



Align Compliance Walkthrough

Eric Newnam
O&P Compliance Engineer, Sr.

Tammy Thomas
**Align Program Coordinator and
Enforcement Analyst**

Antitrust Admonition

Texas Reliability Entity, Inc. (Texas RE) strictly prohibits persons participating in Texas RE activities from using their participation as a forum for engaging in practices or communications that violate antitrust laws. Texas RE has approved antitrust guidelines available on its website. If you believe that antitrust laws have been violated at a Texas RE meeting, or if you have any questions about the antitrust guidelines, please contact the Texas RE General Counsel.

Notice of this meeting was posted on the Texas RE website and this meeting is being held in public. Participants should keep in mind that the listening audience may include members of the press, representatives from various governmental authorities, and industry stakeholders.



Upcoming Sessions

June 3 – History and Introduction to Texas RE

June 4 – Registration & Certification

June 5 – Intro to Align

June 6 – Risk-Based Approach to Reliability

June 10 – Foundations of CIP Programs

June 11 – Foundations of O&P Programs

June 12 – Navigating Noncompliance Resolutions

June 13 – NERC Data Collection, Events Analysis, and Guidelines

June 17 – Reliability 201: CIP

June 18 – Reliability 201: O&P

June 24 – Reliability 201: CMEP Feedback Loop

June 25 – Reliability 201: Compliance in Align Walkthrough

June 25 – Reliability 201: Reliability Services

JUNE 2024

SUN	MON	TUE	WED	THU	FRI	SAT
						1
2	3 	4 	5 	6 	7	8
9	10 	11 	12 	13 	14	15
16	17 	18 	19 	20	21	22
23	24 	25 	26 	27 	28	29
30						





TEXAS RE
Ensuring electric reliability for Texans

Cyber and Physical Security Workshop

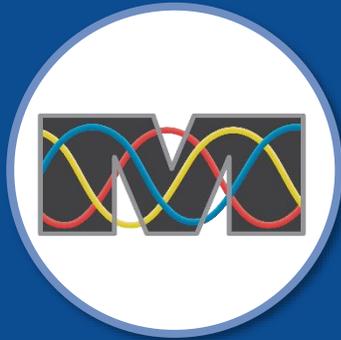
August 28, 2024

Upcoming ERO Enterprise Events



May - July, 2024

GADS Wind & Solar
Template and
Application Training



June 27, 2024

Regional Summer
Assessment Webinar



July 16-18, 2024

Physical Security
Workshop



August 13-15, 2024

Power Systems Security
Conference



#TXRE

Joining as a participant?

Enter event code

Join an existing event

The ultimate Q&A and polling platform

Give a voice to your audience, wherever they are.

Create your own Slido event

[Watch a video](#) or [Schedule a demo](#)





Align Compliance Walkthroughs

Eric Newnam
O&P Compliance Engineer, Sr.

Tammy Thomas
**Align Program Coordinator and
Enforcement Analyst**

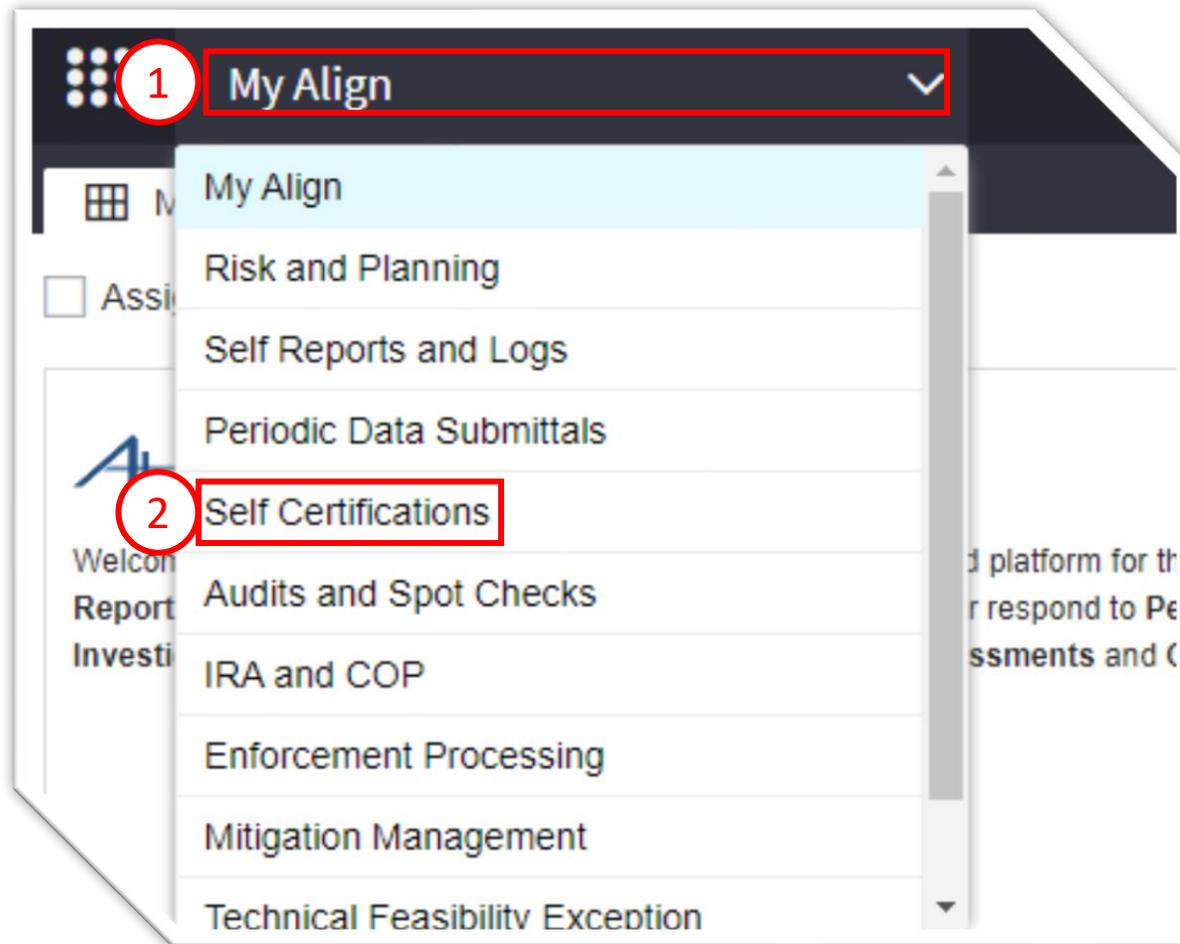
Agenda



Agenda



Self-Certifications



Navigation Steps

1. Click Dropdown Arrow
2. Select Self-Certifications

Self-Certifications

Self-Certifications Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

MY ACTIVE SELF-CERTS

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	DUE DATE	PROGRESS	CREATED BY	MODIFIED BY	MODIFIED ON
SC2024-000007	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	2024-09-23 TEST GO OP Self-Certification	BAL-001-TRE-2 R6., FAC-002-3 R2., MOD-026-1 R2.	05/22/2023 - 05/22/2024	24 Jun 2024 25 days to complete	NOT STARTED	ImportUser	TRE Editor 2	05/22/2024

Self-Certifications Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

MY SUBMITTED SELF-CERTS

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/DUE DATE	SUBMITTED BY	SELF-CERT STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
SC2023-000022	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Question test 09.29.2023	CIP-003-8 R1.	08/29/2023 - 09/29/2023	30 May 2024 29 Oct 2023	NCR9999999 TX Editor 1	In review	ImportUser	NCR9999999 TX Editor 1	05/30/2024

Self-Certifications Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

MY COMPLETED SELF-CERTS

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/DUE DATE	SELF-CERT STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
SC2021-000097	NCR9999999 - TXRE - Training Enerav Corp. TXRE in TXRE	7/30/2021 Self-Cert - Training Energy Corp 1	FAC-003-4 R1.	04/01/2021 - 06/30/2021	03 Aug 2021 15 Sep 2021	Closed with no PNC	ImportUser	TRE Editor 1	08/03/2021

Self-Certifications Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

RFES RELATED TO SELF-CERTS

RFE ID	RELATED SELF-CE...	REGISTRATION	ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW DUE DATE	STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
RFE-000025	SC2021-000097	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	08/31/2021	09/15/2021	09/15/2021	Approved	NCR9999999TX Editor 1	Admin Admin	12/08/2023



Self-Certification: Active Self-Cert Requests

Self-Certifications

Align For Entities

NCR9999999 TX Editor 1

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

MY ACTIVE SELF-CERTS

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	DUE DATE	PROGRESS	CREATED BY	MODIFIED BY	MODIFIED ON
<input type="checkbox"/> SC2024-000007	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	2024-09-23 TEST GO OP Self-Certification	BAL-001-TRE-2 R6., FAC-002-3 R2., MOD-026-1 R2.	05/22/2023 - 05/22/2024	24 Jun 2024 25 days to complete	NOT STARTED	ImportUser	TRE Editor 2	05/22/2024

Self-Certifications

Active Self-Cert Requests | Self-Cert

MY ACTIVE SELF-CERTS

UNIQUE ID	REGISTRATION
<input type="checkbox"/> SC2024-000007	NCR9999999 Corp. TXRE



Self-Certification: General Section

SC2024-000007

General

Self-Cert ID SC2024-000007

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE INTREG/RE/LRE TXRE Requested by CEA TXRE

Self-Cert Name 2024-09-23 TEST GO OP Self-Certification Compliance Year 2024

Instructions Texas RE is conducting a Self-Certification beginning September 23, 2024. The Registered Entity or Coordinated Oversight Group you represent is expected to complete the Self-Certification materials within Align and provide evidence through the ERO Secure Evidence Locker (SEL) to support responses no later than June 24, 2024. Texas RE performs a review of the Self-Certification information and evidence submitted by the Registered Entity or Coordinated Oversight Group for completeness. If necessary, Texas RE will request additional information. Periodic communication regarding the status of the Self-Certification will continue until notification by Texas RE through a Self-Certification Closure Letter.

