# Self-Logging Program Participation Request

| Entity Contact Information |
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**Entity Name:**

**NERC Compliance Registry Number:**

**Primary Contact for Self-Logging Related Communications:**

**Name:**

**Title:**

**Address:**

**Telephone:**

**Email:**

**Eligibility Considerations**

To determine a Registered Entity's eligibility to self-log minimal risk instances of noncompliance, Texas RE must conduct a formal review of the Registered Entity's internal controls. Specifically, to be eligible to participate in the Self-Logging Program, a Registered Entity must demonstrate that it has sufficiently institutionalized processes in place to identify, categorize, prioritize and mitigate operational risks to reliability.

When determining eligibility for self-logging privileges, Texas RE will conduct an overall assessment of:
   (1) the processes and controls the Entity has in place to identify, assess, and correct noncompliance;
   (2) the Entity's compliance history;
   (3) the Entity's history of self-assessment and self-reporting;
   (4) the Entity's history of timely and thorough mitigation;
   (5) the Entity's level of cooperation with Texas RE during enforcement actions and compliance monitoring activities;
   (6) the quality of the Entity's internal compliance program; and
   (7) the inherent risk posed by the Entity.

Texas RE strives as much as possible to use information already in Texas RE's possession. To assist Texas RE's formal eligibility evaluation, however, additional information regarding your internal controls may be necessary. Accordingly, please provide documents and/or narrative descriptions regarding Entity internal controls, including programs, processes, and procedures that Entity has in place to:

(a) identify noncompliance and risks to reliability in general;
(b) assess the risk to the Bulk-Electric System posed by the identified issues; and
(c) implement and track corrective actions.

Texas RE will evaluate this information, along with the information it already has regarding numbers (2) through (7) above, in making its self-logging eligibility determination. Texas RE may ask for additional information over the course of its evaluation.

Please complete this document and submit it, along with any attachments, to enforcement@texasre.org with the subject line "Request for Evaluation – [Registered Entity Name]."

Upon receiving the request, Texas RE will contact you regarding any additional information we may need to complete our review. Once Texas RE receives all the necessary information, we will begin the process of evaluating whether your registered entity is eligible to self-log. Following completion of our evaluation, Texas RE will provide you with a written notice regarding whether your registered entity qualifies for self-logging and an explanation of the factors affecting Texas RE's determination. Texas RE may also limit your registered entity's self-logging activities to certain categories of Reliability Standards or identified Reliability Standard requirements.

## A. Methodology to Evaluate Processes to Identify Noncompliance

1. Please explain how «Entity Name» demonstrates that it has effective processes in place for identifying possible noncompliance with Reliability Standards.

   These processes include:
   - Process(es) for identifying and communicating possible noncompliance with Reliability Standards.
   - Process(es) for investigating the facts surrounding an identified possible noncompliance.
   - Process(es) if «Entity Name» determines facts do not amount to noncompliance (e.g., follow-up, if any, for near misses).

   Response:

## B. Methodology to Evaluate Processes to Assess Noncompliance

1. Please explain how «Entity Name» investigates the facts surrounding an identified possible noncompliance.

   Response:

2. Please explain how «Entity Name» assesses the risk to reliability posed by a noncompliance.

   These processes include:

- Process(es) for assessing risk to reliability posed by a particular noncompliance.
- Process(es) for communicating reliability risk of possible noncompliance to individuals affected by the possible noncompliance.

    Response:

3.    Describe how «Entity Name»'s assessment of risk to reliability impacts its response to the noncompliance.

    Response:

**C.  Methodology to Evaluate Processes to Correct Noncompliance**

1.    Describe «Entity Name»'s process(es) for identifying root cause(s) of possible noncompliance (including any process for communicating root cause(s) to individuals affected by the possible noncompliance and/or process for trend-spotting noncompliance with similar causes).

    Response:

2.    Please explain how «Entity Name» ensures timely and thorough communications are provided to both the employees responsible for mitigation and to Texas RE.

    Response:

3.    Please state whether senior management is involved in the evaluation and correction of noncompliance.

    Response:

4.    Please state whether « Entity Name» has a feedback loop to review and correct deficiencies in processes and procedures that have led to noncompliance.

    Response:

5.    Please explain how «Entity Name» demonstrates that it has effective processes in place for addressing/mitigating identified causes of noncompliance (both cause of discrete noncompliance and prevention of recurrence).

    Response:

6.    Please explain how «Entity Name» assesses the effectiveness of its mitigation activities.

      Response: