



## Self-Logging Program Application

### Program

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The Self-Logging Program allows registered entities to report minimal risk noncompliances as self-logs, replacing self-reports and their accompanying formal mitigation plans. Self-logged, minimal risk noncompliances are presumed to be resolved as compliance exceptions and will receive expedited review.

All registered entity applicants who meet WECC's self-logging eligibility criteria may be considered for self-logging. The Self-Logging Program relies on, and promotes, robust compliance practices within registered entities. In addition, it motivates and gives incentives to registered entities to implement effective internal controls that identify, assess, and correct instances of noncompliance as they arise.

WECC must approve registered entities that want to participate in the Self-Logging Program. Please review the information below regarding the (1) application and evaluation process, (2) modification or revocation of privileges, and (3) eligibility criteria. Then provide the information requested at the bottom of this document.

For questions about the application, eligibility, or participation in WECC's Self-Logging Program, please contact [selflogging@wecc.org](mailto:selflogging@wecc.org).

### Application and Evaluation Process

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To accept a registered entity into the Self-Logging Program, WECC must review the internal controls that allow the registered entity to identify, assess, and correct noncompliance.

WECC will use information already in its possession to conduct the formal review. If more information is needed, WECC will request additional documentation. The evaluation will include document and data review as well as interviews with the registered entity's management and staff, as necessary.

Applications will be reviewed in the order they are submitted to WECC. Within 90 days of receiving the application, WECC will issue written notice stating (1) whether the registered entity qualifies for self-logging; (2) the basis for WECC's decision, including an explanation of factors affecting the determination; and (3) the Reliability Standards or identified requirements for which the registered entity has earned self-logging privileges. If the registered entity does not qualify for self-logging privileges for all or part of the Reliability Standards, WECC will provide recommendations for acquiring eligibility in the future.

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### Modification or Revocation of Privileges

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WECC may modify or revoke a registered entity's self-logging privileges if the registered entity logs noncompliances with unclear or missing information, inappropriate risk determinations, or inadequate mitigation. WECC may also modify or revoke a registered entity's self-logging privileges for misrepresentation or repeated avoidable inaccuracies in the registered entity's self-logs or deficiencies in identifying, assessing, and correcting noncompliances.

Upon revocation of self-logging privileges, WECC will process all future logged noncompliances as open enforcement actions. If WECC determines that a registered entity is no longer eligible to participate in the Self-Logging Program or that the parameters of self-logging for the registered entity should be modified, WECC will inform the registered entity of the basis for that decision and what actions, if any, should be taken to have self-logging privileges reinstated. WECC will also provide a notice to NERC that includes an explanation for such determination.

### Eligibility Criteria

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A registered entity must demonstrate that it has sufficiently institutionalized processes in place to identify, categorize, prioritize, and mitigate operational risks to reliability and perform the requisite corrective and preventive actions. The inquiry into these processes will be scaled by the registered entity's risk profile.

To determine a registered entity's eligibility for the Self-Logging Program, WECC will evaluate the registered entity's ability to identify, assess, and correct noncompliances.

WECC will also consider other relevant factors when determining a registered entity's eligibility for self-logging, including (1) the registered entity's compliance history, (2) the registered entity's history of self-assessment and self-reporting, (3) the registered entity's history of timely and thorough mitigation, (4) the registered entity's level of cooperation in prior compliance matters, and (5) the quality of the registered entity's internal compliance program.



## Self-Logging Program Application

### Entity Contact Information

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Entity Name:

NCR Number:

Primary Contact for Self-Logging-Related Communications:

Name:

Title:

Address:

Telephone:

Email:

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#### Processes to Identify Noncompliance

- Does the registered entity have an Internal Compliance Program?  
Yes                      No
- If “yes,” has it been assessed by WECC within the past three years?  
Yes                      No                      Not sure

#### Processes to Assess Noncompliance

- Does the Entity have a Risk Assessment Program?  
Yes                      No

#### Process to Correct Noncompliance

- Does the Entity have a Root Cause Analysis Process?  
Yes                      No

### How to Submit

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Email the completed application to [selflogging@wecc.org](mailto:selflogging@wecc.org).