The documents in the list below may be included or referenced in the Align notification depending upon scope and type of engagement (e.g., Compliance Audit, Spot Check, or Self-Certification).

Align (Data Request):

PRC-005 Spreadsheet (Scope dependent)
Detailed data request workbook for PRC-005-8 maintenance activities for Protection System component types and the maximum allowable maintenance intervals. Must be uploaded within the SEL.

Notices includes pre-engagement instructions within Align and may reference documents which Registered Entities are required to complete and return to Texas R.

Please note certain documents require completion and returned by their respective due dates noted within Align or by the engagement team lead.

Please ensure staff participating in this Self-Certification have proper permissions to access Align to participate in the Self-Certification process and the SEL to upload evidence. Contact the "Point of Contact" listed within Align if you have any questions.

Submit on or after May 22, 2024

Monitoring Period Start May 22, 2023

But no later than June 24, 2024

Monitoring Period End May 22, 2024

Distribution Point of Contact TRE Editor 1; TRE Editor 2

Self-Cert Point of Contact TRE Editor 2

Originally Created By TRE Editor 2



Self-Certification: Questions

Questions

Instructions To create a new Assignment click **Click to Assign** below. Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

SELF-CERT ASSIGNMENTS

SUBJECT	REVISION	STATUS
BAL-001-TRE-2 R6. Click to Assign	Not Assigned	Not Assigned
FAC-002-3 R2. Click to Assign	Not Assigned	Not Assigned
*OD-026-1 R2. Click to Assign	Not Assigned	Not Assigned

SUBJECT

BAL-001-TRE-2 R6.
[Assignment Finalization Incomplete - Click here to Finalize](#)

AS-24-0000562

Assignment

Instructions Assignment must have only **One** Person assigned. You must have at least **One** Requirement populated. To submit the Assessment, select **Assign** in the **Action** field and click the **Save** button.

Persons	Self-Cert Scope
<input type="checkbox"/> ASSIGNEE <input checked="" type="checkbox"/> NCR9999999 TX Editor 1	<input type="checkbox"/> REQUIREMENT <input checked="" type="checkbox"/> BAL-001-TRE-2 R6.

Action

Action Assign

-- None --

None

Assign

Update Close

Navigation Steps

1. Click to Assign
2. Click here to Finalize
3. Check box next to Assignee and Requirement
4. Select Assign
5. Click Update



Self-Certification: Questions

Questions

Instructions To create a new Assignment click **Click to Assign** below. Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

SELF-CERT ASSIGNMENTS

SUBJECT	REVISION	STATUS
BAL-001-TRE-2 R6. Assign Again Assigned to you (NCR9999999 TX Editor 1) Click here to	Initial Response	NEW

SC2024-000007 - AS-24-00000562 - NCR9999999 - TXRE - Training Energy

Entity

Section BAL-001-TRE-2 R6.

2 Please indicate your response for this requirement:

Please provide any comments you might have related to this Requirement here:

3

Compliant

Non-Compliant

Not-Applicable

Do Not Own

Delegate Section

4

Navigation Steps

1. Click Here to Answer
2. Select Response to Requirement
3. Add Narrative
4. Click Save Draft or Save



Self-Certification: Findings

Findings

Note: The red flag indicates there is an Active Attestation.

CREATE FINDING

REGISTRATION	REQUIREMENT	CREATE F...
NCR9999999 - TXRE - Training Energy Corp. TXR...	BAL-001-TRE-2	+
NCR9999999 - TXRE - Training Energy Corp. TXR...	AC-002-3 R2.	+
NCR9999999 - TXRE - Training Energy Corp. TXR...	MOD-026 R2.	+

RELATED FINDINGS

ID	REGIST...	REQUIR...	ST...	ST...	MO...
2022-00026	NCR9999999 - TXRE - ...	BAL-001-TRE-2 R6.	Draft	03/04/21	Self-Report

Page 1 of 1



Self-Certification: Create Attestation

Create Attestation

CREATE ATTESTATION

ATTESTATION SCOPE	FUNCT	CREATE ATTEST...
BAL-001-TRE-2 R6.	G	-
BAL-001-TRE-2 R6.1.	G	-
BAL-001-TRE-2 R6.2.	GO	+
BAL-001-TRE-2 R6.3.	O	-
FAC-002-3 R2.	GO	+

ATTESTATIONS OVERVIEW

ATTESTATION ID	ATTESTATION SCOPE	EFFECTIVE DATE	RENEWAL DATE	STATUS
AE / 000040	BAL-001-TRE-2 R6.	07/29/2021		Request

Page 1 of 1
Page 1 of 1



Self-Certification: Request an Extension

Request an Extension

Click on the + sign to add a new Request for Extension

LABEL	REQUEST DATE	SOURCE DUE DATE	REGION APPROVE DATE	REASON FOR REQUEST	REGION COMMENT	REQUIREMENTS	STATUS
-------	--------------	-----------------	---------------------	--------------------	----------------	--------------	--------

Create Request for Extension

Request for Extension

Source * NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE
Registration

Parent Source * SC2024-000007

Standard / Requirements / Part BAL-001-TRE-2 R6. * FAC-002-3 R2. * MOD-026-1 R2. *

Requested New Due Date

Reason for extension

Action

Action Send
Update will send this RFE to the CEA.

Update Close

Navigation Steps

- 1. Click the +
- 2. Ensure Correct Scope
- 3. Select New Due Date
- 4. Add Reason for Extension
- 5. Click Update



Self-Certification: Evidence

Evidence

Secure Evidence Locker Instructions

Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

For evidence related to FAC-008-5 R6. use: TXRE|NCR9999999 - TXRE|SC2023-000018|SC2023-000018|FAC-008-5|R6.|

For evidence related to CIP-003-8 R4. use: TXRE|NCR9999999 - TXRE|SC2023-000018|SC2023-000018|CIP-003-8|R4.|

For evidence related to CIP-003-8 R2. use: TXRE|NCR9999999 - TXRE|SC2023-000018|SC2023-000018|CIP-003-8|R2.|

If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.



Self-Certification: Action

Action

Instructions When all questions are answered and this Self-Certification is ready for CEA's review, submit this Self-Certification by selecting the "Submit for CEA Review" Action option and clicking "Update" below.

1 **Action**

Submit for CEA Review

-- None --

No Action

Submit for CEA Review

Action

Instructions When all questions are answered and this Self-Certification is ready for CEA's review, submit this Self-Certification by selecting the "Submit for CEA Review" Action option and clicking "Update" below.

Action Submit for CEA Review

2 **Update** Close



Self-Certification: Self-Cert Submittals

Self-Certifications											Align For Entities					
Active Self-Cert Requests											Self-Cert Submittals	Completed Self-Certs	Self-Cert RFEs	NCR9999999 TX Editor 1		
MY SUBMITTED SELF-CERTS																
	UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/DUE DATE	SUBMITTED BY	SELF-CERT STATUS	CREATED BY	MODIFIED BY	MODIFIED ON					
<input type="checkbox"/>	SC2023-000022	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Question test 09.29.2023	CIP-003-8 R1.	08/29/2023 - 09/29/2023	30 May 2024 29 Oct 2023	NCR9999999 TX Editor 1	In review	ImportUser	NCR9999999 TX Editor 1	05/30/2024					

Self-Certifications	
Active Self-Cert Requests	Self-Cert Subr
MY SUBMITTED SELF-CERTS	
UNIQUE ID	REGISTRATION
SC2023-000022	NCR9999999 - TXRE - Corp. TXRE in TXRE



Self-Certification: Request for Information

Request an Extension

Request for Information

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMISSION DATE	APPLICABILITY	STATUS
RF24-010178	TRE Editor 2	TXRE Editor 1	06/14/2024	07/04/2024		CIP-003-8 R1.	Awaiting Response from Entity

Page 1 of 1

Evidence



Self-Certification: Request for Information

SC2023-000022 | RF24-010178

Request for Information

Parent Source	SC2023-000022	Respondent Comments*	42
Applicable Standard/Requirement	CIP-003-8 R1.		
Related Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE		
Requestor	TRE Editor 2		
Requestor Comments	How many Vogons does it take to change a lightbulb?		
Requestor Attachments			
Request Sent On	June 14, 2024		
Response Due By	July 4, 2024		

Note: You cannot proceed in the workflow until the Respondent Comments are filled in. If submitted to the SEL, please check the box for Upload to SEL.

Upload to SEL

Evidence

Secure Evidence Locker Instructions: Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

For evidence related to CIP-003-8 R1, use: TXRE|NCR9999999 - TXRE|SC2023-000022|SC2023-000022,RF24-010178|CIP-003-8|R1.

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

Action

Action: Respond
Save and Action will acknowledge receipt of this Request and send back any response you have provided. Save will store any response you have provided, but will neither acknowledge receipt of this Request nor send any response.

[click here to print](#)

RF24-010178 FORM - SELF-CERT REVIEW

Save and Action Save Close

Navigation Steps

1. Requestor Comments (question)
2. Respondent Comments (answer)
3. Upload to SEL
4. Save (to continue working later)
5. Save and Action (submit)

Self-Certifications: Completed Self-Certs

Self-Certifications

Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | **Completed Self-Certs** | Self-Cert RFES

NCR9999999 TX Editor 1

MY COMPLETED SELF-CERTS

UNIQUE ID	REGISTRATION	SELF-CERT NAME	STANDARD AND REQUIREMENT	MONITORING PERIOD	SUBMITTAL/DUE DATE	SELF-CERT STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
<input type="checkbox"/> SC2021-000097	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	7/30/2021 Self Cert - Training Energy Corp 1	FAC-003-4 R1.	04/01/2021 - 06/30/2021	03 Aug 2021 15 Sep 2021	Closed with no PNC	ImportUser	TRE Editor 1	08/03/2021

Self-Certifications

Active Self-Cert Requests | Self-Cert S

MY COMPLETED SELF-CERTS

UNIQUE ID	REGISTRATION
<input type="checkbox"/> SC2021-000097	NCR99999999 - TXI Energy Corp. TXRI



Self-Certification: Review Comments

Review Comments

Assigned Reviewer TXRE Editor 2

Region Comment June 14, 2024

Training Energy Corp. TXRE
TXRE Editor 1
O&P Compliance Engineer, Sr.
8000 Metropolis Drive
Building A, Suite 300
Austin, TX 78744

Dear TXRE Editor 1:

Texas Reliability Entity, Inc. (Texas RE) conducted a Self-Certification for the functions and dates listed within Align. The Self-Certification team appreciates the time and effort that were devoted to making sure that factual evidence and documentation were provided for the purposes of this Self-Certification.

