**Self-Logging Program Participation Request**

# **Entity Information**

**Entity Name:**

**NCR Number:** NCR

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

**Name:**

**Title:**

**Address:**

**Telephone:**

**Email:**

**Eligibility Considerations**

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

When determining the eligibility for self-logging privileges, Texas RE will conduct an overall assessment of the Entity’s:

1. processes and controls in place to identify, assess, and correct noncompliance;
2. compliance history;
3. history of self-assessment and self-reporting;
4. history of timely and thorough mitigation;
5. level of cooperation with Texas RE during enforcement actions and compliance monitoring activities;
6. the quality of an 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 internal controls, including programs, processes, and procedures the Entity has in place to:

1. identify noncompliance and risks to reliability in general;
2. assess the risk to the Bulk Electric System posed by the identified issues; and
3. implement and track corrective actions.

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

Please complete the evaluation questionnaire below and submit it, along with any attachments, through Texas RE’s extranet site and notify Enforcement at [enforcement@texasre.org](mailto:enforcement@texasre.org) with the subject line “Request for Self-Log Evaluation – [Registered Entity Name].”

To upload the documents to the extranet site, use your existing username and password, then go to activity folder **Enforcement\_ENTITY ACRONYM**, then to the **ToTexasRE** folder. If an Enforcement activity folder or user access has not been created, please send a request to Enforcement.

Upon receiving the Self-Logging Program Participation Request, Texas RE will contact the Entity regarding any additional information needed to complete the review. Once Texas RE receives all the necessary information, we will begin the process of evaluating whether the Entity is eligible to self-log. Following completion of the evaluation, Texas RE will provide written notice regarding whether the Entity qualifies for self-logging and an explanation of the factors affecting Texas RE’s determination. Texas RE may also limit the Entity’s self-logging activities to certain categories of Reliability Standards or identified Reliability Standard requirements.

**Self-Logging Questionnaire**

**A. Methodology to Evaluate Processes to Identify Noncompliance**

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

These processes include:

* 1. identifying and communicating possible noncompliance with Reliability Standards.
  2. investigating the facts surrounding an identified possible noncompliance.
  3. if the Entity 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 the Entity investigates the facts surrounding an identified possible noncompliance.

Response:

1. Please explain how the Entity assesses the risk to reliability posed by a noncompliance.

These processes include:

1. assessing risk to reliability posed by a particular noncompliance; and
2. communicating reliability risk of possible noncompliance to individuals affected by the possible noncompliance.

Response:

1. Describe how the Entity’s assessment of risk to reliability impacts its response to the noncompliance.

Response:

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

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

Response:

1. Please explain how the Entity ensures timely and thorough communication is provided to the employees responsible for mitigation and to Texas RE.

Response:

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

Response:

1. Please state whether the Entity has a process to review and correct deficiencies in processes and procedures that have led to noncompliance.

Response:

1. Please explain how the Entity demonstrates it has effective processes in place for addressing/mitigating identified causes of noncompliance (cause of discrete noncompliance and prevention of recurrence).

Response:

1. Please explain how the Entity assesses the effectiveness of its mitigation activities.

Response: