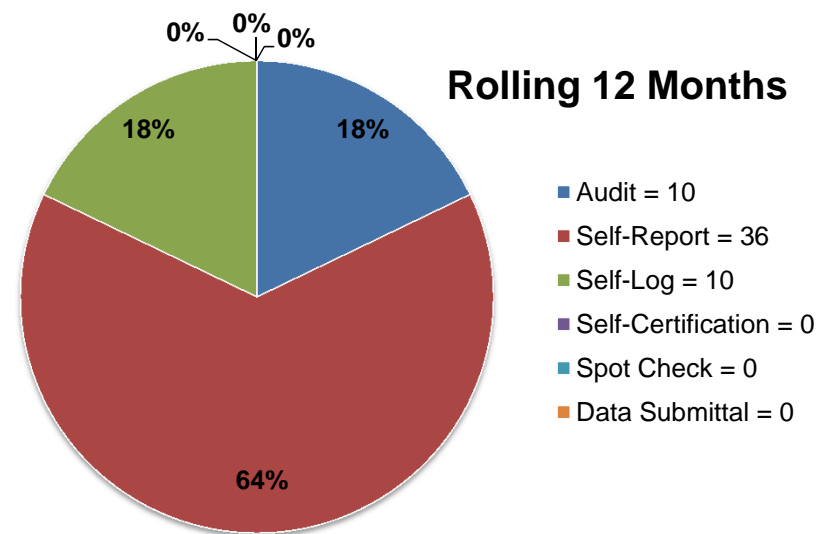
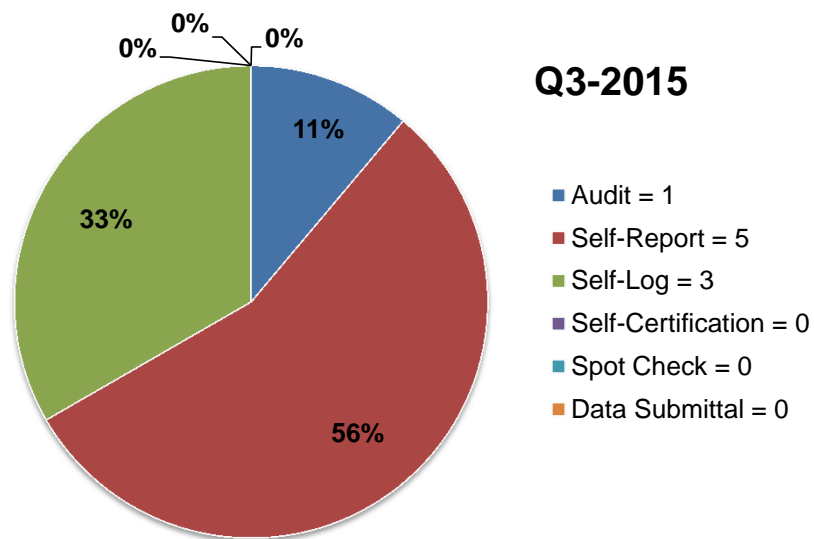




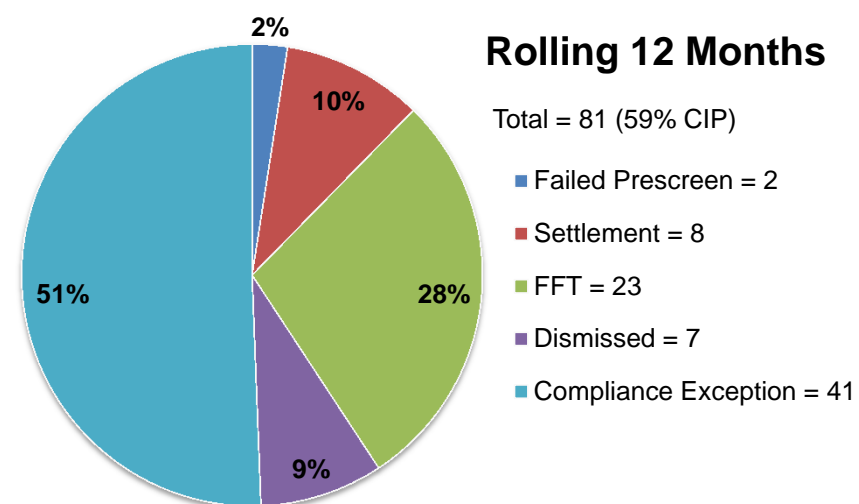
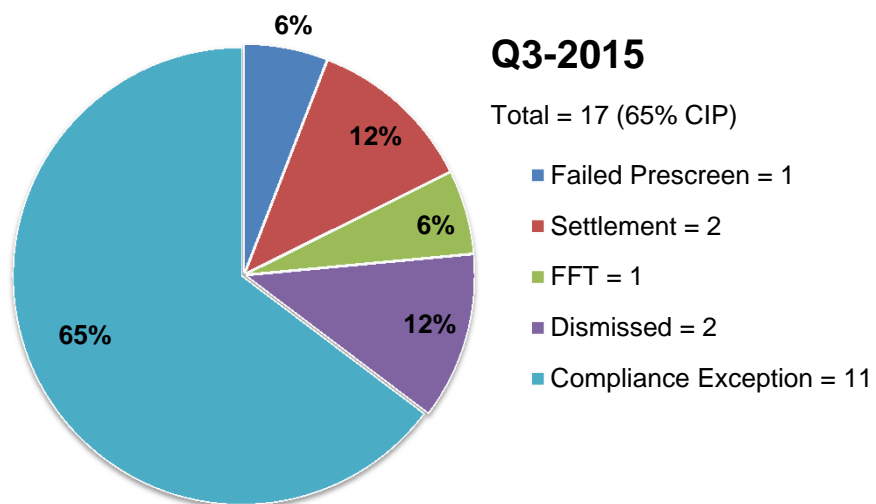
NERC Reliability Working Group

Texas RE Enforcement
December 3, 2015

Source of New Violations



Violations Processed by Disposition



Top Standards Violated – Past 12 Months

	# Violations	% of Total Top 10	% of Total New Violations
CIP-007	14	26%	26%
CIP-004	8	15%	15%
PRC-005	7	13%	13%
CIP-006	7	13%	13%
VAR-002	6	11%	11%
CIP-003	3	6%	6%
TOP-006	2	4%	4%
7 Standards**	7 (1 each)	13%	13%

*Does not include possible violations that failed prescreen.

**CIP-002, CIP-005, COM-002, EOP-001, PER-004, PER-005, PRC-006

Note: Percentages are rounded to the nearest whole number.

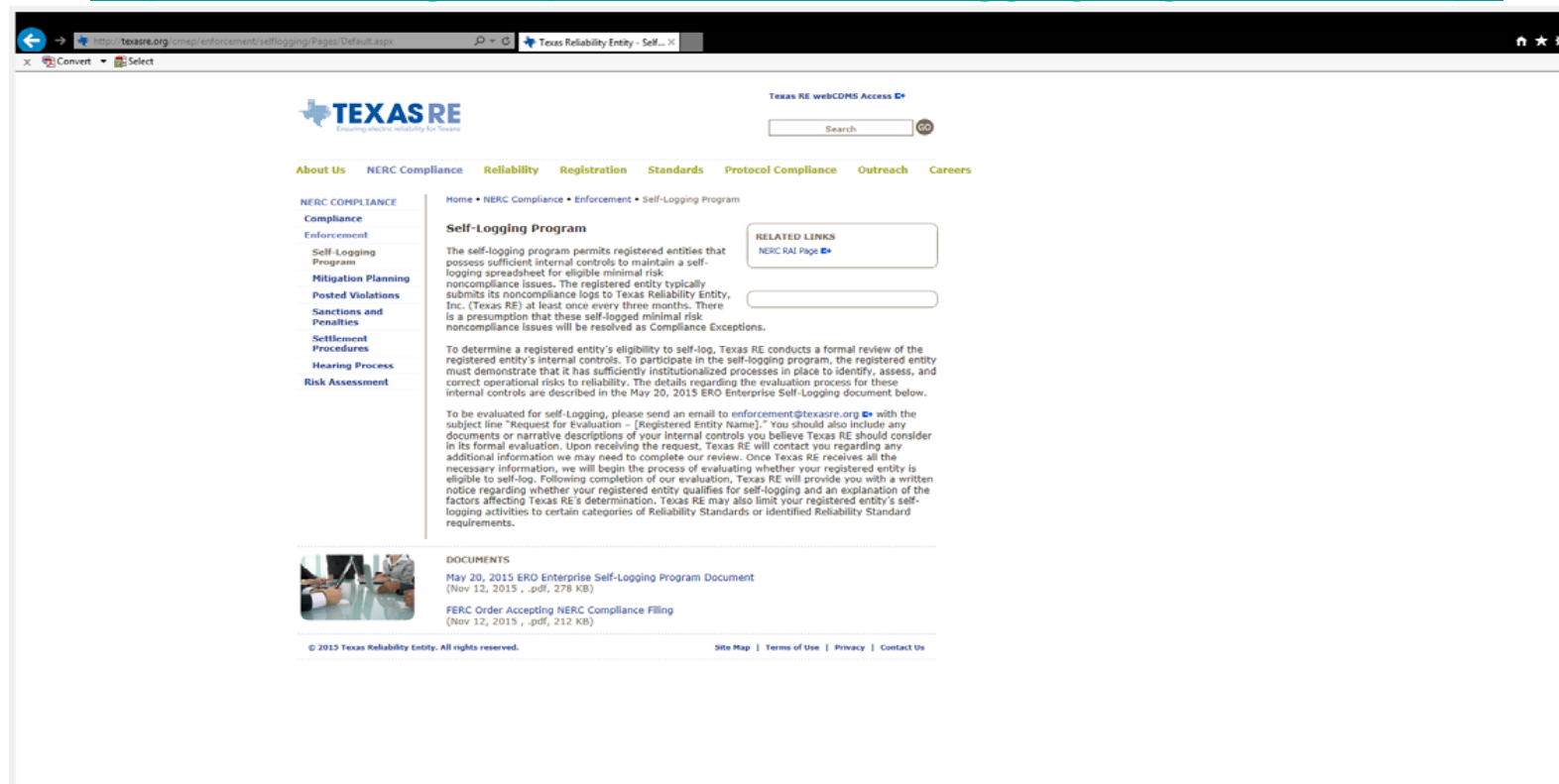
Guidance for Minimal Risk Issues: NERC CE Spreadsheets

<http://www.nerc.com/pa/comp/CE/Pages/Enforcement-and-Mitigation.aspx>

The screenshot shows the NERC (North American Electric Reliability Corporation) website. The left sidebar contains a navigation menu with categories like 'About Compliance Operations', 'Audit Assurance and Oversight', 'Physical Security Standard Implementation', 'Security Reliability Program', 'Compliance Tools and Auditor Resources', 'Compliance Training & Workshops', 'Compliance Reports', 'Enforcement and Mitigation', 'Compliance Violation Statistics', 'CHRP Annual Reports', 'Vegetation Management Reports', 'Committees', 'Compliance and Certification Committee (CCC)', and 'Compliance Resource Documents'. The main content area is titled 'Enforcement and Mitigation' and includes a breadcrumb trail: 'Program Areas & Departments > Compliance & Enforcement > > > Enforcement and Mitigation'. Below this, there are links for '2015 | 2014 | 2013 | 2012 | 2011 | 2010 | 2009 | 2008'. A section titled 'Clicking:' lists four bullet points: 'View NOP >>' (displays a copy of the Notice of Penalty), 'View Order >>' (displays a copy of the Order), 'Response >>' (displays a copy of a document other than an Order), and 'NERC Filing >>' (displays a copy of a document other than an NOP). Below this, there are links for 'For the Searchable Notice of Penalty Spreadsheet, click here.', 'For the Public Non-CIP violations in the Searchable Spreadsheet Notice of Penalty Spreadsheet, click here.', 'For the Public CIP violations in the Searchable Spreadsheet Notice of Penalty Spreadsheet, click here.', 'For the Public Non-CIP remediated issues in the Searchable Find, Fix, Track and Report (FFT) Spreadsheet, click here.', 'For the Public CIP remediated issues in the Searchable FFT Spreadsheet, click here.', 'For the Public Non-CIP issues in the Searchable Compliance Exception (CE) Spreadsheet, click here.', and 'For the Public CIP issues in the Searchable CE Spreadsheet, click here.'. A large red arrow points to the last link. The bottom of the page has a 'Case Notes' section.

Self-Logging Program Information

<http://texasre.org/cmep/enforcement/selflogging/Pages/Default.aspx>



The screenshot shows a web browser window displaying the Texas RE Self-Logging Program page. The browser's address bar shows the URL <http://texasre.org/cmep/enforcement/selflogging/Pages/Default.aspx>. The page features the Texas RE logo at the top left, with the tagline "Ensuring electric reliability for Texans". A navigation menu includes links for About Us, NERC Compliance, Reliability, Registration, Standards, Protocol Compliance, Outreach, and Careers. The main content area is titled "Self-Logging Program" and includes a search bar, a "RELATED LINKS" section with a link to the NERC RAL Page, and a "DOCUMENTS" section with links to the May 20, 2015 ERO Enterprise Self-Logging Program Document and the FERC Order Accepting NERC Compliance Filing. The footer contains copyright information and links to the Site Map, Terms of Use, Privacy, and Contact Us.

TEXAS RE
Ensuring electric reliability for Texans

Texas RE webCDMS Access

Search

Home • NERC Compliance • Enforcement • Self-Logging Program

Self-Logging Program

The self-logging program permits registered entities that possess sufficient internal controls to maintain a self-logging spreadsheet for eligible minimal risk noncompliance issues. The registered entity typically submits its noncompliance logs to Texas Reliability Entity, Inc. (Texas RE) at least once every three months. There is a presumption that these self-logged minimal risk noncompliance issues will be resolved as Compliance Exceptions.

To determine a registered entity's eligibility to self-log, Texas RE conducts a formal review of the registered entity's internal controls. To participate in the self-logging program, the registered entity must demonstrate that it has sufficiently institutionalized processes in place to identify, assess, and correct operational risks to reliability. The details regarding the evaluation process for these internal controls are described in the May 20, 2015 ERO Enterprise Self-Logging document below.

To be evaluated for self-Logging, please send an email to enforcement@texasre.org with the subject line "Request for Evaluation - (Registered Entity Name)." You should also include any documents or narrative descriptions of your internal controls you believe Texas RE should consider in its formal evaluation. 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.

DOCUMENTS

May 20, 2015 ERO Enterprise Self-Logging Program Document
(Nov 12, 2015, .pdf, 278 KB)

FERC Order Accepting NERC Compliance Filing
(Nov 12, 2015, .pdf, 212 KB)

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