Texas RE has completed its review of the facts and evidence presented. Based on the evidence provided no issues, concerns, or findings were noted for the Reliability Standard(s) and applicable Requirement(s) included in the scope of this Self-Certification engagement.

Registered Entities shall follow the data retention requirements for the Reliability Standard Requirement within the scope of this Self-Certification unless otherwise directed.

If there are any questions regarding this letter, please contact Texas RE.

Again, Texas RE appreciates the hard work and preparation your team did for this Self-Certification engagement.

Thank you for your cooperation,

TexasRE Management

Region Response Closed with no PNC



Self-Certification: Findings

Findings

RELATED FINDINGS

ID	REGISTRATION	REQUIREMENT	STATUS	START D...	MONITO...
2022-00027 Type: Potential Non-Compliance	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	CIP-003-8 R1.	PNC Review	01/01/2022	Audit

Page 1 of 1

2022-50001-P

PNC 2022-50001
CEA or LRE TXRE

General Information

Monitoring Method Audit

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

Applicable Requirement CIP-003-8 R1.

Applicable Part(s) CIP-003-8 R1.1.9.; CIP-003-8 R1.1.8.; CIP-003-8 R1.1.7.; CIP-003-8 R1.1.6.; CIP-003-8 R1.2.4.; CIP-003-8 R1.2.3.; CIP-003-8 R1.2.2.; CIP-003-8 R1.2.1.; CIP-003-8 R1.2.6.; CIP-003-8 R1.2.5.; CIP-003-8 R1.2.; CIP-003-8 R1.1.; CIP-003-8 R1.1.1.; CIP-003-8 R1.1.5.; CIP-003-8 R1.1.4.; CIP-003-8 R1.1.3.; CIP-003-8 R1.1.2.

Applicable Reliability Function(s) GO

Region - Jurisdiction(s) in which the Potential Noncompliance occurred TXRE-US

Other Region-Jurisdictions where you are reporting this Potential Noncompliance

Additional Coordinated Oversight Registrations Impacted

Discovery and Description

Basis for Dates TXRE Editor 2, MAR/10/2022 16:29:41

Discovery Date March 10, 2022

Description of how the noncompliance was identified During an Audit

Detailed Description of noncompliance did not provide sufficient evidence

Actual Start Date January 1, 2022

Close



Self-Certification: Related Issues

Related Issues

PARENT NAME	ISSUE TYPE	ISSUE ID	REGISTRATION	STANDARD / REQUIREMENTS	ISSUE STATUS
SC2023-000020	Area of Concern	AC24-00045	NCR9999999 - TXRE - Training Energy Corp. TX...	CIP-003-8 R2.	Final
SC2023-000020	Positive Observations	PO24-00035	NCR9999999 - TXRE - Training Energy Corp. TX...	CIP-003-8 R2.	Final
SC2023-000020	Recommendations	RC24-00026	NCR9999999 - TXRE - Training Energy Corp. TX...	CIP-003-8 R2.	Final

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AC24-00045

General

Name	Area of Concern	ID	AC24-00045
Description	Area of Concern		
Related Parent	SC2023-000020	Created On	June 14, 2024
		Prepared By	TRE Editor 2
Registrations	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Status	Final
Standards and Requirements	CIP-003-8 R2.	No Additional Review Needed	Yes

Comments

Reviewer's Comments	
Follow-up Comments	
Reviewed By	Reviewed On

FORM-02_698_AOC_SC

Close



Self-Certification: Self-Cert RFEs

Self-Certifications

Align For Entities

Active Self-Cert Requests | Self-Cert Submittals | Completed Self-Certs | Self-Cert RFEs

NCR9999999 TX Editor 1

RFES RELATED TO SELF-CERTS

RFE ID	RELATED SELF-CE...	REGISTRATION	ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW DUE DATE	STATUS	CREATED BY	MODIFIED BY	MODIFIED ON
RFE-000025	SC2021-000097	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	08/31/2021	09/15/2021	09/15/2021	Approved	NCR9999999TX Editor 1	Admin Admin	12/08/2023

Self-Certifications

Active Self-Cert Requests | Self-Cert S...

RFES RELATED TO SELF-CERTS

RFE ID	RELATED SELF-CE...	RE
RFE-000025	SC2021-000097	NC



Self-Certification: Self-Cert RFEs

SC2021-000097 | RFE-000025

Request for Extension

Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE
Parent Source	SC2021-000097
Standard / Requirement /Parts	FAC-003-4 R1.
Original Due Date	August 31, 2021
Requested Due Date*	September 15, 2021
Reason for Extension*	Our self-cert department came down with the measles.

Response on Request for Extension

Response	Approved
New Due Date	September 15, 2021

FORM: RE_RFE_View_Request

Close





Audits and Spot Checks: “Dashboard”

1 My Align

2 Audits and Spot Checks

My Align

Risk and Planning

Self Reports and Logs

Periodic Data Submittals

Self Certifications

Investment platform for the ERO Enterprise Compliance
to respond to Periodic Data Submittals, Self
Assessments and Compliance Oversight Plans

IRA and COP

Enforcement Processing

Mitigation Management

Technical Feasibility Exception

Navigation Steps

1. Click Dropdown Arrow
2. Select Audits and Spot checks
3. Click the Audit Name to open

3

Audits and Spot Checks

Align For Entities

Monitoring Engagement Status

NCR9999999 TX Editor 1

MONITORING ENGAGEMENTS

AUDIT NAME	TYPE NAME	AUDIT STATUS	LEAD	PRIMARY	MODIFIED BY	MODIFIED ON
ME22-00063	Compliance Audit	In Progress	TXRE Editor 2	Paul Hopson	Admin Admin	05/25/2022
ME22-00044	Compliance Audit	In Progress	TXRE Editor 2	Dennis Glass, Ben Gregson, Jeff Hargis, Eric Newnam, Devin Kitchens	Admin Admin	05/25/2022
ME22-00042	Compliance Audit	In Progress	TXRE Editor 2	Dennis Glass, Ben Gregson, Jeff Hargis, Eric Newnam, Devin Kitchens	Admin Admin	05/25/2022
ME22-00038	Compliance Audit	In Progress	TXRE Editor 2	Dennis Glass, Ben Gregson, Jeff Hargis, Eric Newnam, Devin Kitchens	Admin Admin	05/25/2022



Audits and Spot Checks: Getting Started

ME23-01468

General

Working Papers

ANP

Report

General

Engagement Scope PRC-005-6 R3.

Start Date September 16, 2023

End Date October 2, 2023

Monitoring Period Start Date June 12, 2023

Monitoring Period End Date September 16, 2023

Post Audit Survey <https://www.surveymonkey.com/r/PJS7KDX>



Audits and Spot Checks: ANP

ME23-01468

General Working Papers **ANP** Report

General

ANP Visibility Date June 14, 2024 ANP Deadline Date September 16, 2023

Additional Notes/Instructions

ANP Documents

Audit Notification Letter

Pre-Audit Survey

Registered Entity Comments

FORM-01_Audit_RE_AfterANP

Edit Close



Audits and Spot Checks: ANP

ME23-01468

General
Working Papers
ANP
Report

General

ANP Visibility Date ANP Deadline Date
June 14, 2024 September 16, 2023

Additional Notes/Instructions

ANP Documents

AUDIT DOCUMENT ID	DOCUMENT NAME	DESCRIPTION
AD24-00070	Audit ANL	

Audit Notification Letter

Pre-Audit Survey

Edit
Close

AD24-00070 | Audit ANL

Document 6.90 KB

Name Audit ANL

Description

FORM 01 - View Document

Close



Audits and Spot Checks: ANP

Audit Notification Letter

ANL Info

Registered Entity NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

Compliance Audit Type O&P

Start Date September 16, 2023

End Date October 2, 2023

Monitoring Period Start Date June 12, 2023

Monitoring Period End Date September 16, 2023

Compliance Scope

REGISTRATION	FUNCTION	REGION AND JURISDI...	EFFECTIVE DATE	INACTIVE DATE
NCR9999999 - TXRE - Training Energy Corp....	GO	TXRE-US	06/28/2021	

Audited Functions

NAME

This table is empty

Assigned Resources

AUDIT ROLE	ASSIGNED RESOURCES
Audit Team Lead - CIP	
Audit Team Lead - OP	TXRE Editor 2
Primary - CIP	
Primary - OP	TXRE Editor 1
Member - CIP	
Member - OP	TXRE Editor 1



Audits and Spot Checks: ANP

Important Dates/Deadlines

TASK ID	DESCRIPTION	START DATE	DUE DATE	TASK COMPLETE	COMPLETION DATE
AT24-00077	Entity submits the completed audit...	06/14/2024	07/14/2024 30 days to	No	

AT24-00077

Task Name Entity submits the completed audit package.

Description Entity submits the completed audit package. This includes but not limited to:

- Narrative(s) in Align under the "Working Papers" tab.
- "Evidence of Compliance" section in Align under the "Working Papers" tab.
- "Registered Entity Comments" section in Align under the "ANP" tab.
- Responses to ANP RFIs in Align.
- Corresponding evidence files for the Narrative and ANP RFIs in the SEL.

Start Date June 14, 2024

Due Date July 14, 2024

Task Complete

FORM 02_RE_Edit_Task

Update **Close**



Audits and Spot Checks: ANP

Instructions Submit all evidence, attachments, and responses to data requests above via the ERO Secure Evidence Locker (SEL) <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

For evidence related to NCR9999999 - TXRE use: TXRE|NCR9999999 - TXRE|ME23-01468|ME23-01468|

For evidence related to PRC-005-6 R3. use: TXRE|NCR9999999 - TXRE|ME23-01468|ME23-01468|PRC-005-6|R3.|

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section below.



