NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Centralized Organization Registration ERO System (CORES)

End User Guide:
Portal Users and Registered Entities

March 2021

RELIABILITY | RESILIENCE | SECURITY




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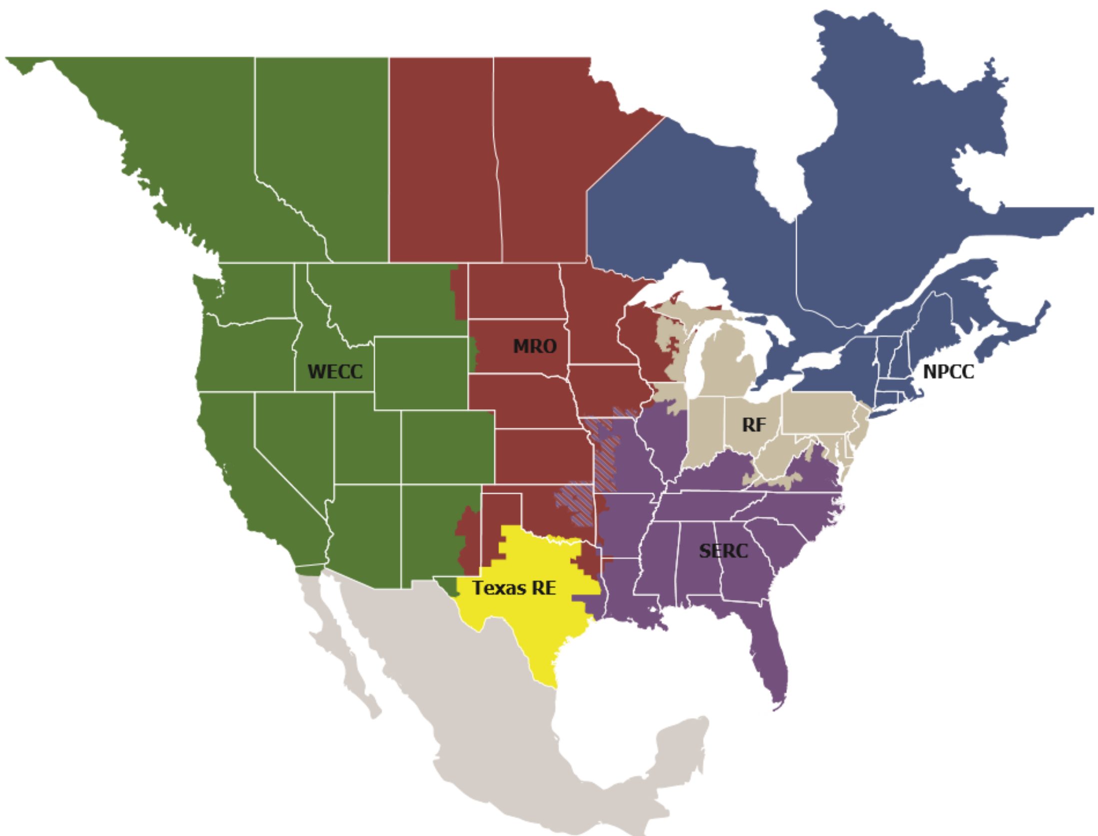
Preface

Electricity is a key component of the fabric of modern society and the Electric Reliability Organization (ERO) Enterprise serves to strengthen that fabric. The vision for the ERO Enterprise, which is comprised of the North American Electric Reliability Corporation (NERC) and the six Regional Entities (REs), is a highly reliable and secure North American bulk power system (BPS). Our mission is to assure the effective and efficient reduction of risks to the reliability and security of the grid.

Reliability | Resilience | Security
Because nearly 400 million citizens in North America are counting on us

The North American BPS is divided into six RE boundaries as shown in the map and corresponding table below. The multicolored area denotes overlap as some load-serving entities participate in one RE while associated Transmission Owners (TOs)/Operators (TOPs) participate in another.



MRO	Midwest Reliability Organization
NPCC	Northeast Power Coordinating Council
RF	ReliabilityFirst
SERC	SERC Reliability Corporation
Texas RE	Texas Reliability Entity
WECC	WECC

Introduction

The Centralized Organization Registration ERO System (CORES) takes the primary registration functions and consolidates them into a single centralized registration system. CORES allows for an expansion of current functionality and a more standardized registration application across the ERO Enterprise.

CORES Overview

CORES offers a consolidated application for collecting registration information from both new and currently registered entities. CORES provides a single location for registered entities to review registration data, update registration data and enter new registration data.

Each entity user that will register or modify existing registrations with NERC will need an individual ERO Portal account. For instructions on how to register for an ERO Portal account, please refer to **0**. During registration, the user will be prompted to set-up Multi-Factor Authentication.

Quick Start Guide Overview

Browser Setup and Configuration

The browser address to access CORES is https://eroportal.nerc.net. It is suggested, that users enter the address each time they login, as bookmarked addresses may become invalid over time.

A web browser and an internet connection are needed to access the ERO Enterprise applications. The ERO Enterprise applications support the latest versions of Chrome, Internet Explorer 11, or later. Microsoft Excel, Microsoft Word, Microsoft Visio, or similar applications are required for opening and viewing documentation stored on these systems.

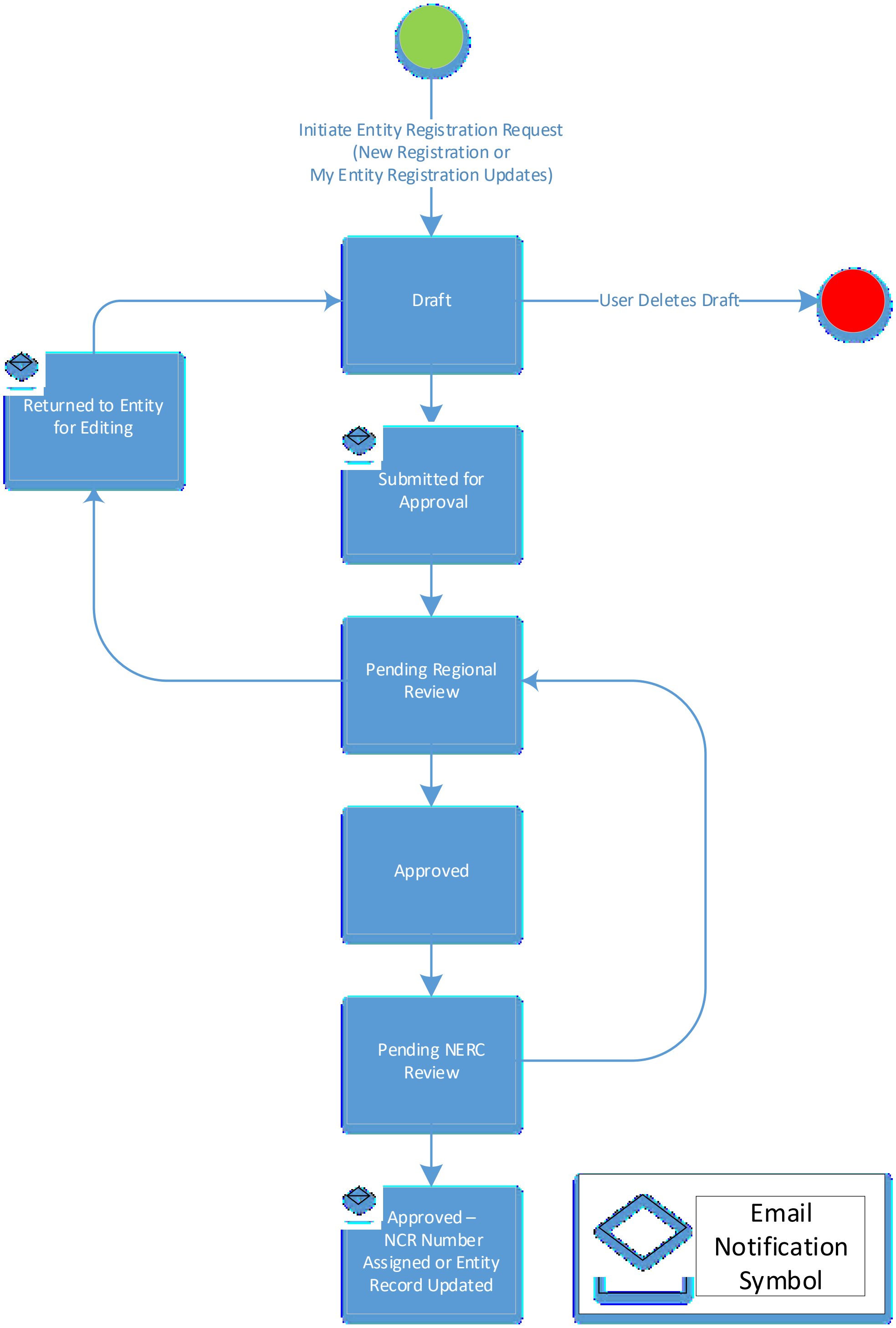
Users who experience trouble accessing the ERO Portal should set their web browser to "**InPrivate Browsing**" (Internet Explorer/Edge) or "**Incognito**" (Google Chrome). From the browser toolbar, select "**Tools'**" and then select the option from the dropdown list. Alternatively, right-click the **Internet Explorer** icon at the bottom of your display and select **Start InPrivate Browsing**.

Entity Registration Request Status

The status of entity registration requests can be managed and viewed by the user. Initially, to enable the auto save feature, a user will need to fill in the basic registration information and select submit. Then, all information that is entered for an Entity Registration Request is automatically saved and remains in a *Draft* state until the Entity checks the *Submit* box. The request will then reflect either a status of *Pending Regional Review,* or *Pending NERC Review*.

CORES Status Flow Diagram

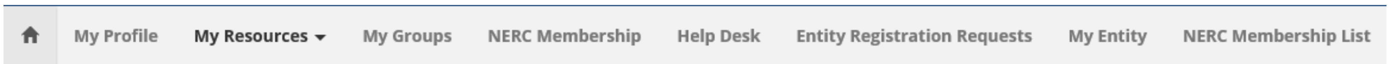
Entity Registration (ER) status in the Entity Registration Lifecycle



CORES System Views

On the ERO Portal home screen, there are multiple options along the top navigation ribbon. Each option allows navigation to the different subareas of the ERO Portal, including two selections for Entity Registration: **Entity Registration Requests** and **My Entity**.

Entity Registration Requests



Selecting the **Entity Registration Requests** option will provide the user an opportunity to create and submit a new registration request or update a draft registration request that has not been submitted to the applicable Regional Entity(ies) and NERC for review and approval.

