/1	
New	Self-Report BAL-001-0	Self-Report (BA)	10/15/2009	10/29/2009	0/1	
View	Self-Report FAC-002-0	Self-Report (GO)	10/20/2009	11/3/2009	0/0	10/20/2009
New	Self-Report TOP-001-1	Self-Report (GOP)	10/20/2009	11/3/2009	0/0	
New	Self-Report CIP-002-1	Self-Report (GO)	10/20/2009	11/3/2009	0/0	

Viewing 1 to 6 of 6 Records.

Legend:
■ Past Due
■ Due Date Approaching
□ Ready For Certification Statement
■ Received by Texas Regional Entity

Final Notes on Self-Reports via the Portal

- **The entity will receive confirmation from Texas RE staff that the self-report has been received.**
- **The entity may be requested by Texas RE staff to provide additional information.**
- **Reminder: A self-report is considered a mitigating factor when Texas RE determines an appropriate penalty or sanction.**



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For questions, contact
selfreporting@texasre.org