Audits and Spot Checks: ANP

Registered Entity Comments

I certify that all information provided is accurate and complete No

Registered Entity Comments

Name

FORM 01_Audit_RE_AltorANP

1

1 Selecting 'Yes' and clicking update will submit the ANP and you will not be able to make any changes.

Registered Entity Comments

I certify that all information provided is accurate and complete

Registered Entity Comments

Name

FORM 01_Audit_RE_AltorANP

2

3

1 Selecting 'Yes' and clicking update will submit the ANP and you will not be able to make any changes.

Navigation Steps

1. Click Edit
2. Certify Accuracy
3. Enter Comments
4. Click Update



Audits and Spot Checks: Working Papers

ME23-01468

General Working Papers ANP Report

Working Papers

SUBJECT	REGISTERED ENTITY STATUS	CEA ASSESSMENT STATUS
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE		
PRC-005-6 R3. for NCR9999999 - Align Training - TXRE	Not Submitted	Not Started



Audits and Spot Checks: Working Papers

Audit Execution

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

CIP-003-8 R1.

Compliance Narrative:
Provide a brief explanation, in your own words, of how you comply with this Requirement or Part. References to supplied evidence, including links to the appropriate page, are recommended.

Registered Entity Evidence of Compliance

File Name	Document Title	Revision or Version	Document Date	Relevant Page(s) or Section(s)	Description of Applicability of Document

Report Narrative (CEA)

Issue

Notes

Submit for Review Save Draft Close

Navigation Steps

- 1. Enter Narrative
- 2. Complete the Evidence Table
- 3. Save Draft or Submit



Audits and Spot Checks: General

ME23-01468

General

Working Papers

ANP

Report

General

Engagement Scope	PRC-005-6 R3.
Start Date	September 16, 2023
End Date	October 2, 2023
Monitoring Period Start Date	June 12, 2023
Monitoring Period End Date	September 16, 2023
Post Audit Survey	https://www.surveymonkey.com/r/PJS7KDX



Audits and Spot Checks: General

The screenshot displays the 'Assigned Resources' section for audit ME23-01468. The interface is annotated with five numbered steps:

- 1**: Click the **Edit** button (highlighted in a red box).
- 2**: Select the **Objection to Audit Team** status from the dropdown menu (highlighted in a red box).
- 3**: Enter the **Justification for Objection** in the text area (highlighted in a red box).
- 4**: Check the **Confirmation for Objection** checkbox (highlighted in a red box).
- 5**: Click the **Update** button (highlighted in a red box).

Navigation Steps

- 1. Click Edit
- 2. Select Objection Status
- 3. Justification for Objection
- 4. Confirm Objection
- 5. Click Update



Audits and Spot Checks: General

Audit Request for Information

ID	CATEGORY	DUE DATE	STATUS	CEA COMMENTS	REGISTRATION COMMENTS
RI24-007655	ANP	07/14/2024	Registered Entity...	For all the entity's components and relays that are part of a protection system for a...	

Page 1 of 1



Audits and Spot Checks: Example RFI Response

ME22-00065 | RI22-000054

Acknowledge Receipt

Instructions: Upon opening this form please check the box below and click on update to acknowledge that you have received the Audit RFI.

1 Acknowledge Receipt of Audit RFI

Request for Information

Requirement(s)	CIP-003-8 R1.	Respondent Comments	2
Requestor	TXRE Editor 2		
Requestor Comments	test		
Requestor Attachments			
Request Sent On	May 19, 2022		
Response Due By	June 18, 2022		

Secure Evidence Locker Instructions

SEL Locker Reference: Submit Evidence or Attachments related to this Self-Cert via [ERO Secure Evidence Locker \(SEL\)](#) with the following reference number: TXRE|NCR9999999 - TXRE|ME22-00065|ME22-00065,RI22-000054|||

If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

Action

Instructions: Selecting 'Submit' within the dropdown below and updating the form will send back your response to the CEA.

3 Action:

4

Navigation Steps

- 1. Check Receipt
- 2. Enter Comments
- 3. Select Action
- 4. Click Update



Audits and Spot Checks: General

Supporting Documents			
Upload Opening Presentation	 Test_doc.txt	4 Bytes	Opening Presentation Date May 9, 2022
Upload Exit Briefing	 Test.txt	4 Bytes	Exit Briefing Date May 9, 2022



Audits and Spot Checks: Report

ME23-01468

General Working Papers ANP **Report**

Reports

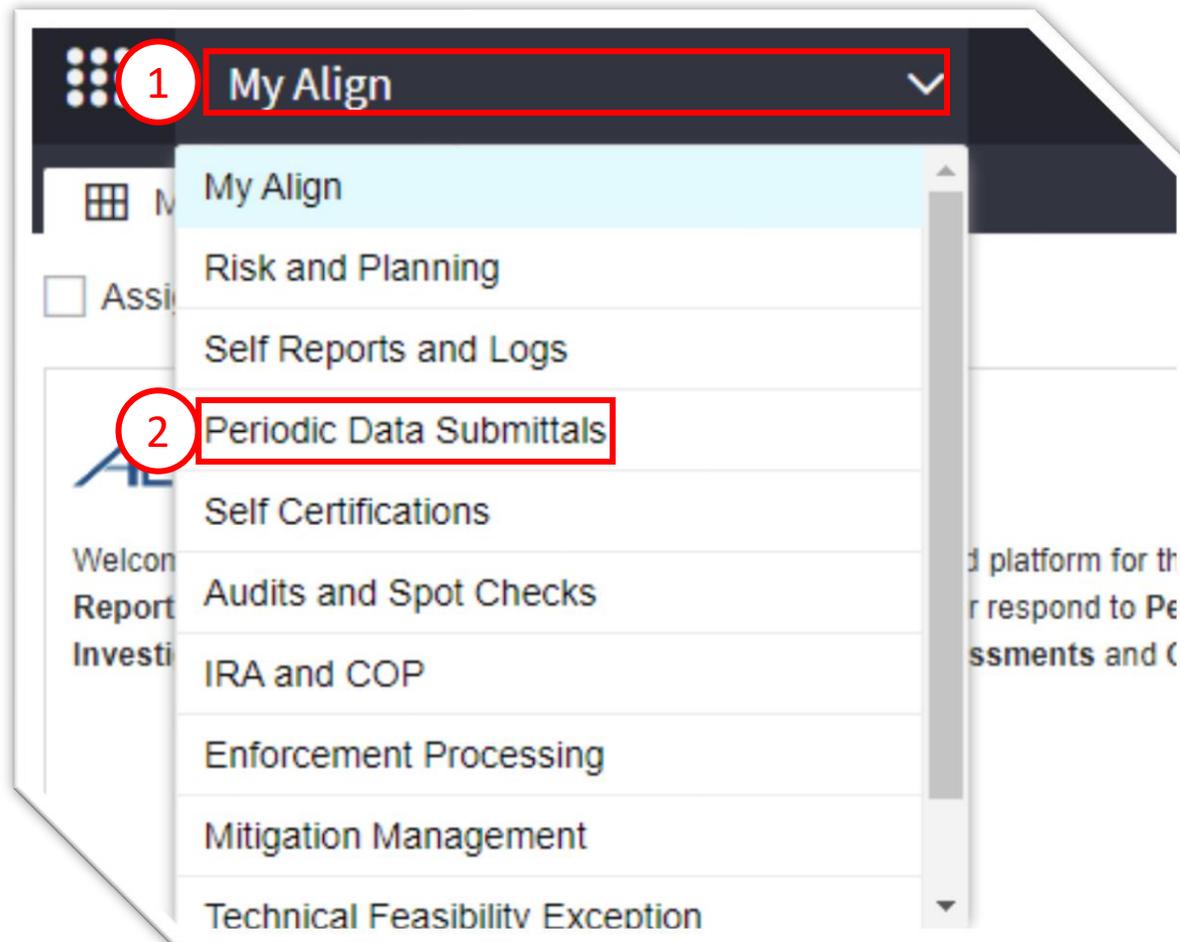
TYPE	DATE SENT

[Edit](#) [Close](#)





Periodic Data Submittals



Navigation Steps

1. Click Dropdown Arrow
2. Select Periodic Data Submittals



Periodic Data Submittals

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFES NCR999999 TX Editor 1

ACTIVE PDS REQUESTS AWAITING MY RESPONSE

<input type="checkbox"/>	PDS ID	TYPE	REPORTING PERIOD	ENTITY	SHORT NAME	DUE DATE	CREATED ...	MODIF... BY	MODIF... ON
<input type="checkbox"/>	PDS2022-000017	PRC-023-4 R5	10/01/2021 - 12/31/2021	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Rochelle TESTING	03/31/2022	ImportUser	Import User	03/03/2022

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFES NCR999999 TX Editor 1

MY SUBMITTED PDS

PDS ID	TYPE	REPORT... PERIOD	ENTITY NAME	SHORT NAME	START DATE	SUBMIT... DATE	DUE DATE	SUBMITTED BY	CREATE...	MODIF... BY	MODIF... ON
PDS2023-0200	PRC-002-2 R12	07/17/2023	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PRC-002-2 R12 PDS FROM ENTITY	08/03/2023	08/03/2023		NCR9999999 TX Editor 1	NCR9999999 TX Editor 1	NCR9999999 TX Editor 1	08/03/2023

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFES NCR999999 TX Editor 1

MY COMPLETED PERIODIC DATA SUBMITTALS

PDS ID	TYPE	REPOR... PERIOD	REGISTRATION	START DATE	DUE DATE	SUBMIT... DATE	SUBMITTED BY	STATUS	CREAT...	MODIF... BY	MODIF... ON
PDS2021-0723	FAC-003-4	04/01/2021	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	07/07/2021	07/28/2021	07/19/2022	NCR9999999 TX Editor 1	Closed Without Dal...	ImportUser	NCR9999999 TX Editor 1	07/19/2022

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFES NCR999999 TX Editor 1

SELECT REGISTRATION AND REQUIREMENT

REGISTRATION	FUNCTIONS	STD AND REQ
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	GO	PRC-002-2 R12 +

INSTRUCTIONS

The ERO Enterprise Periodic Data Submittals Schedule is published each year. Each Region issues annual and quarterly Periodic Data Submittal requests for the standards that require it. A number of standards have

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFES NCR999999 TX Editor 1

RFES RELATED TO PDS

RFE ID	RELATED PDS	REGISTRATION	ORIGINAL DUE DATE	REQUESTED DUE DATE	NEW DUE DATE	STATUS	CREAT...	MODIF... BY	MODIF... ON
RFE-000008	PDS2021-000681	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	08/03/2021	07/14/2021	07/14/2021	Approved	NCR9999999 Editor 1	Admin	12/06/2023



Periodic Data Submittals: Active PDS Requests

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFEs | NCR9999999 TX Editor 1

ACTIVE PDS REQUESTS AWAITING MY RESPONSE

<input type="checkbox"/>	<u>PDS ID</u>	TYPE	REPORTING PERIOD	ENTITY	SHORT NAME	DUE DATE	CREATED ...	MODIF... BY	MODIF... ON
<input type="checkbox"/>	PDS2022-000017	PRC-023-4 R5	10/01/2021 - 12/31/2021	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Rochelle TESTING	03/31/2022	ImportUser	Import User	03/03/2022

PDS2022-000017

General

Unique ID: PDS2022-000017
 PDS for: PRC-023-4 R5 Region/LRE: TXRE
 Registration: NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE
 PDS Name: Rochelle TESTING
 Description of Request: Rochelle TEST
 Submit on or after: March 3, 2022 Monitoring Period Start: October 1, 2021
 But no later than: March 31, 2022 Monitoring Period End: December 31, 2021

Questions

Instructions: To create a new Assignment click [Click to Assign](#) below. Once Assignment is created click [Edit](#) and [Finalize Assignment](#) to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to [Request an Extension](#). Have evidence to upload? Scroll down to the Evidence section.

PDS ASSIGNMENTS

SUBJECT	REVISION	STATUS
PRC-023-4 R5 Assign Again	Initial Response	NEW

Assigned to you (NCR9999999 TX Editor 1) | [Click here to unassign](#)

Page 1 of 1

[Click here to make an Attestation](#)

[Click here to Request an Extension](#)

Evidence

Secure Evidence Locker Instructions: Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/merc-infrastructure> with the following reference number: TXRE(NCR9999999 - TXRE|PDS2022-000017|PDS2022-000017|PRC-023-4|R5.)
 If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.

Action

Instructions: Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action * In Progress

[Update](#) [Close](#)



Periodic Data Submittals: Active PDS Requests

PDS2022-000017			
General			
Unique ID	PDS2022-000017		
PDS for	PRC-023-4 R5.	Region/LRE	TXRE
Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE		
PDS Name	Rochelle TESTING		
Description of Request	Rochelle TEST		
Submit on or after	March 3, 2022	Monitoring Period Start	October 1, 2021
But no later than	March 31, 2022	Monitoring Period End	December 31, 2021



Periodic Data Submittals: Active PDS Requests

Questions

Instructions To create a new Assignment click **Click to Assign** below.
Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment.
Open the questions below and answer each question.
Need more time? Scroll down to **Request an Extension**.
Have evidence to upload? Scroll down to the **Evidence** section.

PDS ASSIGNMENTS

SUBJECT	REVISION	STATUS
PRC-023-4 R5. Assign Again <small>Assigned to you (NCR9999999 TX Editor 1) - Click here to</small>	Initial Response	NEW

PDS2022-000017 - AS-22-00000002 - NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE - PRC...

Transmission Realy Loadability R5

For the submittal period, is PRC-023 R5 applicable (relays set according to Requirement R1 criterion - 12)?

By clicking **Save as Draft**, you will have the ability to save your progress and come back and revise these responses prior to submittal. **When you click Save, your responses will be finalized, and no further changes will be allowed.**

Please note that prior to submitting your responses, you must finalize them as described above.

[Save](#) [Save Draft](#) [Close](#)



Periodic Data Submittals: Active PDS Requests

Click here to make an Attestation

CREATE ATTESTATION

ATTESTATION SCOPE	FUNCTION	CREATE ATTESTATION
PRC-023-4 R5.	GO	+

ATTESTATION OVERVIEW

ATTESTATION ID	ATTESTATION SCOPE	EFFECTIVE...	RENEWAL D...	STATUS
----------------	-------------------	--------------	--------------	--------

Page 1 of 1

Page 0 of 0



Periodic Data Submittals: Active PDS Requests

Create Applicability Exception

General

Source Attestation

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE Function(s) GO

Standard Requirement PRC-023-4 R5 Part

Notes Paragraph Helvetica 14px not applicable

Create Applicability Exception

General

Source Attestation

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE Function(s) GO

Standard Requirement PRC-023-4 R5 Part

Notes Paragraph Helvetica Neue 14px

Address each part of the Applicability section of the scoped Standard and requirement.

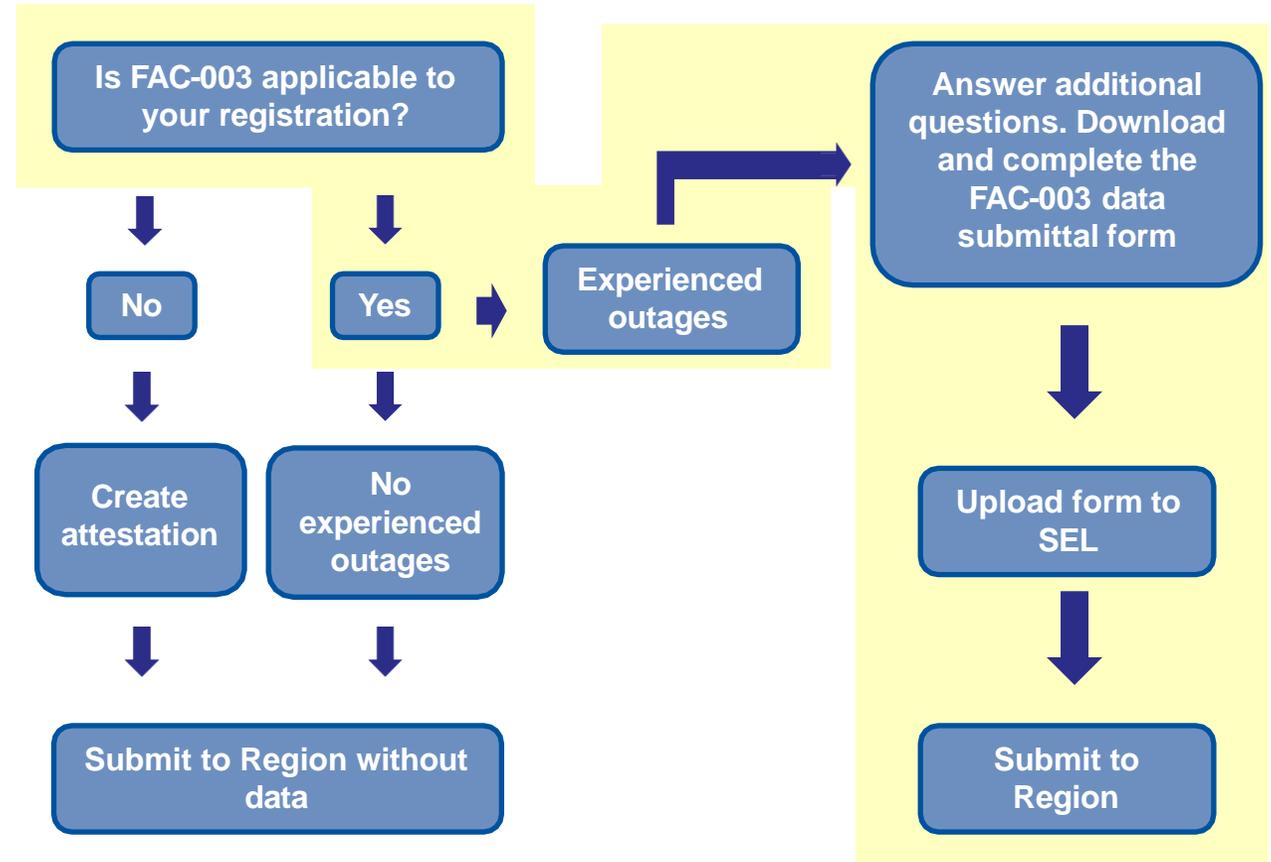
4.1. Functional Entity]

4.1.1 Transmission Owner with load-responsive phase protection systems as described in PRC-023-6 - Attachment A, applied at the terminals of the circuits defined in 4.2.1 (Circuits Subject to Requirements R1 – R5). **Not Registered as a TO**



Periodic Data Submittals: Active PDS Requests

A FAC-003 attestation is **not** needed when declaring no vegetation outages were experienced for the quarter



Periodic Data Submittals: Active PDS Requests

Click here to Request an Extension

Click on the + sign to add a new Request for Extension

1

LABEL	REQUEST DATE	SOURCE DUE DATE	REGION APPROV...	REASON FOR RE...	REGION COMMENT	REQUIREMENTS	STATUS
<p>2</p> <p>Request for Extension</p> <p>Source * NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE Registration</p> <p>Parent Source * SC2024-000007</p> <p>Standard / * BAL-001-TRE-2 R6. Requirements / FAC-002-3 R2. Part MOD-026-1 R2</p> <p>3</p> <p>4</p> <p>5</p> <p>Update Close</p>							

Action

Action Send
Update will send this RFE to the CEA.

FORM: CEA_RFE_Review

Navigation Steps

- 1. Click the +
- 2. Ensure Correct Information
- 3. Select New Due Date
- 4. Add Reason for Extension
- 5. Click Update



Periodic Data Submittals: Active PDS Requests

Evidence

Secure Evidence Locker Instructions

Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

TXRE|NCR9999999 - TXRE|PDS2022-000017|PDS2022-000017|PRC-023-4|R5.|

If the entity is hosting its own SEL, please provide a hyperlink to their locker in the comment section above.



