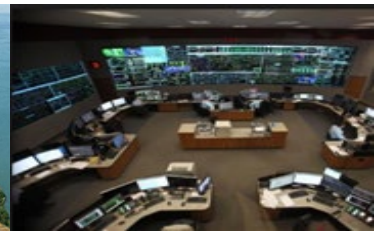


# Self Certification Program

**Beth Rettig, Senior Technical Auditor**  
**Curtis Crum, Principal Technical Auditor**  
**Mike Hughes, Principal Technical Auditor**  
**October 11, 2021**



# Self Certification Objectives

- **Early touchpoint with newly registered entities**
- **Periodic touchpoint with existing registered entities**
- **Focus on specific reliability risks**
- **Have the Registered Entity validate compliance**
- **Review the sufficiency and appropriateness of evidence**



# Notification Package

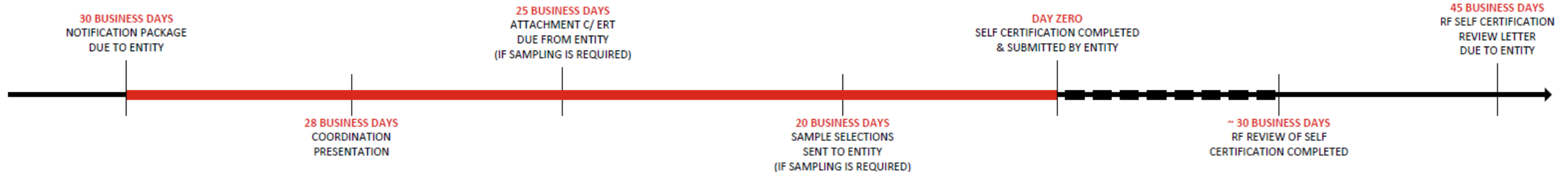
- **Engagement Notification Letter**
- **ReliabilityFirst Team Biographies**
- **ReliabilityFirst Code of Business Conduct and Ethics Certification Form**
- **Attachments A and B**
- **Attachment C (O&P) or ERT -Evidence Request Tool (CIP)**



# Self Certification Timeline

- Notification Letter 30 Business Days Ahead of Submittal
- Coordination Presentation Call
- Sampling Population/Selections
- RSAWs and Evidence Due to be Uploaded (“Day Zero”)
- Requests for Information (RFIs); SME Interviews
- Review Letter to Entity ~45 Business Days After

## SELF-CERTIFICATION TIMELINE



# Review Letter

- **Includes summary of engagement**
- **Lists Standards/Requirements with “no finding”**
- **Lists any Areas of Concern, Recommendations or Positive Observations**
- **Lists any Potential Non-Compliance (PNC)**
  - Compliance will coordinate with the RF Enforcement Case Manager



# Questions & Answers

Forward Together  **ReliabilityFirst**