

General Entity Information

Inherent Risk Assessment and Compliance Oversight Planning

Texas RE collects a variety of data to assess an entity's risk. For data that are not available to the Risk Group from other sources, Texas RE may request it in the form of a questionnaire. Data collected includes but is not limited to the information below.

Compliance History

Identify all Violations, Areas of Concern (AOCs), Recommendations, and Positive Observations.

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

Compliance Program and Culture

- Provide documentation of the entity's internal compliance program and state whether the entity regularly reviews and modifies its program as needed.
- State whether all entity employees have access to the internal compliance program. Explain whether the internal compliance program includes employee compensation tied to identifying compliance issues.
- Provide an organizational chart with an accompanying explanation indicating the level of supervision of the reliability compliance manager, officer, or similar position. Indicate if the entity's compliance program is centralized or organized by separate business units.
- State whether the internal compliance program includes appropriate and sufficient training for all relevant staff.
- Describe how the entity utilizes NERC Alerts and Lessons Learned and from NERC and Regional Entities.
- Explain whether the entity's internal compliance program encourages self-identifying compliance issues and promotes self-reporting to the Regional Entity.

- List any external consultants the entity uses to support compliance, operations, or maintenance.
- Describe any overall process the entity uses to create and implement internal controls to mitigate reliability and compliance risks.

Control Facilities and External Electronic Communication

List and describe the entity's generation and transmission monitoring/control facilities, including the location and overall functionality of any local, remote, and backup facilities. Describe these facilities' capabilities for monitoring and/or controlling generation/transmission both inside and outside the ERCOT Interconnection as applicable. Include a description of these facilities' SCADA/EMS capabilities, voice and data communications, and staffing, as well as whether the facilities are staffed 24/7. Please state whether the EMS/GMS system has been updated since the last compliance engagement, including a summary of the update as well as start and completion dates.

State whether your facility(ies) have external electronic communication 1) only within your entity, 2) with other NERC-registered entities, and/or 3) with non-registered entities (i.e., any other third party such as vendors or control facilities).

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

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

Distribution Information

- Entity's Peak Load (MW)
- Entity owns/operates:
 - UFLS Equipment
 - UVLS Equipment

ERCOT Constraint Management Plans (CMPs)

- Mitigation Plans (MPs)
- Remedial Action Plans (RAPs)
- Pre-Contingency Action Plans (PCAPs)
- Temporary Outage Action Plans (TOAPs)

Event History

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

- Cyber Events
- Physical Events
- Operational Events

Generation Information

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

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)

Misoperations

Identify all misoperations the entity has reported over the past five years.

Organizational Structure and Affiliates

Describe the entity's organizational structure. Include the parent company and any affiliated entities under a common corporate umbrella. Describe any procedures or protocols that are common across the affiliated entities.

Performance Data – GADS and TADS

Generation Availability Data System (GADS)

- Equivalent Forced Outage Rate Demand (EFORd) for each generating unit for the past five years.

Transmission Availability Data System (TADS)

- Element Total Automatic Frequency (TOF) for the past five years.
- Element Sustained Outage Frequency (SOF) for the past five years.

Planned Facilities

State whether the entity plans to build transmission and/or generation facilities within the next three years. Briefly describe these facilities, including their planned kV or MVA ratings.

Situational Awareness

Describe what tools the entity uses for situational awareness such as Real-Time contingency Analysis (RTCA), State Estimator (SE), or Voltage Security Assessment Tool (VSAT).

Standard-Specific Questions for Compliance Oversight Planning

BAL-001-TRE-2

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

PER-005-2

- State whether the entity is an applicable Transmission Owner or Generator Operator subject to PER-005-2 as described in Section 4.1.4.1 or 4.1.5.1 of the standard.

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 circuits applicable to PRC-023-4?

Technical Feasibility Exceptions (TFEs)

List all TFEs approved by Texas RE.

Transmission Information

- Entity owns/operates:
 - Miles of 69 kV* _____
 - Miles of 138 kV _____
 - Miles of 345 kV _____
 - Other lines (such as DC ties) _____

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

Workforce Capability

State the percentage of the entity's operations personnel who have at least 5 years of electric system operations experience. Include operations personnel at applicable control facilities and backup control facilities, whether inside or outside the ERCOT Interconnection, as well as local operations personnel located at the facilities.