Periodic Data Submittals: Active PDS Requests

Action

Instructions Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action * **In Progress**

- In Progress
- Submit Without Data
- Submit
- Update

Update Close

Action

Instructions Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action * Submit Without Data

Update Close

Action

Instructions Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action * Submit

I have uploaded evidence related for this PDS to the SEL

Update Close



Periodic Data Submittals: PDS Submittals

Periodic Data Submittals Align For Entities

Active PDS Requests | PDS Submittals | Completed PDS Requests | Create PDS | PDS RFEs NCR9999999 TX Editor 1

MY SUBMITTED PDS

PDS ID	TYPE	REPORT... PERIOD	ENTITY NAME	SHORT NAME	START DATE	SUBMITT... DATE	DUE DATE	SUBMITTED BY	CREATE...	MODIFI... BY	MODIFI... ON
PDS2023- 100200	PRC-002-2 R12.	- 07/17/2023	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PRC-002-2 R12 PDS FROM ENTITY	08/03/2023	08/03/2023		NCR9999999 TX Editor 1	NCR9999999 Editor 1	NCR9999999 TX Editor 1	08/03/2023



Periodic Data Submittals: PDS Submittals

PDS2023-000200

Request for Extension

Request for Information

RFI ID	REQUESTOR CONTACT	RESPONDENT CONTACT	REQUEST SENT DATE	REQUEST DUE BY	ENTITY SUBMIS... DATE	APPLICABILITY	STATUS
RF24-010179	TRE Editor 2	TXRE Editor 1	06/24/2024	07/24/2024		PRC-002-2 R12.	Awaiting Response from Entity

Page 1 of 1

CEA Response

CEA Response In review

[Update](#) [Close](#)



Periodic Data Submittals: PDS Submittals

PDS2023-000200 | RF24-010179

Request for Information

Parent Source	PDS2023-000200	
Applicable Standard/Require	PRC-002-2 R12.	Respondent Comments*
Related Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	
Requestor	TRF Editor 2	
Requestor Comments	Do you want ants? Cause this is how you get ants!	
Requestor Attachments		
Request Sent On	June 24, 2024	
Response Due By	July 24, 2024	
		<input type="checkbox"/> Upload to SEL

Note: You cannot proceed in the workflow until the Respondent Comments are filled in. If evidence is submitted to the SEL, please check the box for Upload to SEL.

Evidence

Secure Evidence Locker Instructions

Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number:

For evidence related to PRC-002-2 R12, use: TXRE|NCR9999999 - TXRE|PDS2023-000200|PDS2023-000200,RF24-010179|PRC-002-2|R12.

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

Action

Action Respond

Save and Action will acknowledge receipt of this Request and send back any response you have provided. Save will store any response you have provided, but will neither acknowledge receipt of this Request nor send any response.

[click here to print](#)

Navigation Steps

- 1. Requestor Comments (question)
- 2. Respondent Comments (answer)
- 3. Upload to SEL
- 4. Save (to continue working later)
- 5. Save and Action (submit)



Periodic Data Submittals: Completed PDS Requests

Periodic Data Submittals											Align For Entities	
Active PDS Requests		PDS Submittals		Completed PDS Requests			Create PDS		PDS RFEs		NCR9999999 TX Editor 1	
MY COMPLETED PERIODIC DATA SUBMITTALS												
PDS ID	TYPE	REPOR... PERIOD	REGISTRATION	START DATE	DUE DATE	SUBMIT... DATE	SUBMITTED BY	STATUS	CREAT...	MODIFI... BY	MODIFI... ON	
PDS2021-00723	FAC-003-4	04/01/2021	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	07/07/202	07/28/2021	07/19/2022	NCR9999999 TX Editor 1	Closed Without Dat...	ImportUser	NCR9999999 TX Editor 1	07/19/2022	



Periodic Data Submittals: Completed PDS Requests

Findings

Related Existing Findings

ID	REGISTRATION	REQUIREMENT
2021-00619 Type: Potential Non-Compliance	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	FAC-003-4 R1.
2021-00620 Type: Potential Non-Compliance	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	FAC-003-4 R2.

Page 1 of 1

Related Issues

PARENT NAME	ISSUE TYPE	ISSUE ID	REGISTRATION	STANDARD / REQUIREMENTS	ISSUE STATUS
PDS2023-000200	Area of Concern	AC24-00046	NCR9999999 - TXRE - Training Energy Cor...	PRC-002-2 R12.	Final
PDS2023-000200	Positive Observations	PO24-00036	NCR9999999 - TXRE - Training Energy Cor...	PRC-002-2 R12.	Final
PDS2023-000200	Recommendations	RC24-00027	NCR9999999 - TXRE - Training Energy Cor...	PRC-002-2 R12.	Final

Page 1 of 1

CEA Response

CEA Response Close with PNC



Periodic Data Submittals: Create PDS

Periodic Data Submittals
Align For Entities

Active PDS Requests
PDS Submittals
Completed PDS Requests
Create PDS
PDS RFEs
NCR9999999 TX

SELECT REGISTRATION AND REQUIREMENT

REGISTRATION	FUNCTIONS	STD AND REQ	
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	GO	PRC-002-2 R12.	+
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	GO	TPL-007-4	+

INSTRUCTIONS

The ERO Enterprise Periodic Data Submittals Schedule is published each year. Each Region issues annual and quarterly Periodic Data Submittal requests for the standards that require it. A number of standards have additional data submittals to the CEA specified in their requirements, typically based on the date of occurrence of specific events. On this page, you can find the necessary information to create and submit a Data Submittal for many of these other standards.

To create a Data Submittal, select the entity and associated standard and requirement for which you are reporting, and click the "plus" sign. Fill out the form that appears and save it. It will then display in the drafts below. When you are ready to submit to your region, you can do by selecting that action at the bottom of the form.

NOTE: the panel to the left ONLY lists standards and requirements which are applicable to you, and only those which are associated with event-driven Data Submittals. If the panel is empty, then you may not have an obligation to submit data in this manner (the Annual and Quarterly PDSs will be issued separately by the Region and shown on your other tabs). Contact your Region if you feel that you should be able to create your own PDS reports but are unable to do so.

NOTE: Please do not create and submit a PDS for initial CAP(s) related to TPL-007-4. Submissions are only required for revisions to, and requests for extensions of, existing CAP(s).

Page

of 1

MY SELF-CREATED PERIODIC DATA SUBMITTAL DRAFTS

<input type="checkbox"/>	REGISTRATION	UNIQUE ID	TYPE	SHORT NAME	CREATED BY	MODIFIED BY	MODIFIED ON
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000029	TPL-007-4	eric test	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	04/06/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000028	PRC-002-2 R12.	Eric test	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	04/06/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000008	PRC-002-2 R12.	Rochelle TEST PDS	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	02/03/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000007	TPL-007-4	Rochelle Test on PDS for TLP-007	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	02/03/2022



Periodic Data Submittals

Create Periodic Data Submittal

General

PDS ID <Value will be generated>

Scope of PDS PRC-002-2 R12.

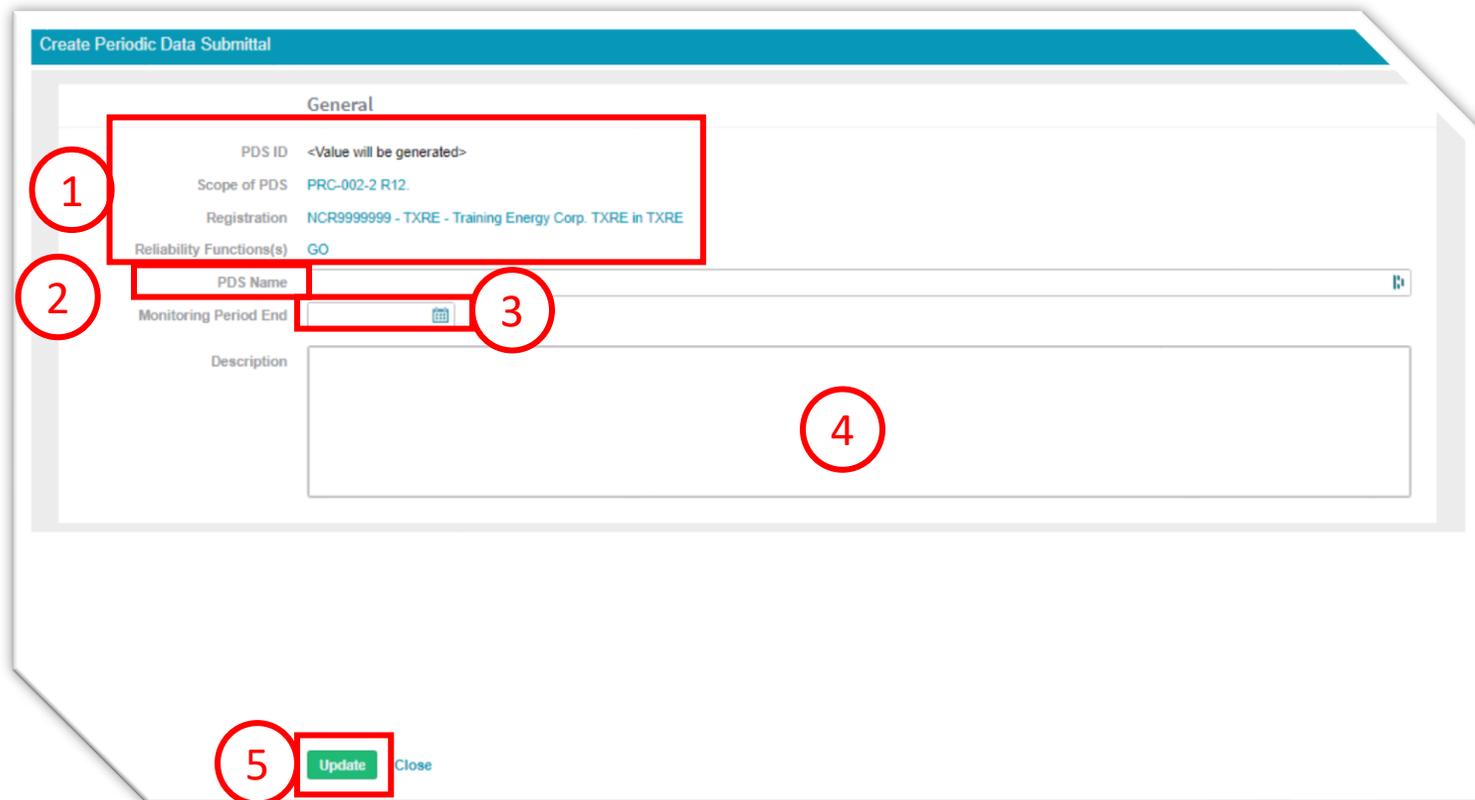
Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