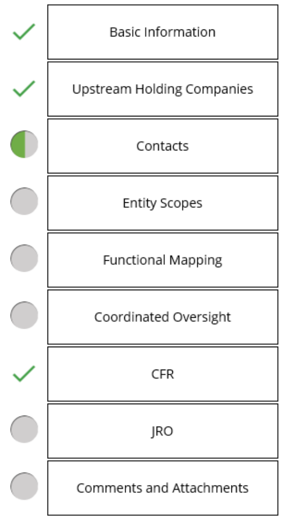
My Entity (Update Registration Data)

Selecting the My Entity option will take the user directly to the registered entity registration record the user last accessed. If the user represents more than one registered entity and has been granted appropriate access permissions, the user will be able to select the other applicable registration records from the dropdown option on the top right side of the screen.

Right Side Navigation Bar

When editing an entity registration request in draft status in the Portal, the right navigation bar reflects the completion status of each section. After registration, the right navigation bar indicates if the data has been updated once.

Status	Right Side Navigation Bar Indicator
Incomplete	Gray Circle
In Progress	Green and Gray Split Circle
Complete	Green Check Mark



CORES Tips

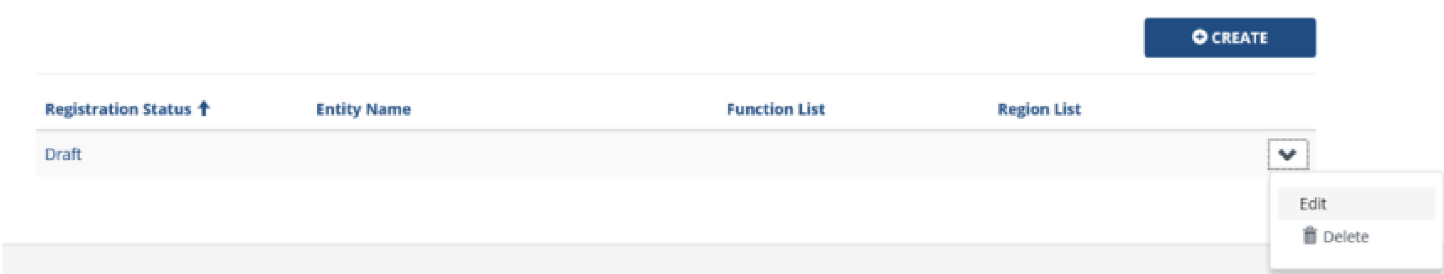
Required Fields

All entry fields denoted with a red asterisk (*) require data entry.

Auto Save

Once the Basic Information has been provided, select the **UPDATE BASIC INFORMATION REQUEST** button and *CORES will auto save all future updates throughout the remaining registration process.*

To continue work on a draft registration request, select the **Edit** button.



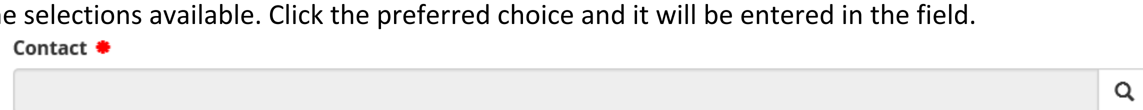
Actions Available for an Entity Registration Request
The available actions that can be taken during the entity registration request process are determined by the status of the application. Once an application has been submitted, Portal users will have view only access to the entity registration request record.

The available actions are as follows:

Status Type	Action(s) Allowed
Create	Create new entity registration request
Draft	Edit draft entity registration request Delete draft entity registration request Submit draft entity registration request
Pending Regional Review, Pending NERC Review	No actions available (view only)

Selecting from Dropdown Lists
There are certain sections that will require a user to make selections from a dropdown menu. These sections may include Upstream Holding Companies, Contacts, Registration Scopes, and Functional Mapping.

In order to fill in a field, select the **Search** icon. A dropdown list will appear. The data in the dropdown list will provide the selections available. Click the preferred choice and it will be entered in the field.



CORES Users, Contacts, and Permission Roles

CORES Users

- New Entities requesting registration
- Registered Entity Users/Administrators
- Regional Entities
- NERC

Contact Roles
The ERO Portal uses contact roles to send system-generated emails. In addition, these roles are shared with other ERO Applications such as the Align system. The Primary Compliance Contact (PCC) and Primary Compliance Officer (PCO) are required for compliance purposes and are primary roles.

NOTE: One PCC per Regional Entity for each registration. One PCO per Regional Entity for each registration. There is no limit to ACC roles for each registration. To assign a role, the user must have registered in the ERO Portal and have a username.

Entities' Use of List Service with Contact Roles

Registered entities are responsible for managing their own email addresses. Users will be able to update their individual email addresses in the profile area of the ERO Portal. If there is a change to the personnel at the registered entity and there is trouble updating email addresses, an IT support ticket may be submitted for assistance.

Table of Applications for Contact Roles

Application	Contact Role	Contact Role Description
All Applications	PCC - Primary Compliance Contact	The PCC will receive all compliance communications. The ERO Portal system will use this role for contact communications.
All Applications	ACC – Alternate Compliance Contact	The ACC is a backup to the PCC.
All Applications	PCO – Primary Compliance Officer	This role is typically a management-level contact that is responsible for regulatory affairs. The PCO is typically assigned as the authorized signatory for your organization. This person will receive or be copied on key compliance communications such as (1) notices related to alleged violations or (2) notices related to non-submittal of requested data. They will not be contacted for system communications from the ERO Portal.
All Applications	CEO – Chief Executive Officer	This role is a communication role for urgent notifications coming from the CEO of NERC.
Align	SUB - Align Submitter	This role is for communications related to the user that submits data in the Align system and for access to the Align system. <u>This role is a placeholder for the time being.</u>

ERO Portal System Roles (Permissions)

The ERO Portal uses Portal System roles to allow access to applications. The roles are sometimes referred to as web roles, since they provide web access to the applications on the site. In addition, these roles are shared with other ERO Applications such as the Align system. The Entity Administrator role provides access permissions and administrative privileges to the ERO Portal users for their entity. The Entity Administrator may provide limited access to other users at their registered entity. For example, there may be three Entity Administrators, a CORES User, a GMD User, and a MIDAS Read-Only User. The Entity Administrator will be able to assign and approve role requests, and access all the applications. The CORES User will be able to access and edit the registration data in the application for CORES, but not for other applications. Similarly, a GMD User would be able to access and edit the GMD data only. A MIDAS Read-Only User would only be able to view the data in the MIDAS application for the entity that has assigned them that role.

Application	System Role	System Role Description
All Applications	Entity Administrator	This person has read and write access to Align data, GMD data, MIDAS data, and CORES data. This role contains the following system roles: • Align User I, II, III • CORES User • GMD User • MIDAS User In addition, this person is able to assign or remove: • Entity Administrator • Align I, II, III (and future application roles) • CORES User • CORES Read-Only • GMD User • GMD Read-Only • MIDAS User • MIDAS Read-Only
ALIGN	Align Registered Entity Editor	This person can create and edit a self-log in Align for the Entity with which they are associated.
ALIGN	Align Registered Entity Reader	This person can read a self-log in Align for the Entity with which they are associated.
ALIGN	Align Registered Entity Submitter	This person can create/edit and submit a self-log in Align for the Entity with which they are associated.
CORES	CORES User	This person has read/write access to registration (i.e. CORES) activities – creating a new registration; updating basic entity information, upstream holding companies, contact roles, entity registration scopes, functional mapping, coordinated oversight, CFRs, JROs, and comments/attachments (some features are read-only (coordinated oversight), but may have write capability in the future).

GMD	GMD User	This person can view and submit GMD data and run GMD reports for the entity with which they are associated.
GMD	GMD Read-Only	This person can view GMD data and run GMD reports for the entity with which they are associated.
MIDAS Portal	MIDAS User	This person can create/edit and submit MIDAS data and run MIDAS reports for the entity with which they are associated.
MIDAS Portal	MIDAS Read-Only	This person can view MIDAS data and run MIDAS reports for the entity with which they are associated.

Permissions for Read/Write Privileges Available for an Entity Administrator and CORES User

By default, the registered Entity Administrator is the Primary Compliance Contact (PCC). The Entity Administrator role can be delegated by any registered entity's entity administrator in the ERO Portal. In addition to the actions that an Entity Administrator can take for an Entity Registration Request, there are supplementary actions that an Entity Administrator can perform for a registered entity depending upon its status. Some actions require Regional Entity and NERC acceptance and/or approval.

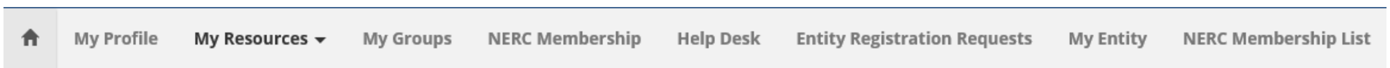
The following options will be available:

User Role	Privileges	User Actions Allowed	Administrator Actions
Entity Administrator	Edit/Add	• Edit Entity Basic Information • Edit Upstream Holding Companies • Edit Contacts • Edit Functional Mapping • Edit CFR • Add Comments and Attachments	Edit/Add Users
Entity Administrator	Submit	• Submit New Entity Registration Request • Submit Entity Name Change • Submit JRO Change • Submit Registration Scope Change	N/A
Entity Administrator	Read Only	• View Coordinated Oversight (No actions available, view only)	N/A

Chapter 1: New Entity Registration Requests

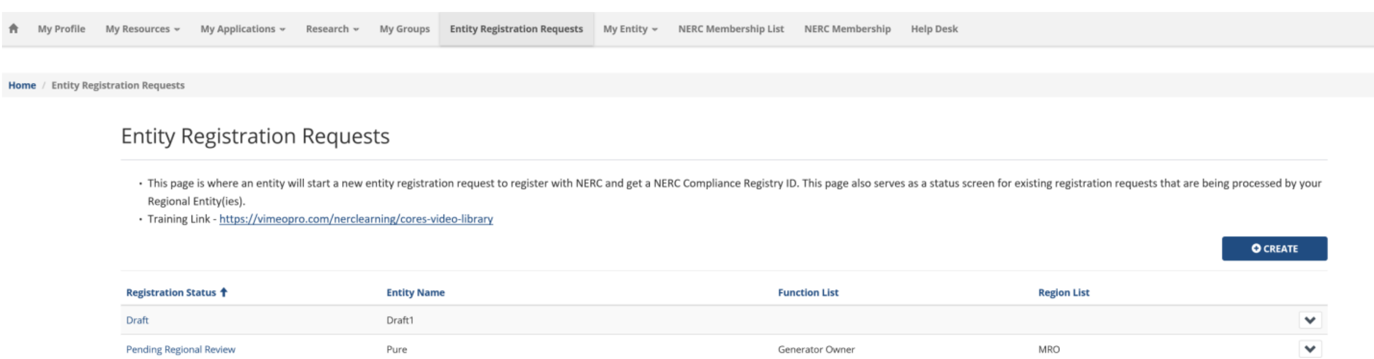
Create and Manage New Entity Registration Requests

Selecting the **Entity Registration Requests** option will provide the user an opportunity to create and submit a new registration request or update a draft registration request that has not been submitted to the applicable Regional Entity(ies) and NERC for review and approval.



To Create a Draft New Entity Registration Request:

1. Click **Create**
2. Complete the following forms
    a. Basic Information
    b. Upstream Holding Companies
    c. Contacts (Contact Roles)
    d. Entity Scopes
    e. Functional Mapping
    f. Comments & Attachments
3. Submit Entity Registration Request



Entity Registration Request Status

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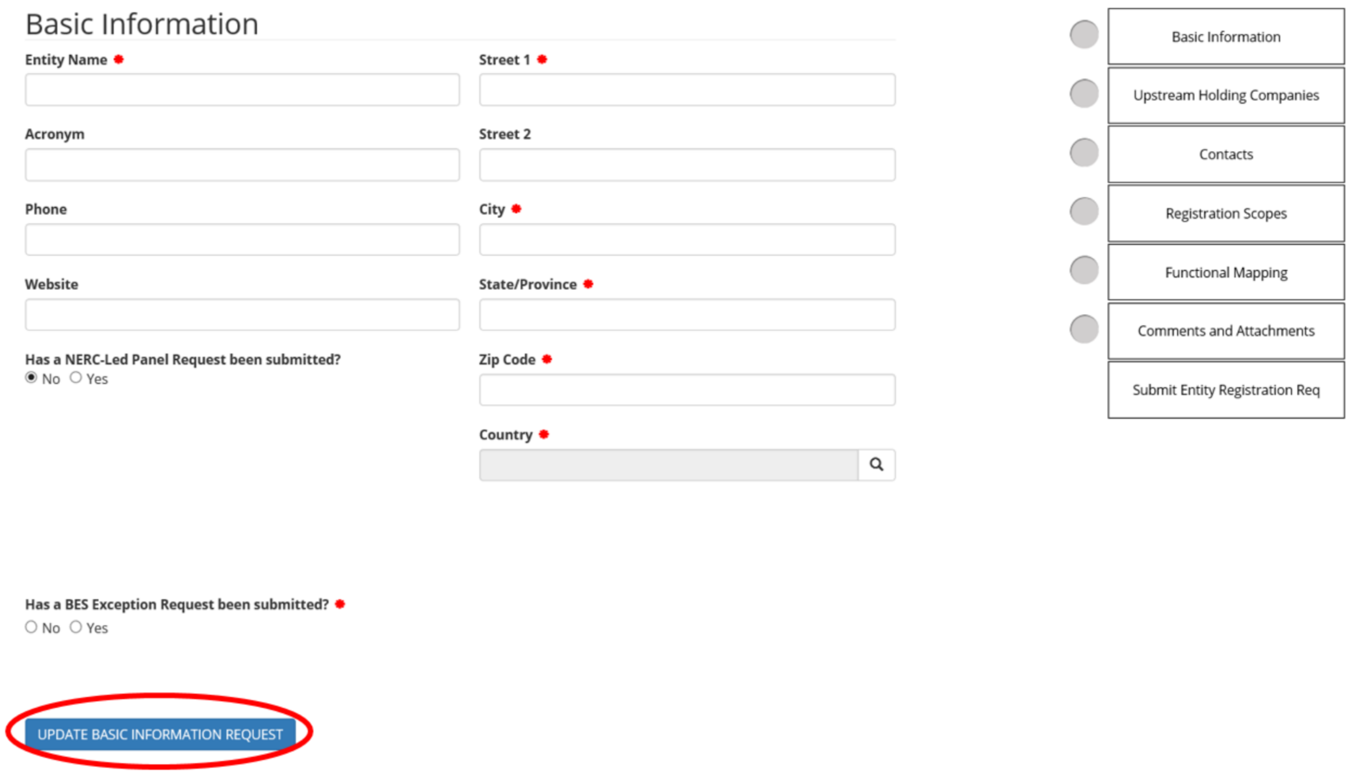
Basic Information

The Basic Information page is used for recording the entity's data at the highest level, which includes the entity's name and address.

The Entity name is required to be a legal corporation. Provide the corporate address as Basic Information; contacts have the opportunity to provide their individual addresses under the contact tab.

Using the dropdown list for **Country**, provide the country associated with the corporate address, do not select the country where you are performing Reliability Functions, jurisdiction is covered in the Registration Scope.



If you are unaware of a request for a NERC-led Panel Request or a BES Exception has not been submitted, select **No**. If needed, responses to these fields can be revised at a later time.

<u>Do not leave the Basic Information page without selecting the Update Basic Information Request button. CORES does not automatically save changes until this button has been selected.</u>

Upstream Holding Companies

The Upstream Holding Companies page is used to record corporate organizational structures that an entity has with others entities – either non-registered or registered.

<u>While the tool provides options for the user to select additional categories such as Affiliates and Subsidiaries, the ERO is asking that at a minimum the registered entities provide the "Upstream" Holding Company – the ultimate parent organization.</u>

Has Companies? Always select "Yes."

- As referenced in the tips section, users may select the dropdown arrow to update the records should there be an organizational change to the entity.
- Changes entered in this form do not require Regional Entity or NERC approval, but will be reviewed.

Holding Company (Minimum Requirement)
A Holding Company is defined as a parent corporation, or a company whose primary business is holding a controlling interest in the securities of other companies, that has one or more Registered Entities in the same corporate family, and which it may or may not control their policies and oversee its management decisions. Holding companies may or may not be registered entities. ***<u>Enter the "Upstream" Holding Company – the ultimate parent organization.</u>***

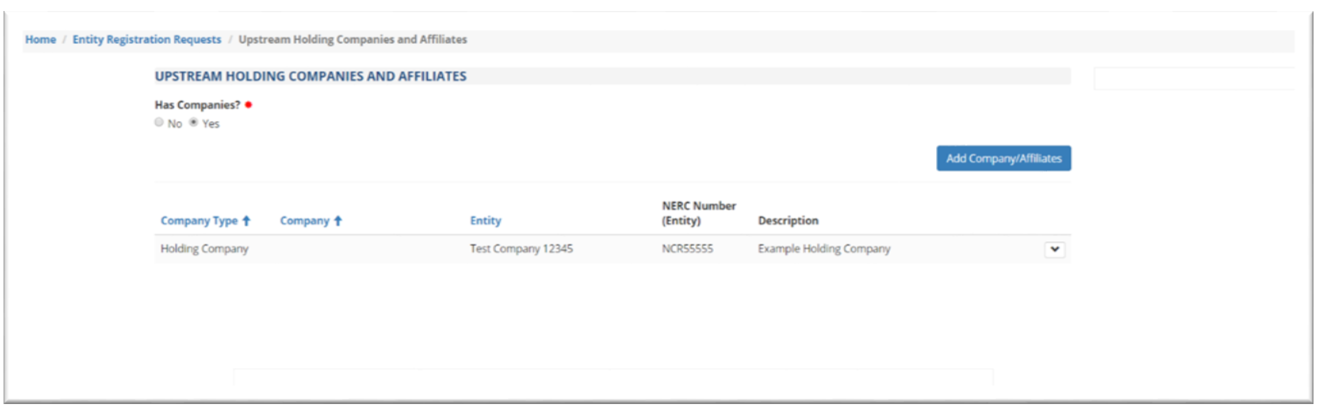
- If your entity is the Upstream Holding Company, enter it as the Holding Company from the registered entity list.
- If your entity has an Upstream Holding Company, enter it as the Holding Company from the registered or non-registered list.

Affiliates
Affiliate companies are those registered entities that are owned by the same Upstream Holding Company.

- If your entity is an Upstream Holding Company, then Affiliates may be entered from the list of registered entities.
- If your entity is an Affiliate or Subsidiary of an Upstream Holding Company, then Affiliates may be entered from the list of registered entities.

Subsidiaries
Subsidiaries are Affiliate companies under the Upstream Holding Company. Subsidiaries are registered entities.

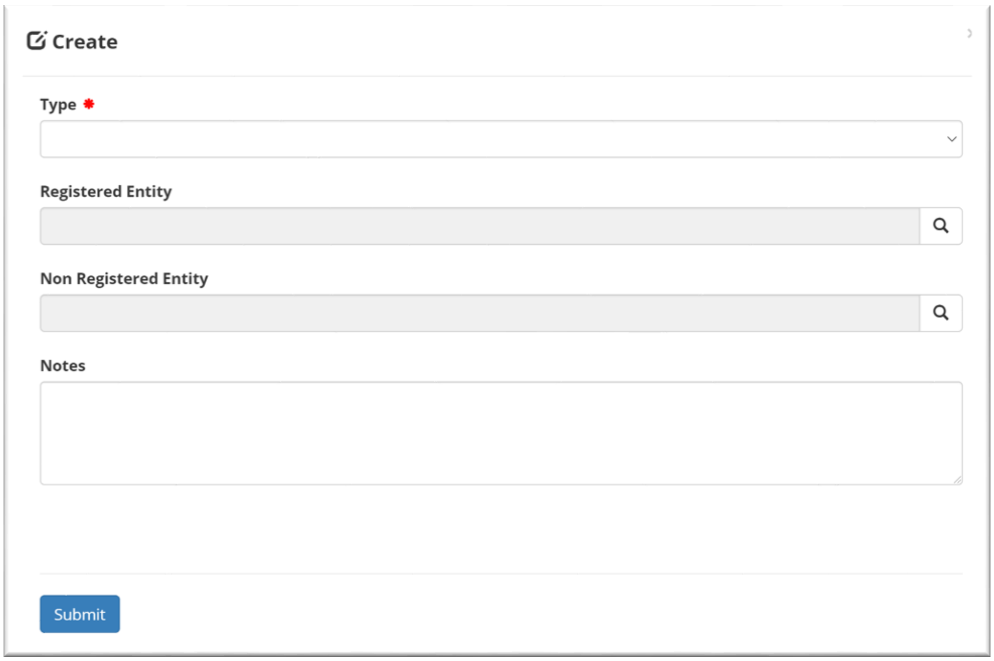
- If your entity is an Upstream Holding Company, then Subsidiaries may be entered from the list of registered entities.
- If your company is an Affiliate or Subsidiary of an Upstream Holding Company, then Subsidiaries may be entered from the list of registered entities.

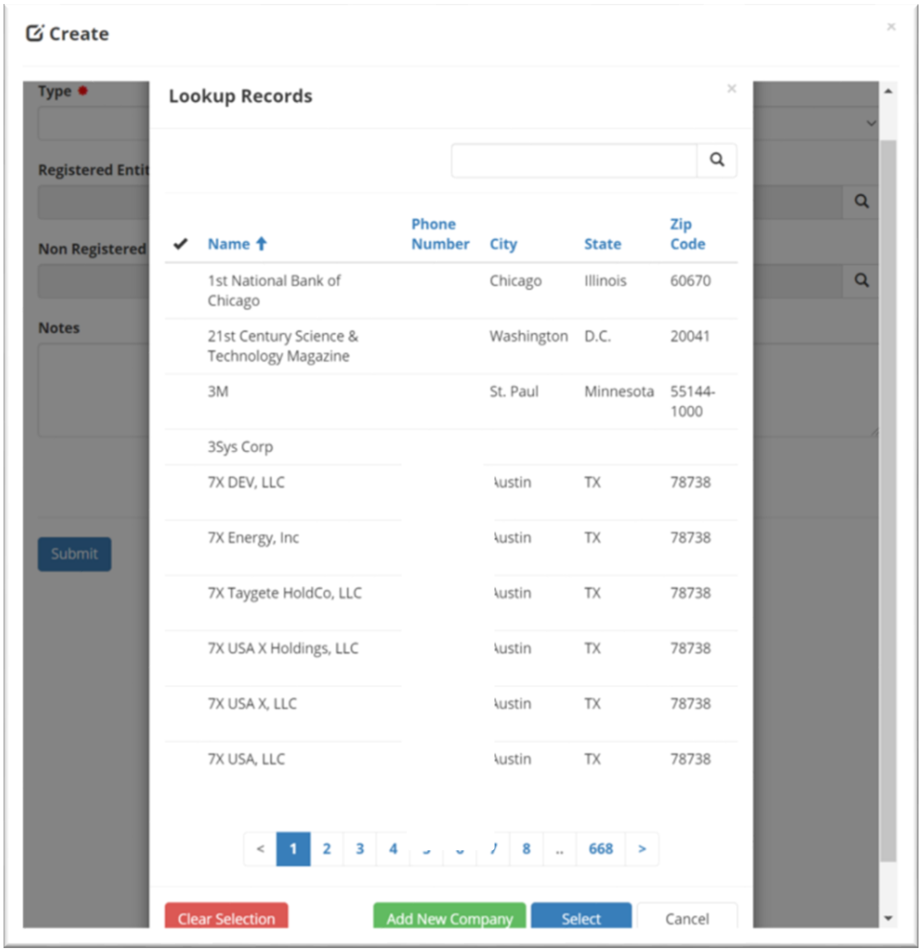


To add a Holding Company or Affiliate:

1. Under **Has Companies**, select **Yes**
2. Click the **Add Company/Affiliates** button
3. Select the **Type** (Holding Company, Affiliate or Subsidiary)
4. If the company being added is a **Registered Entity**, search by NCR number.
5. If the company is a **Non-Registered Entity**, search by Name.

   a. If the company does not exist in CORES:
      i. Select **Add a New Company**
      ii. **Submit** the new company
      iii. **Select** the New Company now that it is added to the list
6. Once the company has been located, highlight the company and click **Select**
7. Click **Submit** to complete the entry of the affiliate company





Contacts (Contact Roles)

The Contact Roles page shows the list of Contacts related to the entity registration request. All registered entities are required to maintain one Primary Compliance Contact (PCC) and one Primary Compliance Officer (PCO) per region. Contact roles may be added and/or deactivated by the registered entity at any time. When updating the contact roles, at least one PCC or PCO per region will need to remain for the registration. When a new PCC or PCO is added, the old one will be deactivated. Contacts that have been deactivated are added to a view for historical viewing.

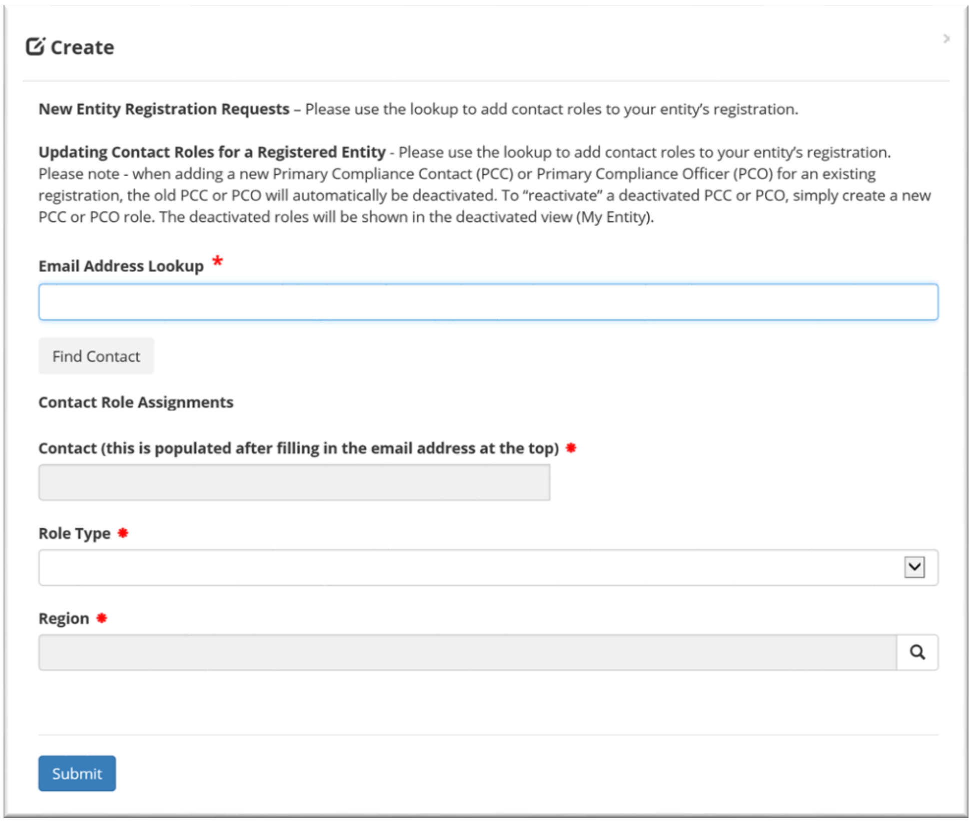
NOTE: One PCC per Regional Entity for each registration. One PCO per Regional Entity for each registration. There is no limit to ACC roles for each registration. To assign a role, the user must have registered in the ERO Portal and have a username. Changes in contacts do not require approval or acceptance by the Regional Entities or NERC.

To create a Contact Role:

1. On the right-side navigation bar select **Contact Roles**
2. Click **Create**
3. Enter the email address of the contact that will be assigned a contact role for the entity into the **Email Address Lookup**
4. Click **Find Contact**

   a. If found, the contact will be added to the form to create a contact role
   b. If not found, please notify the individual to sign-up as a user by registering for access to the ERO Portal https://eroportal.nerc.net. Once the individual has signed up they will appear in the system and will appear in the Email Address Lookup.

5. Select the **Role Type** from the dropdown list
6. Select the **Region** from the dropdown list
7. Click **Submit** to complete the creation of the contact role.



To deactivate a Contact Role:

There are two ways to deactivate a contact. The first is to use the dropdown arrow and select deactivate – this will not work if there is an existing PCC or PCO role for the region. The second is for existing PCC and PCO. When a new PCC is added and one already exists in that region, the previous one will be deactivated and moved to the deactivated view.

Deactivation Using Dropdown

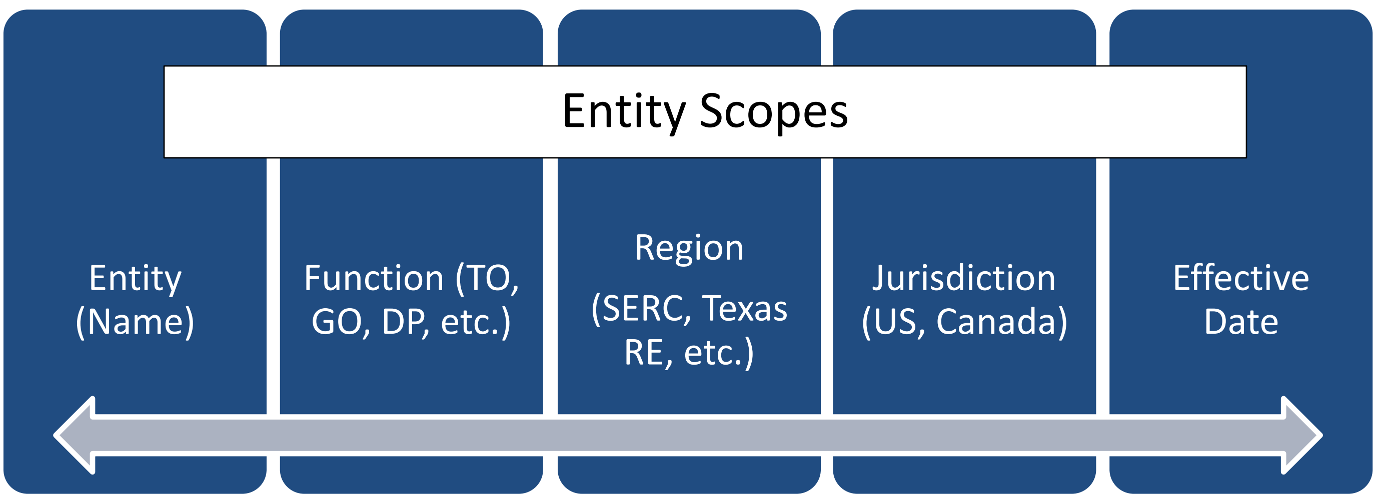
1. On the right-side navigation bar select **Contact Roles**
2. To the right of the contacts name, click the dropdown arrow and select **Deactivate**

Deactivation when Creating a New Contact Role for PCC or PCO

1. Follow the procedure for Creating a New Contact Role.
2. The previous contact role (PCC/PCO in the specified region) will be automatically deactivated and the new contact role will take its place.

Entity Scopes

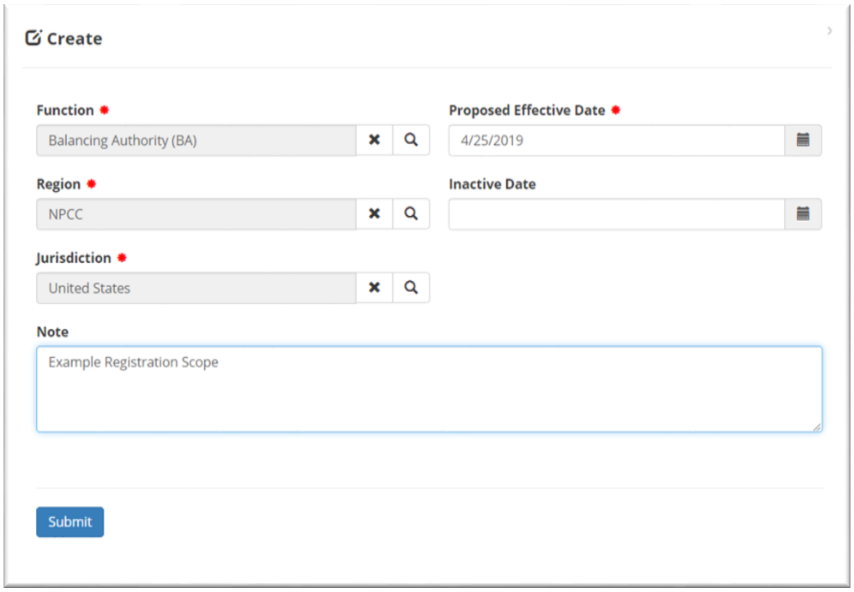
The Entity Scope is the aggregate of functions associated with the entity registration request. Each entity must register for at least one function in the NERC Compliance Registry.



Entities performing a function in multiple Regions and/or Jurisdictions must submit a registration for the function in each Region and Jurisdiction in which it performs that function. Entities operating within multiple Regions and Jurisdictions under one NCR is permitted.

To add a Function:

1. Click on **Add Registration Scope**
2. Select the **Function** from the dropdown list
3. Select the **Region** from the dropdown list
4. Select the **Jurisdiction** from the dropdown list
5. Using the calendar feature, select the **Proposed Effective Date** of the registration (this date may be modified as required)
6. Select **Submit** to complete the addition of the function to the Registered Entity's registration



When selecting the functions of Generator Owner, Generator Operator, or Distribution Provider, the data entry field is expanded and requests additional information.

Generator Owners and Generator Operators:
A Generator Owner and Generator Operator will have additional information requested on their form and will need to provide this information regarding their registration. This may include uploading a GO/GOP asset validation form in the comments and attachments form. Contact your region for assistance, if needed.

Distribution Providers:
Distribution Providers are requested to provide the criteria used to support the registration of the entity as a Distribution Provider. Entities requesting registration as a distribution provider will need to provide overall system peak load, along with other applicable criteria and the Regional Entity will review interconnection points for registration criteria.

Functional Mapping

The Functional Mapping page creates the mapped registered functional relationships between registered entities. Functional mapping provides reasonable assurance there are no reliability gaps as related to the registration of entities.

The functions and relationships may be entered by the registered entity. The following table describes the relationships needed for each registered entity's functions that require mapping - Balancing Authority (BA), Distribution Provider (DP), Distribution Provider Underfrequency Load Shedding (DP-UFLS), Generator Owner (GO), Transmission Owner (TO), Transmission Operator (TOP), and Transmission Planner (TP). For each registered function, the registered entity will map to the registered entities that are performing the related functions - Reliability Coordinator (RC), Balancing Authority (BA), Transmission Operator (TOP), Transmission Planner (TP), Planning Coordinator/Planning Authority (PA/PC). Entities that are registered as a BA, DP, DP-UFLS, GO, TO, TOP, and TP must complete functional mapping and only for those functions.

Registered Entity registered as:	Map to appropriate entity who performs this function for registered entity.				
Balancing Authority (BA)	>	RC			
Distribution Provider (DP)	>	BA	PC/PA	TOP	
Distribution Provider (DP-UFLS)	>	PC/PA			
Generator Owner (GO)	>	BA	GOP	TOP	TP
Transmission Owner (TO)	>	PC/PA	TOP	TP	
Transmission Operator (TOP)	>	BA	RC		
Transmission Planner (TP)	>	PC/PA			

Entities that are registered as a BA, DP, DP-UFLS, GO, TO, TOP, and TP must complete functional mapping and only if they are registered for BA, DP, DP-UFLS, GO, TO, TOP, and/or TP. When entering data, the registered entities on the left of the table will enter the other registered entity that performs the RC, BA, TOP, PC/PA, GOP, TOP, and/or TP function.

For example, if the registered entity (My Entity) was registered as a TOP function in MRO, then two map records will be added. One record for a BA and one record for an RC in the region that the registered entity (My Entity) and the mapped entity (Test Company Name Update, LLC) are registered (MRO region).

Functional Mapping

Add Mapping

Function	FunctionAbbr (Function)	Region	Entity	NERC Number (Entity)	Description	Created On
Reliability Coordinator	RC	MRO	Testing Company Name Update, LLC	NCR55555		4/15/2020 4:08 PM
Balancing Authority	BA	MRO	Testing Company Name Update, LLC	NCR55555		4/15/2020 4:07 PM

The table below identifies some special cases that may occur for registered entities as they complete their functional mapping.

Special Cases

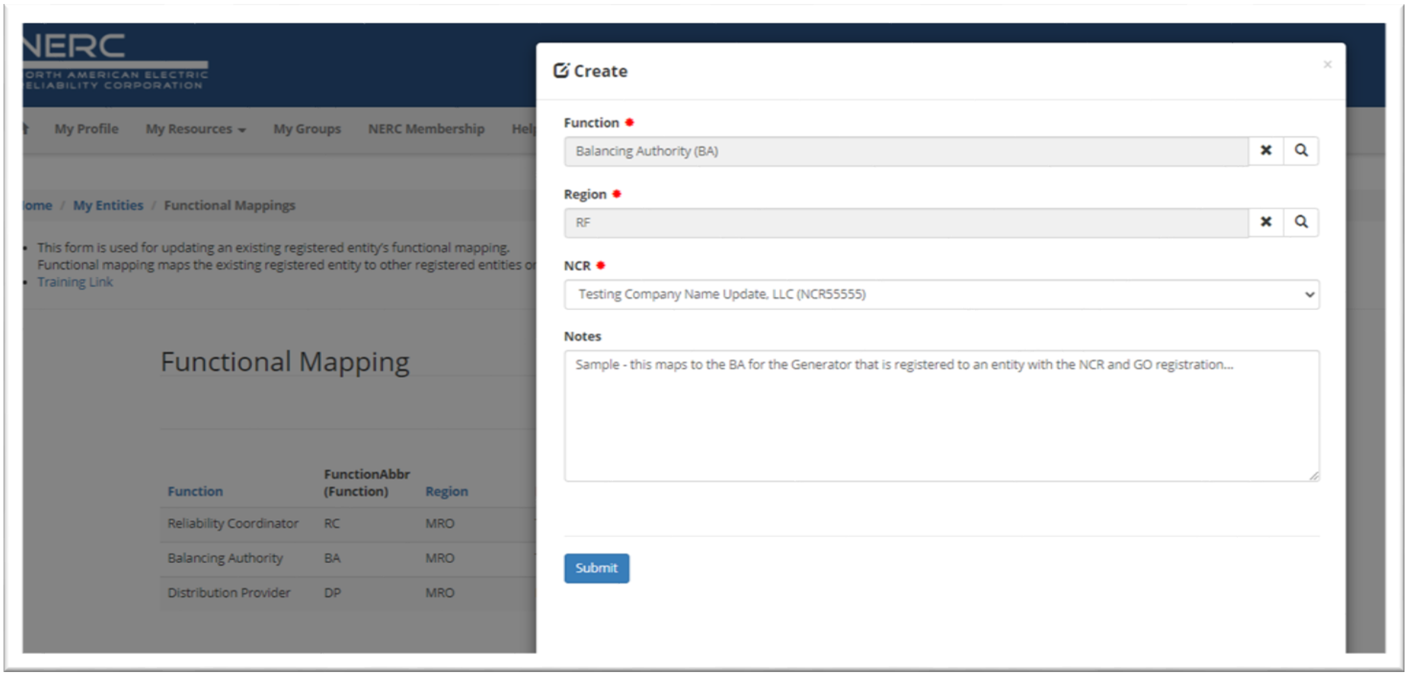
Case	Action	Example
Entity is registered for a function and performs the mapped function.	Self-map the mapped Function	Entity is registered as GO and GOP. Entity maps itself to GOP.
Entity is registered for a function and performs the mapped function for some of its relevant assets and one or more entities perform the mapped function for those assets.	Self-map the mapped Function and map to the other entity(ies)	Entity is registered as a GO and GOP. Entity is operating one Facility as GOP. Another entity or entities are operating some of its facilities. Entity maps to itself

Case	Action	Example
		and the entity(ies) that are operating its assets as a GOP.
Entity is registered in multiple regions under the same NCR ID#.	Complete functional map for each region.	Entity is registered in SERC and MRO as a GO. Entity completes functional maps to the BA, GOP, TOP, and TP that are registered in SERC and MRO.
Entity is registered for a function and the mapped entity is in a CFR for that function.	Complete functional map for each Party in the CFR relevant to the Entity's registered function.	Entity is registered as a TO and maps to a TOP that is in a TOP CFR[1]. Entity completes functional maps for each TOP that perform a TOP function for the Entity's TO registration.
New Registration Request where the new entity will perform the mapped function.	Partially complete functional mapping until registration is complete, then complete functional mapping.	Entity is applying to register as GO and GOP. Entity would map itself as GOP, but since it's not yet registered this step will have to be delayed until registration is completed. After registration is completed, the entity will be able to update their functional mapping.

To add Functional Mapping:

1. Click on **Add Mapping**
2. Select the **Function** from the dropdown list
3. Select the **Region** from the dropdown list
4. Select the **Entity** from the **NCR** drop down list
5. Select **Submit** to complete the addition of the function to the registered entity's mapping

[1] CFR list is available on NERC.com.

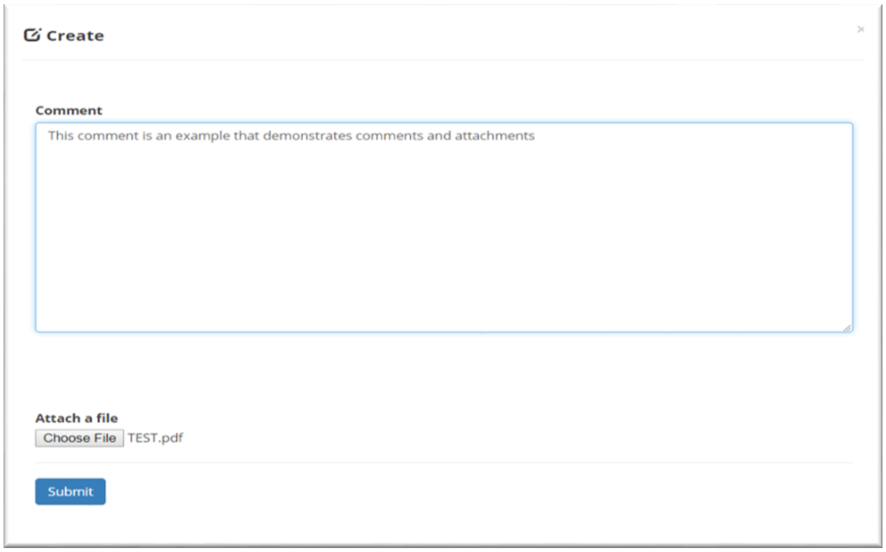


Comments & Attachments

Companies submitting a request for registration have the opportunity to provide comments and documents supporting their registration request by selecting the Comments and Attachments page. Each record allows for a comment, an attachment or both. There is a 50 MB file limit.

