

2012 Self-Certification Schedule

Date	Texas RE Comments
August 1, 2012	Texas RE will post the Self-Certifications for all registered entities.
August 31, 2012	Completed Self-Certifications from all registered entities will be due back to Texas RE.

Texas RE will send Registered Entities a reminder 2 weeks prior to the start of the self-certification period. Texas RE self-certification forms for all registered entities will be available and submitted via the Open Access Technology International, Inc. (OATI) webCDMS (Compliance Data Management System) (<https://www.cdms.oati.com>).

Background

All Registered Entities must self-certify compliance or non-compliance with all applicable NERC Actively Monitored Reliability Standards requirements and submit the required forms through webCDMS within 30 days, in accordance with the above schedule. Texas RE will notify a Registered Entity if its self-certification submission is not timely received. If a Registered Entity fails to timely submit its self-certification forms, Texas RE will follow NERC's Process for Non-Submittal of Requested Data, contacting the Primary Compliance Contact and Senior Executive as needed. Registered Entities must identify all non-compliance with the standards during the relevant period on its submission, even if it has previously self-reported or has been previously found by Texas RE to be non-compliant with the standard during the same period. Texas RE will review such self-certifications and identical reports will not constitute additional violations.

All registered entities are required to participate in the annual self-certification each year per the NERC Actively Monitored Reliability Standard list. Texas RE, at its discretion, may include additional Reliability Standards in its 2012 Implementation Plan. Self-certification is an important component of the ERO Compliance Monitoring and Enforcement Program. It is one of the discovery methods that monitor a Registered Entity's compliance with Reliability Standards, especially those that have not been included in audit scopes in recent years. Self-certification waivers are not available as all applicable Reliability Standards must be self-certified.

How to Submit Self-Certification

A person who is a registered user of the webCDMS system may submit the Self-Certification forms. For legal and security reasons, users must use their own account (digital certificate, login ID and password). If you do not know if you have an account, contact your organization's Security Officer (SO). If you do not know who your organization's SO is, contact support@oati.net.

1. Log-in to webCDMS, go to Compliance tab > Click Self-Certification
2. Under Action > Click edit
3. Entry form pops up, complete all listed requirements for the registered entity you are self-certifying for.
4. **Comments are required for ALL "Not Compliant", "Not Applicable", or "Do Not Own" responses.** See full definitions below

5. To attach documents relating to “**Not Compliant**”, “**Not Applicable**”, or “**Do Not Own**” responses, you can either click “edit” or choose the “entity documents tab” to the left of the requirement field(s).
6. Once all requirements are complete you can save the self-cert form for review, or click on “Download a Regional Document”, select Corporate Signature Page from the list of regional documents.
7. The Authorized Signatory or Authorized Officer must sign off for completion and submittal(s) of Self-Certification.
8. To upload the signed Corporate Signature Page, click the gray “Entity Documents” link on the left side of the entry screen, then click the “Add Document” button to attach the file.
9. Please check the “Corporate Signature Page has been uploaded” box in CDMS prior to submitting your Self-Certification responses.
10. Once a self-cert has been submitted, the entity’s PCC will receive an automated response that the self-cert has been received by Texas RE. (The Self-Cert is **NOT** complete until you have clicked the “submit” button via webCDMS.)
11. If Texas RE requires additional information or documentation, we will notify the entity’s PCC.

A response of “**Compliant**” indicates that the entity: a) did not have any violations, b) an Open Enforcement Action has completed mitigation *before* the start of the reporting period, or c) an “event” driven requirement did not occur and the entity is fully compliant for the reporting period.

A “**Not Compliant**” response indicates that the entity had a violation(s) or has an Open Enforcement Action that has *not* completed mitigation prior to the start of the reporting period. The Violation ID number should be provided in the comments if the violation was previously identified.

A “**Do Not Own**” response indicates that the entity did not own the applicable facilities, and as such the reliability standard requirement does not apply.

A “**Not Applicable**” (N/A) response indicates the requirement does not apply to the registered entity for a reason other than facility ownership.

For questions regarding Self-Certifications contact compliance@texasre.org.