

# **Self Certification Program**

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## **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**

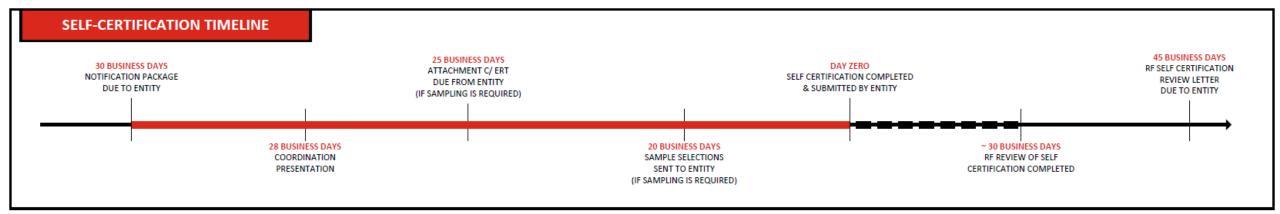
- > Engagement Notification Letter
- > ReliabilityFirst Team Biographies
- ➤ ReliabilityFirst Code of Business Conduct and Ethics Certification Form
- Attachments A and B
- > Attachment C (O&P) or ERT -Evidence Request Tool (CIP)





### **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



### **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





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