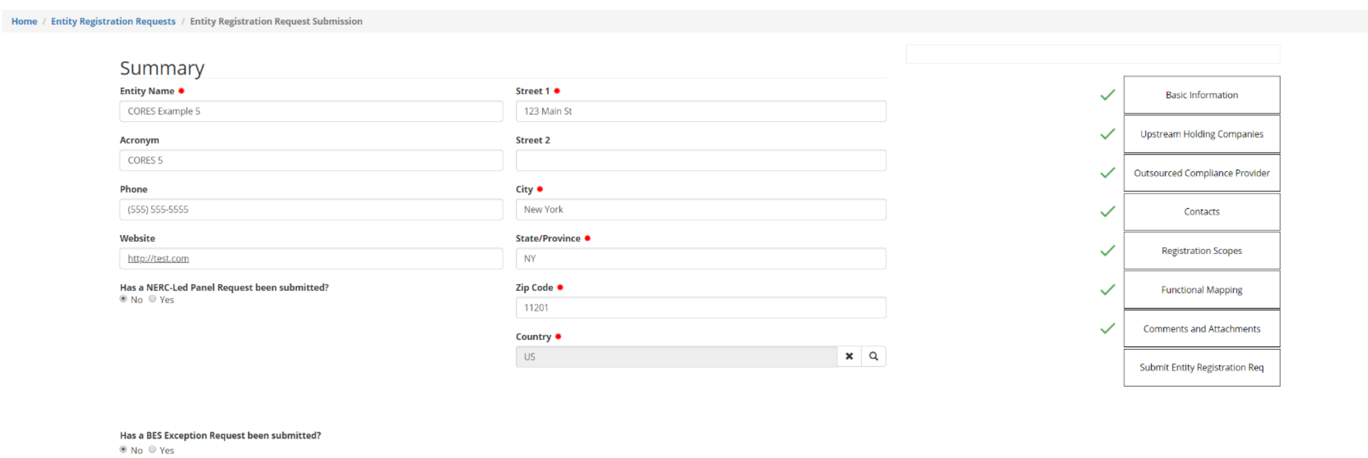
To add Comments and Attachments:

1. Click **Add Comment**
2. Enter any comments regarding the registration of the entity
3. Click **Browse** to retrieve a file from your network to submit in support of the registration
4. Select **Submit** when all comments and documents have been uploaded



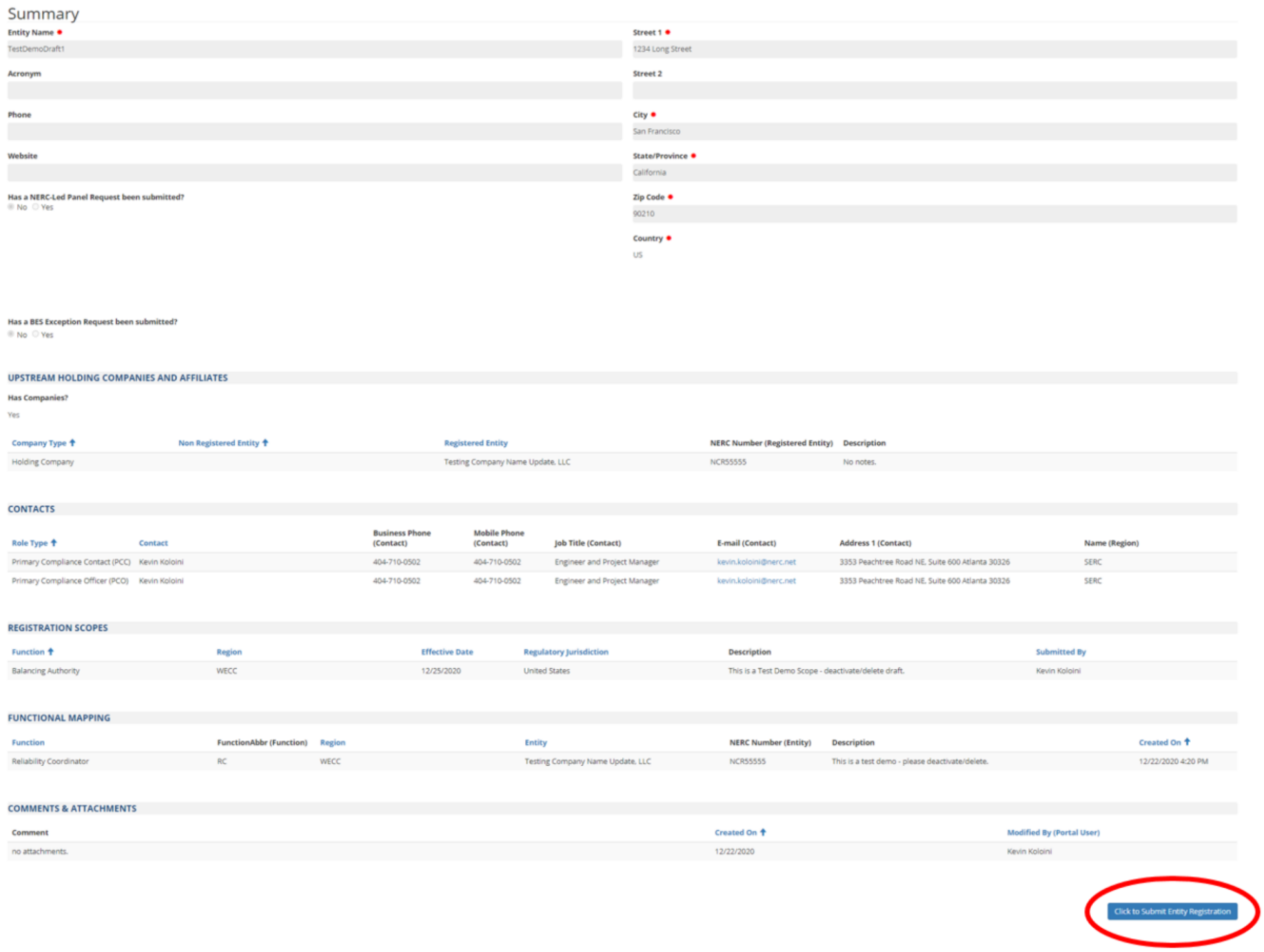
Submit Entity Registration Request

Prior to submitting the Registration request for Regional Entity review, check the summary for accuracy of all information associated with the entity registration request.



To submit Entity Registration Request:

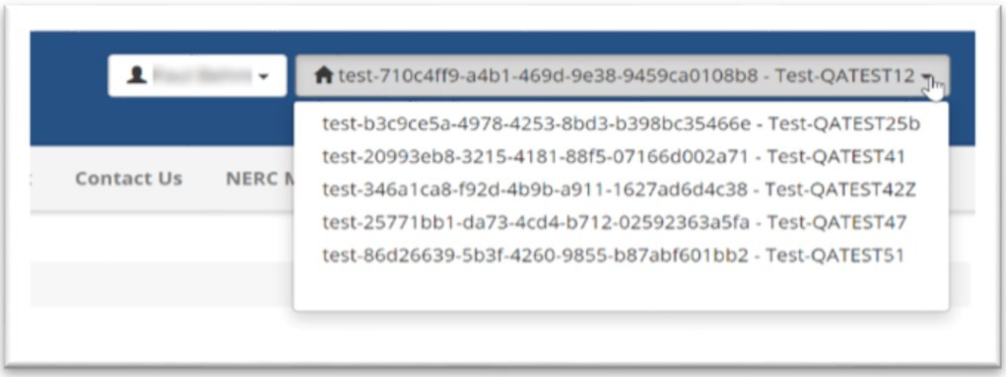
1. Review all fields to ensure completeness and accuracy
2. If all required fields have been filled in, the **Click to Submit Entity Registration** will be highlighted for submittal
3. Select the **Click to Submit Entity Registration** button
4. The PCC will receive notification the Registration Request was submitted to the appropriate Regional Entities and NERC for approval
5. Upon approval by the Regional Entities and NERC, the entity will receive a second email notifying the entity of the registration and the NERC Compliance Registry number


Summary
Entity Name
TestDemoDraft1
Acronym
Phone
Website
Has a NERC-Led Panel Request been submitted?
No Yes
Street 1
1234 Long Street
Street 2
City
San Francisco
State/Province
California
Zip Code
90210
Country
US
Has a BES Exception Request been submitted?
No Yes
UPSTREAM HOLDING COMPANIES AND AFFILIATES
Has Companies?
Yes
Company Type
Non Registered Entity
Registered Entity
NERC Number (Registered Entity)
Description
Holding Company
Testing Company Name Update, LLC
NCR55555
No notes.
CONTACTS
Role Type
Contact
Business Phone (Contact)
Mobile Phone (Contact)
Job Title (Contact)
E-mail (Contact)
Address 1 (Contact)
Name (Region)
Primary Compliance Contact (PCC)
Kevin Koloini
404-710-0502
404-710-0502
Engineer and Project Manager
kevin.koloini@nerc.net
3353 Peachtree Road NE, Suite 600 Atlanta 30326
SERC
Primary Compliance Officer (PCO)
Kevin Koloini
404-710-0502
404-710-0502
Engineer and Project Manager
kevin.koloini@nerc.net
3353 Peachtree Road NE, Suite 600 Atlanta 30326
SERC
REGISTRATION SCOPES
Function
Region
Effective Date
Regulatory Jurisdiction
Description
Submitted By
Balancing Authority
WECC
12/25/2020
United States
This is a Test Demo Scope - deactivate/delete draft.
Kevin Koloini
FUNCTIONAL MAPPING
Function
FunctionAbbr (Function)
Region
Entity
NERC Number (Entity)
Description
Created On
Reliability Coordinator
RC
WECC
Testing Company Name Update, LLC
NCR55555
This is a test demo - please deactivate/delete.
12/22/2020 4:20 PM
COMMENTS & ATTACHMENTS
Comment
Created On
Modified By (Portal User)
no attachments.
12/22/2020
Kevin Koloini
Click to Submit Entity Registration

Chapter 2: Updating Entity Registration for "My Entity"

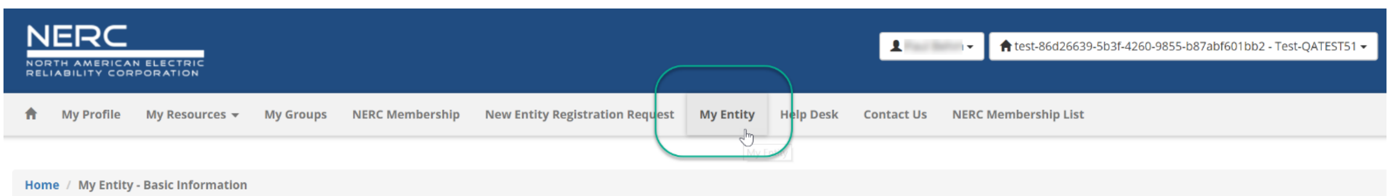
Managing Registration Information

Users and Administrators representing more than one registered entity are only required to log into the ERO Portal once to access all registrations under their purview. After logging into the Portal, the dropdown box in the top right offers an Entity Administrator the ability to select the entity to be reviewed. This dropdown box displays all entities associated to the Entity Administrator in the Portal.