Reliability Functions(s) GO

PDS Name

Monitoring Period End

Description



Navigation Steps

- 1. Ensure the info is correct
- 2. Enter a PDS Name
- 3. Select Monitoring Period End
- 4. Add Description
- 5. Click Update



Periodic Data Submittals: Create PDS

Periodic Data Submittals
Align For Entities

Active PDS Requests
PDS Submittals
Completed PDS Requests
Create PDS
PDS RFEs
NCR9999999 TX

SELECT REGISTRATION AND REQUIREMENT

REGISTRATION	FUNCTIONS	STD AND REQ	
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	GO	PRC-002-2 R12.	+
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	GO	TPL-007-4	+

INSTRUCTIONS

The ERO Enterprise Periodic Data Submittals Schedule is published each year. Each Region issues annual and quarterly Periodic Data Submittal requests for the standards that require it. A number of standards have additional data submittals to the CEA specified in their requirements, typically based on the date of occurrence of specific events. On this page, you can find the necessary information to create and submit a Data Submittal for many of these other standards.

To create a Data Submittal, select the entity and associated standard and requirement for which you are reporting, and click the "plus" sign. Fill out the form that appears and save it. It will then display in the drafts below. When you are ready to submit to your region, you can do by selecting that action at the bottom of the form.

NOTE: the panel to the left ONLY lists standards and requirements which are applicable to you, and only those which are associated with event-driven Data Submittals. If the panel is empty, then you may not have an obligation to submit data in this manner (the Annual and Quarterly PDSs will be issued separately by the Region and shown on your other tabs). Contact your Region if you feel that you should be able to create your own PDS reports but are unable to do so.

NOTE: Please do not create and submit a PDS for initial CAP(s) related to TPL-007-4. Submittals are only required for revisions to, and requests for extensions of, existing CAP(s).

Page

of 1

MY SELF-CREATED PERIODIC DATA SUBMITTAL DRAFTS

<input type="checkbox"/>	REGISTRATION	UNIQUE ID	TYPE	SHORT NAME	CREATED BY	MODIFIED BY	MODIFIED ON
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000029	TPL-007-4	eric test	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	04/06/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000028	PRC-002-2 R12.	Eric test	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	04/06/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000008	PRC-002-2 R12.	Rochelle TEST PDS	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	02/03/2022
<input type="checkbox"/>	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	PDS2022-000007	TPL-007-4	Rochelle Test on PDS for TLP-007	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	02/03/2022



Periodic Data Submittals

PDS2022-000029

Details

Unique ID	PDS2022-000029	Type	TPL-007-4	Region/LRE	TXRE
Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE				
PDS Name	eric test				
Description of Request	TPL-007-4NCR9999999 TX Editor 1, APR/06/2022 10:19:18				

Questions

Instructions: To create a new Assignment click **Click to Assign** below. Once Assignment is created click **Edit and Finalize Assignment** to submit Assessment. Open the questions below and answer each question. Need more time? Scroll down to **Request an Extension**. Have evidence to upload? Scroll down to the **Evidence** section.

PDS ASSIGNMENTS

SUBJECT	REVISION	STATUS
TPL-007-4 Click to Assign	Not Assigned	Not Assigned

Page 1 of 1

Evidence

Secure Evidence Locker Instructions: Submit Evidence or Attachments related to this item via ERO Secure Evidence Locker (SEL) located at <https://eusstg.eroenterprise.com/nerc-infrastructure> with the following reference number: TXRE|NCR9999999 - TXRE|PDS2022-000029|PDS2022-000029|TPL-007-4|

If you are hosting your own SEL, please provide a hyperlink to your locker in the comment section above.

Action

Instructions: Please select "Submit" in the Action option below if you have uploaded PDS form to the SEL. Select "Submit Without Data" in case you have not submitted any data. In case you requested a Request for Extension please leave the status "In Progress". Click "Update" to save the PDS and process it according to the selected Action.

Action: No Action

Update Close

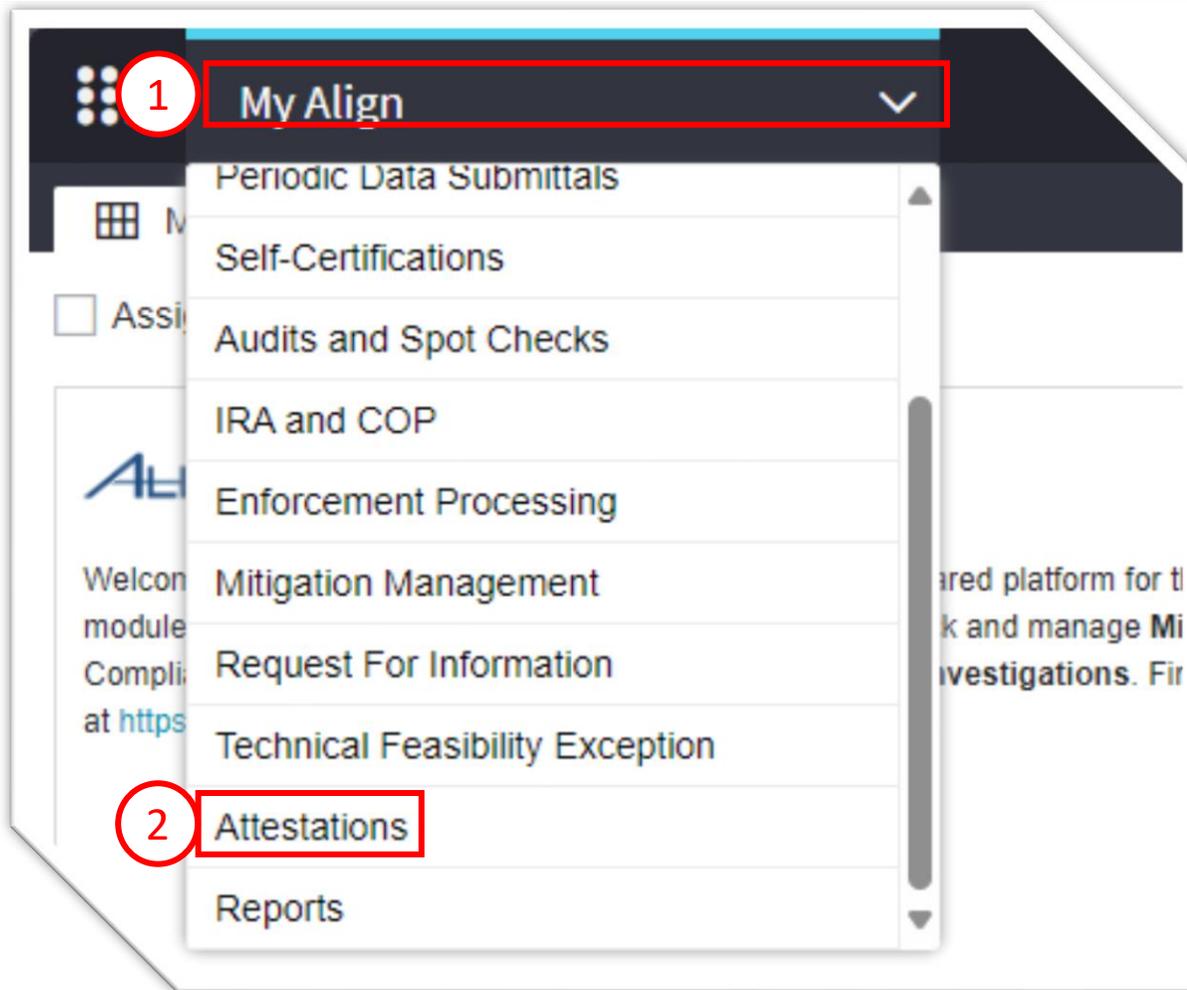
Navigation Steps

1. Complete Assignments
2. Select Action
3. Click Update





Attestations



Navigation Steps

1. Click Dropdown Arrow
2. Select Attestations



Attestations

Attestations Align For Entities

Active Attestations | Attestations in Review | Attestations to Reaffirm | Inactive Attestations

MY APPROVED ACTIVE ATTESTATIONS

REGISTRATION	APPLICABLE TO	EFFECTIVE DATE	RENEWAL DATE	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy Corp. TXRE * TXRE	BAL-001-TRE-2 R6.	07/29/2021	06/24/2025	tre editor 2	TRE Editor 2	06/24/2024

Attestations Align For Entities

Active Attestations | Attestations in Review | Attestations to Reaffirm | Inactive Attestations

MY ATTESTATIONS IN REGION REVIEW

REGISTRATION	APPLICABLE TO	REQUESTED EFFECTIVE DATE	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy * TXRE in TXRE	FAC-003-4 R1.	07/30/2021	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	07/30/2021

Attestations Align For Entities

Active Attestations | Attestations in Review | Attestations to Reaffirm | Inactive Attestations

BULK REAFFIRM

ATTESTATIONS AWAITING MY REAFFIRMATION

REGISTRATION	APPLICABLE TO	RENEWAL D...	REAFFIRM RENEWAL DATE	ACTION	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy * TXRE in TXRE	FAC-003-4	06/30/2022	10/18/2023	REAFFIRM	NCR9999999 TX Editor 1	TRE Editor 1	10/11/2023

Attestations Align For Entities

Active Attestations | Attestations in Review | Attestations to Reaffirm | Inactive Attestations

MY EXPIRED, RESCINDED, AND DISAPPROVED ATTESTATIONS

REGISTRATION	APPLICABLE TO	INACTIVE DATE	REASON	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy Corp. * TXRE in TXRE	FAC-003-4		Disapproved	NCR9999999 TX Editor 1	Rochelle Brown	02/21/2022



Attestations: Active Attestations

The screenshot shows the 'Attestations' interface. The top navigation bar includes 'Attestations' and 'Align For Entities'. Below the navigation bar, there are tabs for 'Active Attestations', 'Attestations in Review', 'Attestations to Reaffirm', and 'Inactive Attestations'. The 'Active Attestations' tab is selected, showing a table of attestations. The first row is highlighted, and a red circle with the number '1' is placed over the 'APPLICABLE TO' column, which contains the value 'BAL-001-TRE-2 R6'.

