

General Entity Information

Inherent Risk Assessment and Compliance Oversight Planning

Mapping/Interconnections with Other Entities

- Reliability Coordinator
- Balancing Authority
- Planning Coordinator/Planning Authority
- Transmission Operator
 - Affected Transmission Operators (neighboring/adjacent)
- Transmission Owner
- Transmission Planner
- Generator Operator
- Generator Owner
- Qualified Scheduling Entity
- Distribution Provider (includes UFLS-only DPs)

Coordinated Functional Registrations (CFRs)/Joint Registration Organizations (JROs)

Identify any CFRs or JROs that the entity is party to.

Compliance History

Identify all Violations, Areas of Concern, and Recommendations for the entity.

For violations identify the year, type of monitoring in which the violation was identified, the violation data, the root cause, whether the violation has been mitigated, and whether it is a repeat violation.

For AOCs and Recommendations, provide details along with the year and monitoring activity in which they were identified.

Control Facilities

Identify monitoring and control capabilities; state staffing availability; identify location and connections to facilities outside the Interconnection; discuss communication capabilities; identify

whether the control facility meets the NERC criteria of a Control Center; include any additional information relevant to the control facility.

Transmission Information

- Entity owns:
 - Miles of 69 kV* _____
 - Miles of 138 kV _____
 - Miles of 345 kV _____

- Entity operates:
 - Miles of 69 kV* _____
 - Miles of 138 kV _____
 - Miles of 345 kV _____

*Although 69 kV is below the defined 100 kV for transmission, ownership of 69 kV could shed additional light on the entity's risk.

Generation Information

- Entity owns:
 - Total Nameplate Rating
 - Individual Unit Nameplate Ratings
 - Individual Unit Fuel Type
 - Reliability Must Run units (RMR)

- Entity operates:
 - Total Nameplate Rating
 - Individual Unit Nameplate Ratings
 - Individual Unit Fuel Type
 - Reliability Must Run units (RMR)

Distribution Information

- Entity's Peak Load (MW)

- Entity owns:
 - UFLS Equipment
 - UVLS Equipment

- Entity operates:
 - UFLS Equipment

- UVLS Equipment

Event Analysis

Has the entity been involved in any of the following events in the previous 5 years?

- Cyber Events
- Physical Events
- Operational Events

Performance Data

- ERCOT Mitigation
 - Is the entity a part of any of the following:
 - Mitigation Plans (MPs)?
 - Remedial Action Plans (RAPs)?
 - Pre-Contingency Action Plans (PCAPs)?
 - Temporary Outage Action Plans (TOAPs)?
- Transmission Availability Data System (TADS)
 - Element Total Automatic Frequency (TOF)
 - TOF should have the numbers for the previous 5 years for the entity's transmission as well as the ERCOT wide numbers.

Year	Entity TOF	Interconnection TOF
20XX		
20XX		
20XX		
20XX		
20XX		

- Element Sustained Outage Frequency (SOF)
 - SOF should have the numbers for the previous 5 years for the entity's transmission as well as the ERCOT wide numbers.

Year	Entity SOF	Interconnection SOF
20XX		
20XX		
20XX		
20XX		

20XX		
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- Generation Availability Data System (GADS)
 - Equivalent Forced Outage Rate Demand (EFORd)
 - EFORd should include the values for the previous 5 years for each unit the entity owns and/or operates.
- Misoperations
 - Has the entity reported any misoperations over the previous 3 years?
 - Has the entity submitted any corrective action plans?
- Technical Feasibility Exceptions (TFEs)
 - Has the entity submitted any TFEs?

Standard-Specific Questions for Compliance Oversight Planning

BAL-001-TRE-1

- Has the entity experienced any Frequency Measureable Events (FMEs)?

PRC-002-2

- Has the entity reported any PRC-002-2 Corrective Action Plans?

PRC-005-6

- Does the entity utilize time-based, performance-based, or a combination of both for its Protection System Maintenance Program (PSMP)?

PRC-023-4

- Does the entity have any circuits applicable to PRC-023-4?

Additional Questions

- Describe whether and how the entity utilizes Lessons Learned and Alerts from NERC and the Regional Entities.
- List any external consultants the entity uses to support its compliance program.