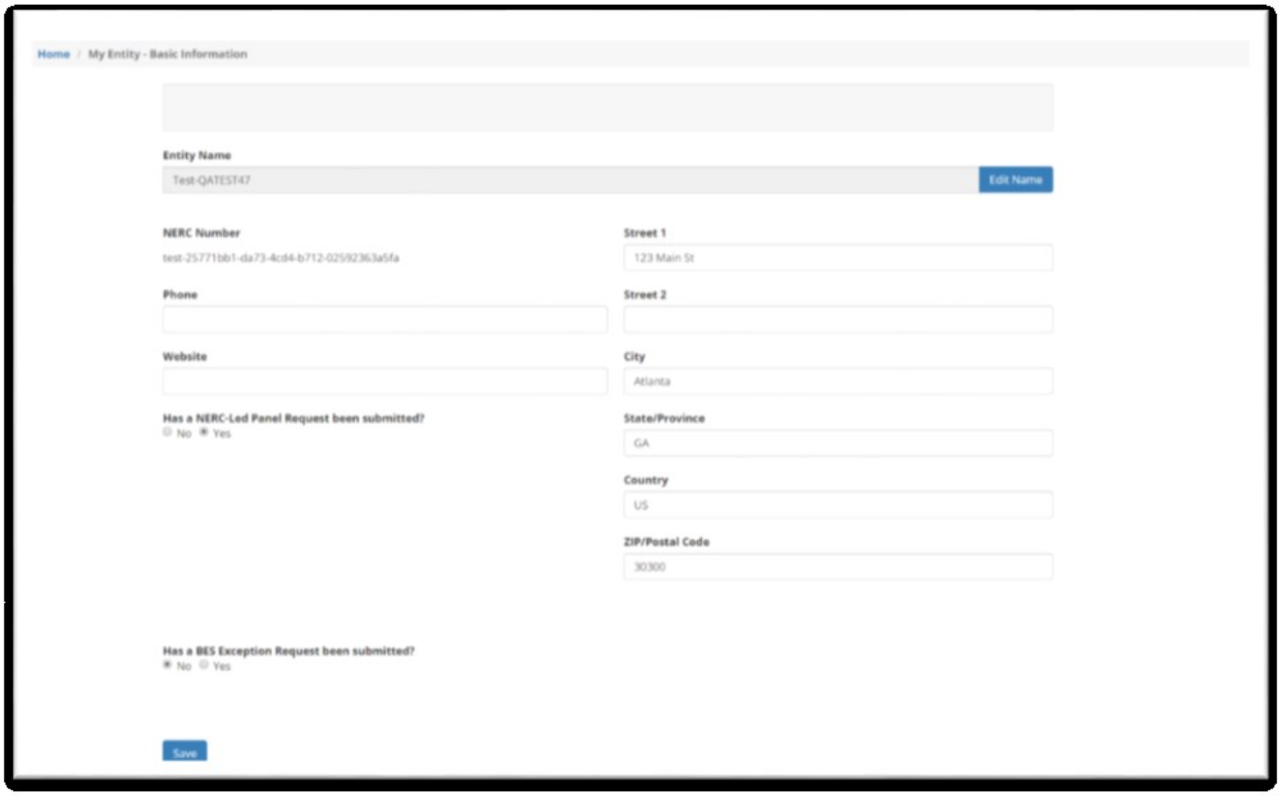
My Entity

Once the user selects which registered entity records they are accessing, registered entities can access the details of the registration by selecting **My Entity**.



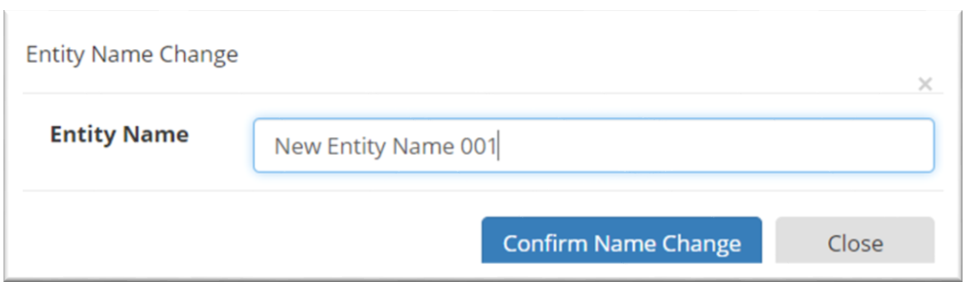
Basic Information

The Basic Information screen provides the latest information on record provided by the registered entity and the NERC Compliance Registry (NCR) number. Changes to the address can be made at any time and do not require acceptance by the ERO Enterprise. The entity address is typically the corporate office address or facility office.



Entity Name Change

Registered entities can submit changes to their name from the Basic Information page. Name changes are submitted to the ERO Enterprise for acceptance.



To Submit Entity Name Change:

1. Select the **Edit Name** button to edit Entity Name
2. Enter the Entity's new name
3. Select **Confirm Name Change**
4. The PCC will receive notification the name change request was submitted to the appropriate Regional Entities and NERC for acceptance
5. Upon acceptance by the Regional Entities and NERC, the entity will receive a second email notifying the entity of the name change in the NERC Compliance Registry

Upstream Holding Companies

The Upstream Holding Companies page is used to record corporate organizational structures that an entity has with others entities – either non-registered or registered.

While the tool provides options for the user to select additional categories such as Affiliates and Subsidiaries, the ERO is asking that at a minimum the registered entities provide the "Upstream" Holding Company – the ultimate parent organization.

Has Companies? Always select "Yes."

- As referenced in the tips section, users may select the dropdown arrow to update the records should there be an organizational change to the entity.
- Changes entered in this form do not require Regional Entity or NERC approval, but will be reviewed.

Holding Company (Minimum Requirement)

A Holding Company is defined as a parent corporation, or a company whose primary business is holding a controlling interest in the securities of other companies, that has one or more Registered Entities in the same corporate family, and which it may or may not control their policies and oversee its management decisions. Holding companies may or may not be registered entities. ***Enter the "Upstream" Holding Company – the ultimate parent organization.***

- If your entity is the Upstream Holding Company, enter it as the Holding Company from the registered entity list.
- If your entity has an Upstream Holding Company, enter it as the Holding Company from the registered or non-registered list.

Affiliates

Affiliate companies are those registered entities that are owned by the same Upstream Holding Company.

- If your entity is an Upstream Holding Company, then Affiliates may be entered from the list of registered entities.
- If your entity is an Affiliate or Subsidiary of an Upstream Holding Company, then Affiliates may be entered from the list of registered entities.

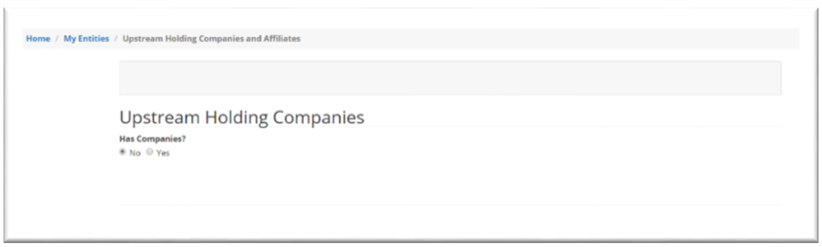
Subsidiaries

Subsidiaries are Affiliate companies under the Upstream Holding Company. Subsidiaries are registered entities.

- If your entity is an Upstream Holding Company, then Subsidiaries may be entered from the list of registered entities.
- If your company is an Affiliate or Subsidiary of an Upstream Holding Company, then Subsidiaries may be entered from the list of registered entities.

To add or update a Holding Company or Affiliate:

1. Under **Has Companies**, select **Yes**
2. Click **Add Company/Affiliates**
3. Select the **Type**, Holding Company, Affiliate or Subsidiary
4. If the company being added is a Registered Entity, search by NCR number. If the company is not a Registered Entity, search by Name.
   a. **Add a New Company** If the company does not exist in CORES
   b. **Submit** the new company
5. Once the company has been located, highlight the company and click **Select**
6. Click **Submit** to complete the entry of the affiliate company



Contacts (Contact Roles)

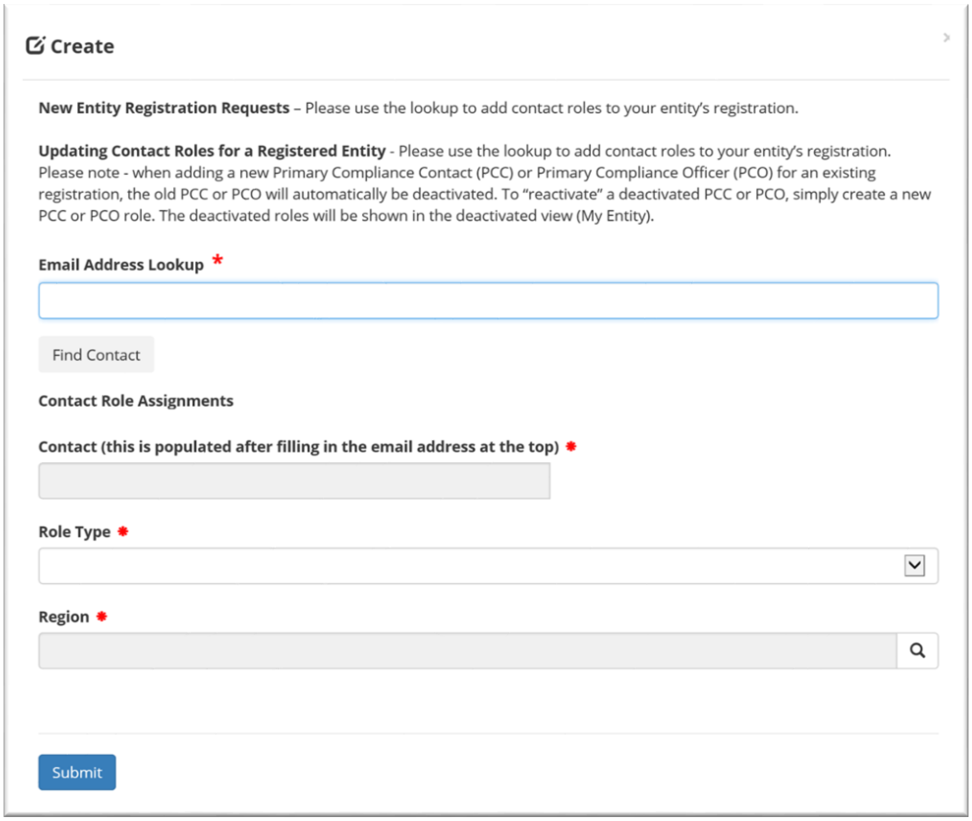
The Contact Roles page shows the list of Contact Roles related to registered entity. All registered entities are required to maintain one Primary Compliance Contact (PCC) and one Primary Compliance Officer (PCO) per region. Contact roles may be added and/or deactivated by the registered entity at any time. When updating the contact roles, at least one PCC or PCO per region will need to remain for the registration. When a new PCC or PCO is added, the old one will be deactivated. Contacts that have been deactivated are added to a view for historical viewing.

