RELIABILITY 101 & 201

Compliance Monitoring

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O&P Compliance Engineer III

Antitrust Admonition

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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.
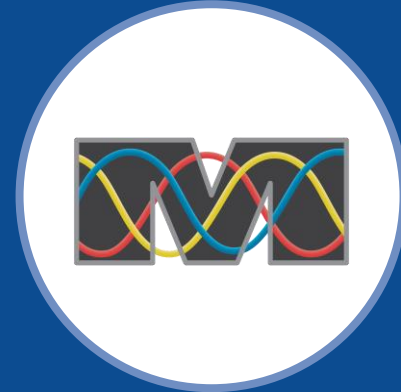
Compliance Monitoring

June - July 13, 2023

Inverter-Based
Resource Webinar
Series

June 12, 2023

Technical Talk
with RF

June 29, 2023

Regional Summer
Assessment Webinar

Compliance Monitoring

slido

Product   Solut

Slido Question #1
Why does compliance exist?

#TXRE

Joining as a participant?

Enter event code

Join an existing event

Compliance Monitoring

TEXAS RE

Why Are We Here Today?

What Does Society Expect?

Highly Reliable & Secure Bulk Power System

Compliance Monitoring

Compliance Monitoring
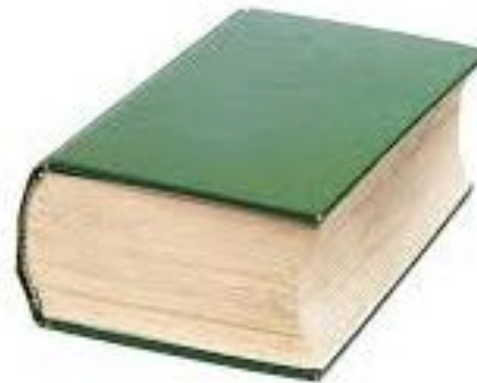
Rules of Procedure
Covers definitions, registration, oversight, sanction guidelines (penalties), & many other things, including the Compliance Program requirements for Regions

2023 ERO Enterprise Compliance Monitoring and Enforcement Implementation Plan
Version 1.0

October 2022

Implementation Plan Link

And, of course, the Reliability Standards!

Compliance Monitoring

Compliance

O&P

Risk Assessments

CIP

Compliance Audits

Spot Checks

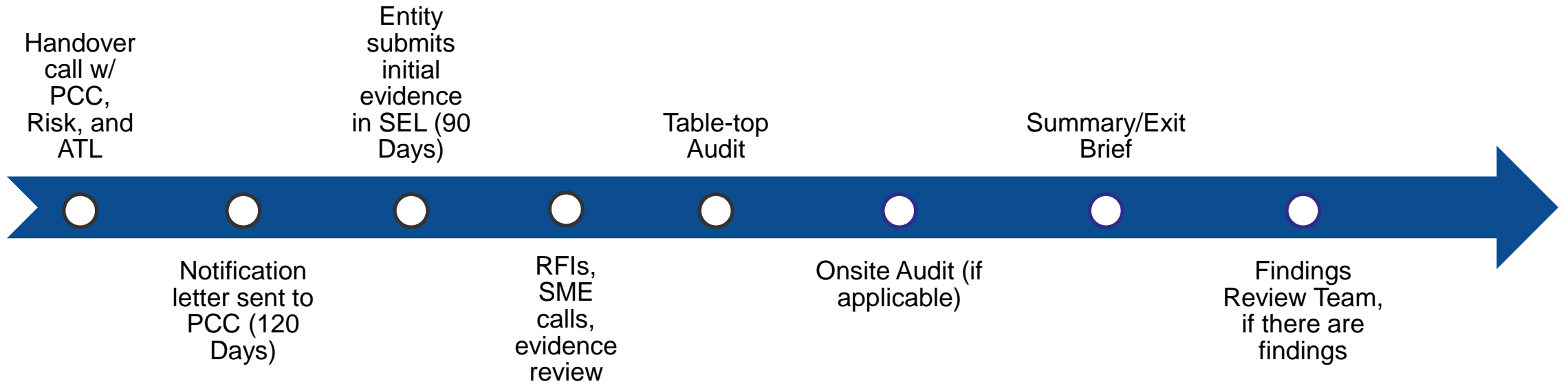Self-Certifications

Complaints

Data Submittals

Self-Identification
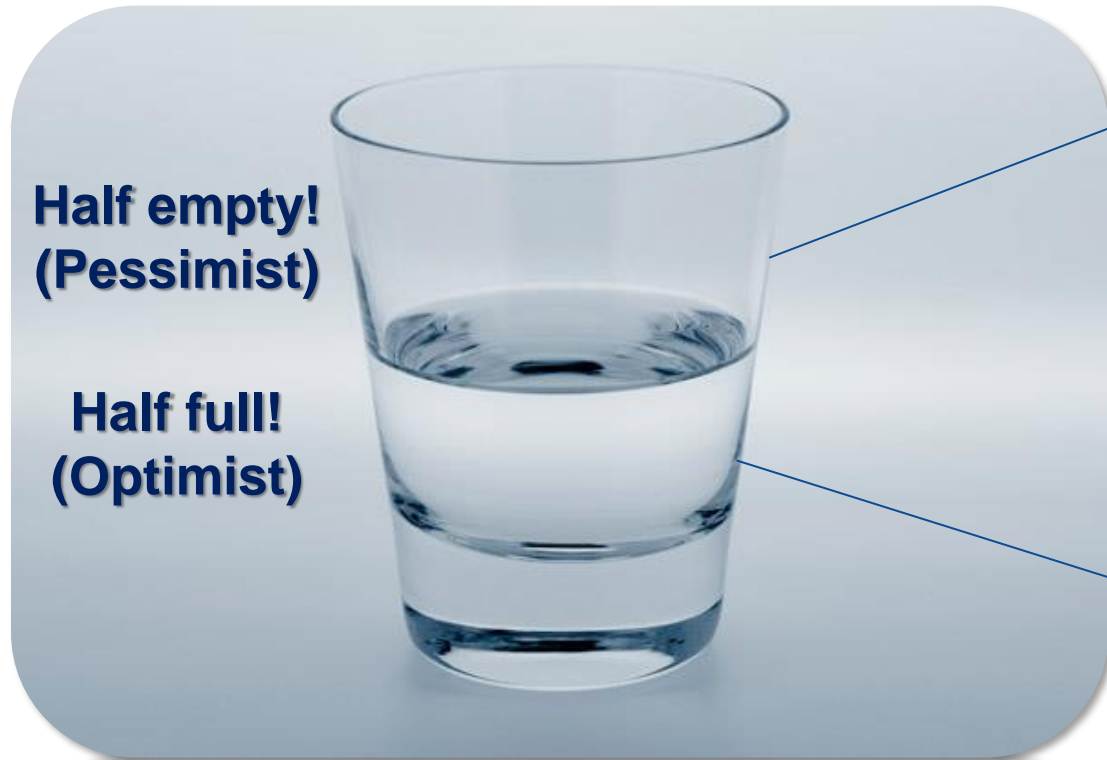
Compliance Investigations

Objective, factual information enables management to make informed decisions (e.g. engagement findings, timing and scoping of future engagements, etc.)

Audit Process Overview

Handover call w/ PCC, Risk, and ATL

Notification letter sent to PCC (120 Days)

Entity submits initial evidence in SEL (90 Days)

RFIs, SME calls, evidence review

Table-top Audit

Onsite Audit (if applicable)

Summary/Exit Brief

Findings Review Team, if there are findings

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An auditor's questioning, evaluative approach towards evidence:

**Half empty!
(Pessimist)**

**Half full!
(Optimist)**

Engineer
The glass is twice the size it needs to be (or has a safety factor of 2).

Auditor
We must seriously consider that someone without proper rights or authorization misappropriated some of that water…if it *is* water.

Slido Question

Slido: Is this glass…

A. **Half Full**

B. **Half Empty**

C. **Twice the size it needs to be**

D. **Missing water due to potential misappropriation**

E. **How do we know that's water?**

TEXAS RE

Top Ten Standards-2022

Category	Standard	Number Discovered
Security Management	CIP-003	15
Protection Maintenance	PRC-005	13
Capability Verification	MOD-025	12
Relay Settings	PRC-024	11
Capabilities Coordination	PRC-019	9
Generator Performance	BAL-001-TRE	8
Facility Ratings	FAC-008	8
Modeling Verification	MOD-026	8
Modeling Verification	MOD-027	8
Baselining	CIP-010	7
	Total	99

Discovered between January 1, 2022, and December 31, 2022

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Slido Question

**What do you think is the main
reason that Standards are violated?**

Compliance Monitoring

- **Think Reliability & Security**
- **Identify Objectives**
- **Identify Population**
- **Monitor Performance & Task Completion**

- **Organize Resources**
- **Plan Ahead**
- **Address Any Issues**

Documentation + Internal Controls!!!

FAC-008-5 R6

Periodic walkdowns of Facilities to ensure Ratings are up-to-date	Periodic review of the Facility Ratings methodology document for accuracy
• Cross-referencing field information with worksheet(s) and one-lines	• Including underlying assumptions, design criteria, and methods used in determining Equipment Ratings

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Resources

Texas RE Staff (call, email, meetings) **Texas RE website** (**Welcome Packet**, **Entity Resources**, **Resource Hub**) **Texas RE Training Page** (Presentation Materials, Recordings, etc.)

NSRF

CIPWG

Texas RE Workshops

Talk with Texas RE

Texas RE*view*

Texas RE Board Meetings

NERC Meetings

Compliance, like safety, is everyone's job, and a culture of compliance takes proactive, on-going effort. Collaboration and communication are encouraged.

Compliance Monitoring

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Upcoming Sessions

June 5 – Intro to Align

June 6 – Standards Development

June 8 – Compliance Monitoring

June 13 – CIP 201

June 14 – Foundations of O&P

June 15 – O&P 201

June 20 – Risk-Based Approach to Reliability

June 21 – Improving Self-Reporting 201

June 22 – NERC Data Submission, Events Analysis, and Guidelines

June 27 – Initial Engagement Submissions

June 29 – Reliability Services

JUNE 2023

Sun	Mon	Tue	Wed	Thu	Fri	Sat
28	29	30	31	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	1

Intro to Align

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Questions?

TEXAS RE
Ensuring electric reliability for Texans