The detailed view of the attestation (AE / 000040) is shown below the table. It includes sections for 'General', 'Attestation Details', and 'CEA Review'. In the 'Attestation Details' section, the 'Requirement' is 'BAL-001-TRE-2 R6'. In the 'CEA Review' section, the 'Results' are 'Approve' and the 'Reviewed By' is 'TRE Editor 2'. At the bottom of the detailed view, there are four steps highlighted with red circles and boxes:

- Step 1: A red circle with the number '1' is placed over the 'APPLICABLE TO' column in the table.
- Step 2: A red circle with the number '2' is placed over a blue button labeled 'Click to Rescind this Attestation'.
- Step 3: A red circle with the number '3' is placed over a dropdown menu labeled 'Action' with 'No Action' selected.
- Step 4: A red circle with the number '4' is placed over a green button labeled 'Update'.

Navigation Steps

- 1. Click Applicable To Req.
- 2. Click to Rescind
- 3. Select Action
- 4. Click Update



Attestations: Attestations in Review

Attestations						Align For Entities		
Active Attestations						Attestations in Review	Attestations to Reaffirm	Inactive Attestations
MY ATTESTATIONS IN REGION R1						NCR999999 TX		
REGISTRATION	APPLICABLE TO	REQUESTED EFFECTIVE DATE	CREATED BY	MODIFIED BY	MODIFIED ON			
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	FAC-003-4 R1.	07/30/2021	NCR9999999TX Editor 1	NCR9999999 TX Editor 1	07/30/2021			

AE / 000043
✕

General

Attestation ID AE / 000043

Registration NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE

Attestation Details

Function GO

Standard

Requirement FAC-003-4 R1. **Part**

Submit Date July 30, 2021 **Submitted By** NCR9999999 TX Editor 1

Submitter Comments We do not own this equipment

FORM: 02_RE_Attestation_In_Review

Close



Attestations: Attestation to Reaffirm

Attestations		Align For Entities					
Active Attestations	Attestations in Review	Attestations to Reaffirm	Inactive Attestations				
BULK REAFFIRM							
ATTESTATIONS AWAITING MY REAFFIRMATION							
REGISTRATION	APPLICABLE TO	RENEWAL D...	REAFFIRM RENEWAL	ACTION	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	FAC-003-4	06/30/2022	10/18/2023	REAFFIRM	NCR9999999 TX Editor 1	TRE Editor 1	10/11/2023

AE / 000009

General

Attestation ID	AE / 000009	Exception Source	Attestation
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Attestation

Registration	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Function	GO
Standard	FAC-003-4	Requirement	
Part			
Notes/Comment	I attest that this is not applicable to our entity because it is just too much work.		
Attestation Submitted By	NCR9999999 TX Editor 1	Attestation Submitted On	June 30, 2021

Review Response

Attestation Review	Attestation Review 2021-00007	Review Comment	This attestation is approved.
Review Conclusion	Approve	Effective Date	June 30, 2021
Attestation Assessor	TRE Editor 1	Reaffirmation Renewal Date	October 18, 2023
Renewal Date	June 30, 2022		
Reaffirmation Comment			

FORM: 04_RE_Active_Attestations_Reaffirmation

Close

Navigation Steps

- 1. Click Applicable To Req.
- 2. Click to Reaffirm
- 3. Select Reaffirm
- 4. Add Comments
- 5. Click Update

Create Attestation Reaffirmation

Action

Instructions: Select "Reaffirm," provide a comment below, and click Update to submit your Reaffirmation. Select Close to cancel.

3 **Attestation Reaffirmation**

Reaffirmation Comment

4

FORM: 02_RE_Reaffirm_Attestation_Single

5 **Update** Close



Attestations

Attestations Align For Entities

Active Attestations | Attestations in Review | Attestations to Reaffirm | Inactive Attestations

MY EXPIRED, RESCINDED, AND DISAPPROVED ATTESTATIONS

REGISTRATION	APPLICABLE TO	INACTIVE DATE	REASON	CREATED BY	MODIFIED BY	MODIFIED ON
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	FAC-003-4		Disapproved	NCR9999999 TX Editor 1	Rochelle Brown	02/21/2022

AE / 000031

General

Attestation ID: AE / 000031 | Exception Source: | Attestation Source: |

Attestation

Registration: NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE | Function: GO

Standard: FAC-003-4 | Requirement: |

Part: |

Notes/Comment: Submitting attestation.

Attestation Submitted By: NCR9999999 TX Editor 1 | Attestation Submitted On: July 8, 2021

Review Response

Attestation Review: Attestation Review 2022-00001

Review Conclusion: Disapprove

Review Comment: Disapproved by Texas RE AE-00000460 Attestation. PDS2021-000736.

Attestation Assessor: Rochelle Brown

Effective Date: July 8, 2021 | Renewal Date: |

Expiration Information

Rescinded: No Action

Inactive Date: |

Close





Self-Reports

Self-Reports and Logs

Create New Self-Report or Log

MY REGISTRATIONS

REGISTRATION	APPLICABLE REQUIREMENTS
NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	Create Finding

Page 1 of 1

MY DRAFTS

TYPE	UNIQUE ID	REGISTRATION	STANDARD AND REQUIREMENT	APPLIC. FUNCTI
<input type="checkbox"/> Self-Report	2022-00026	NCR9999999 - TXRE - Training Energy Corp. TXRE in TXRE	BAL-001-TRE-2 R6.	GO

Create Finding 2.0

SELECT APPLICABLE REQUIREMENT

STANDARD	REQ	CREATE SELF-REPORT	CREATE SELF-LOG
BAL-001-TRE-2	R10.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
BAL-001-TRE-2	R6.	<input type="checkbox"/>	<input type="checkbox"/>
BAL-001-TRE-2	R7.	<input type="checkbox"/>	<input type="checkbox"/>
BAL-001-TRE-2	R9.	<input type="checkbox"/>	<input type="checkbox"/>
BAL-001-TRE-2	R8.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-002-5.1a	R1.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-002-5.1a	R2.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-003-8	R1.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-003-8	R2.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-003-8	R3.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-003-8	R4.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-004-6	R1.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-004-6	R2.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-004-6	R3.	<input type="checkbox"/>	<input type="checkbox"/>
CIP-004-6	R4.	<input type="checkbox"/>	<input type="checkbox"/>



Images within Self-Reports

Create a Self-Report

Discovery and Description

When was the Potential Noncompliance discovered? *

How was this Potential Noncompliance discovered? *

Please describe the Potential Noncompliance in detail *

When did the Potential Noncompliance start? *

What is the basis for your selecting this start date? *

Is the Potential Noncompliance still occurring? *

Extent of Condition and Root Cause

Has an Extent of Condition Review been performed? *

Note: Please use the Enforcement Cause Codes from the list in the magnifying glass by selecting 'ENF' first. Do not use the old cause codes that begin with A.

Root Cause Code

Contributing Cause Code(s)

What cause(s) led to the Potential Noncompliance? *

Risk and Impact

What do you think the Potential Impact to BPS was/is from this Potential Noncompliance? *

Why do you believe that to be the correct Potential Impact? *

How likely is it that impact could have actually occurred? *

Was there any actual impact to the BPS? *

Images should not be included

Sensitive information should not be included



Draft Self-Reports and Self-Logs

MY DRAFTS					
<input type="checkbox"/>	TYPE	UNIQUE ID ▲	REGISTRATION	STANDARD AND REQUIREMENT	APPLIC. FUNCTI
<input type="checkbox"/>	Self-Report	2022-00026	NCR99999999 - TXRE - Training Energy Corp. TXRE in TXRE	BAL-001-TRE-2 R6.	GO

Submit drafts
when ready

Action

Instructions

Submit Finding: Select "Submit" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

OPTIONAL - Submit Mitigations: Submit mitigations now by checking the box "Submit Mitigations for Review with Finding?" or later via the "My Mitigations Tab".

By submitting the mitigating activities described above, I acknowledge that I have authority to submit the mitigating activities on behalf of the Registered Entity.

Delete Finding: Select "Delete" on the Action dropdown, then click the Save and Action button at the bottom of the screen.

Save a Draft: Click the Save button at bottom of the screen. The CEA will not see this finding until the Registered Entity selects "Submit" on the Action dropdown and clicks the Save and Action button.

Close: Click the Close button at the bottom of the screen to close the window.

Action *

Submit Mitigations for Review with Finding?



Mitigation Milestones

Milestone

Milestone Information

Type of Milestone Task

Milestone Name

Description of action

Planned Completion Date

Actual Completion Date

Evidence and Attachments

Data Locker Instructions Evidence and Attachments must be submitted via Data Locker with a reference number that will be generated when you submit this Milestone and its parent Mitigation.

Evidence Comments

**Reference
any evidence
uploaded to
SEL for a
specific
milestone**



Contact



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The background of the slide features a blurred Texas state flag on the left and a target with several darts on the right. The darts are clustered in the center of the target, suggesting a focus or a goal.

Questions?



TEXAS RE

Ensuring electric reliability for Texans