NOTE: One PCC per Regional Entity for each registration. One PCO per Regional Entity for each registration. There is no limit to ACC roles for each registration. To assign a role, the user must have registered in the ERO Portal and have a username. Changes in contacts do not require approval or acceptance by the Regional Entities or NERC.

To create a Contact Role:

8. On the right-side navigation bar select **Contact Roles**
9. Click **Create**
10. Enter the email address of the contact that will be assigned a contact role for the entity into the **Email Address Lookup**
11. Click **Find Contact**
    a. If found, the contact will be added to the form to create a contact role
    b. If not found, please notify the individual to sign-up as a user by registering for access to the ERO Portal https://eroportal.nerc.net.   Once the individual has signed up they will appear in the system and will appear in the Email Address Lookup.
12. Select the **Role Type** from the dropdown list

13. Select the **Region** from the dropdown list
14. Click **Submit** to complete the creation of the contact role.



To deactivate a Contact Role:

There are two ways to deactivate a contact. The first is to use the dropdown arrow and select deactivate – this will not work if there is an existing PCC or PCO role for the region. The second is for existing PCC and PCO. When a new PCC is added and one already exists in that region, the previous one will be deactivated and moved to the deactivated view.

Deactivation Using Dropdown

1. On the right-side navigation bar select **Contact Roles**
2. To the right of the contacts name, click the dropdown arrow and select **Deactivate**

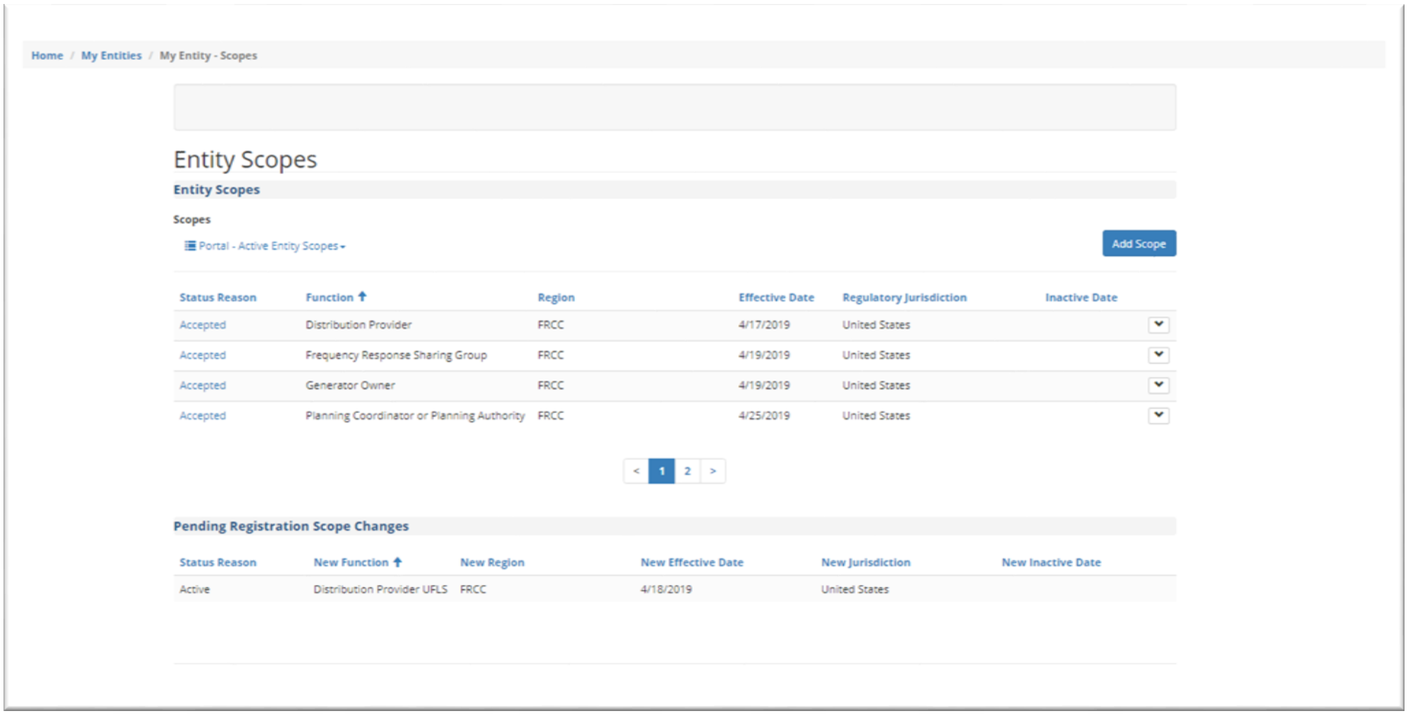
To Deactivate the previous role when creating a New Contact Role for PCC or PCO:

1. Follow the procedure for creating a New Contact Role.

2. The previous contact role (on for PCC/PCO in the specified region) will be automatically deactivated and the new contact role will take its place.

Entity Scopes

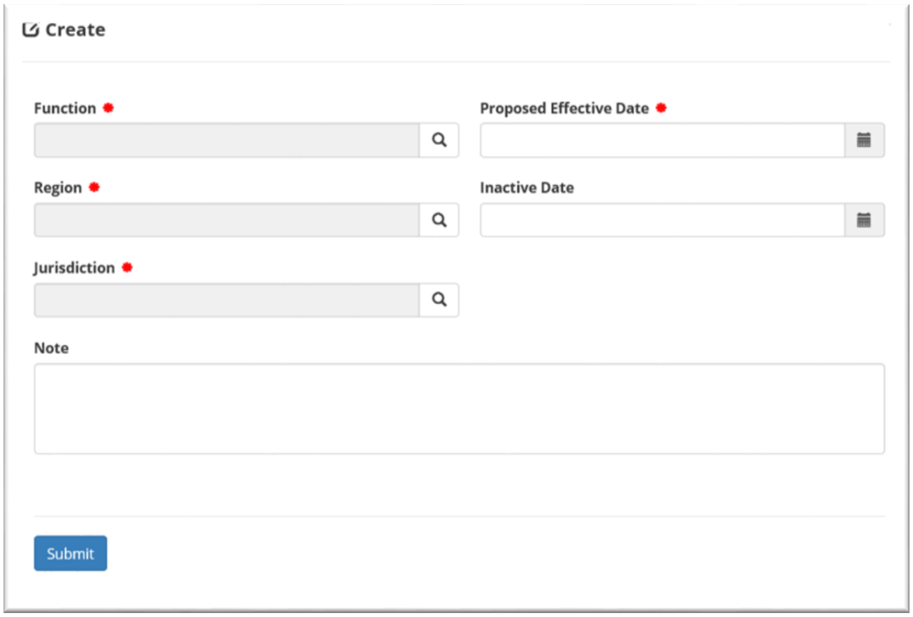
Registered entities can review the list of functions provided by the registered entity and they can modify their Entity Scope any time after registration. Registered entities may request to revise their registration scope at any time based upon changes that affect the scope of their responsibilities. The change in scope may lead to the addition of an additional function(s) being added to their scope, the elimination of functions and potentially leading to the de-registration of a registered entity that no longer meets the registration criteria.



Registered entities can request the registration of additional functions as necessary from the Entity Scope page.

To add a Function:

1. Click **Add Registration Scope**
2. Select the **Function** from the dropdown list
3. Select the **Region** from the dropdown list
4. Select the **Jurisdiction** from the dropdown list
5. Using the calendar feature, enter a proposed Effective Date of the registration, this date may be modified as necessary
6. Select **Submit** to complete the addition of the function to the Registered Entity's registration

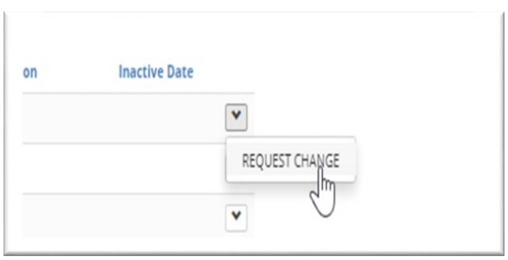


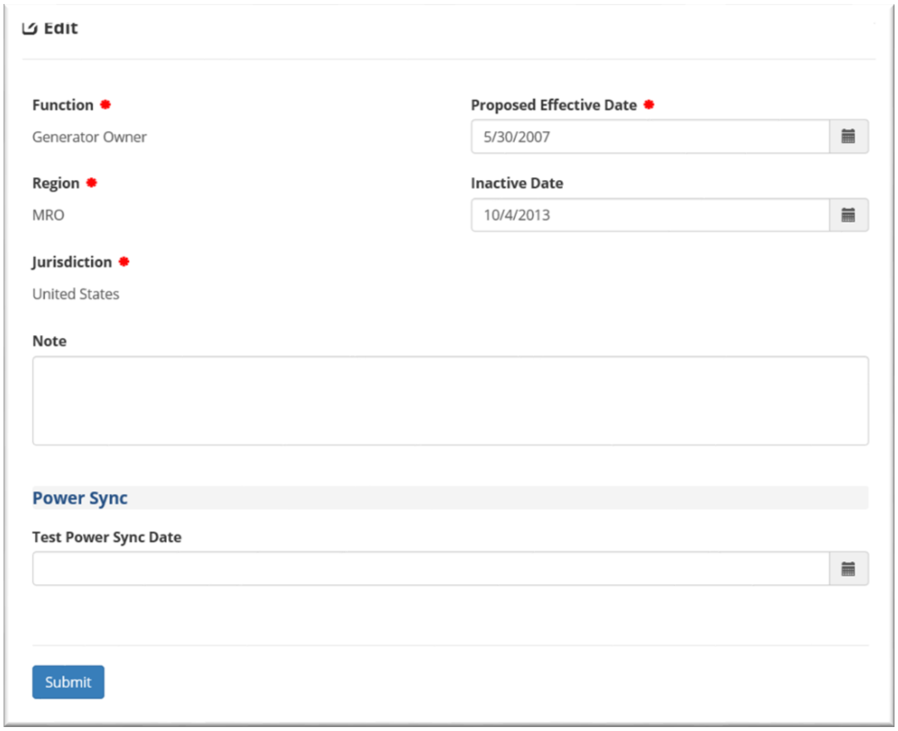
+

Registered entities can request the deactivation of a function(s) from its registration in CORES. Removal of the last function will ultimately lead to the deregistration of the registered entity in the NERC Compliance Registry upon approval by the appropriate Regional Entity and NERC.

To deactivate a Function:

1. From the Entity Scope Page, select the Function
2. Select the **Request Change** from the dropdown list
3. Enter the Inactive Date of the function
4. Provide documentation supporting the deactivation request
5. **Submit** to complete the deactivation request





Functional Mapping

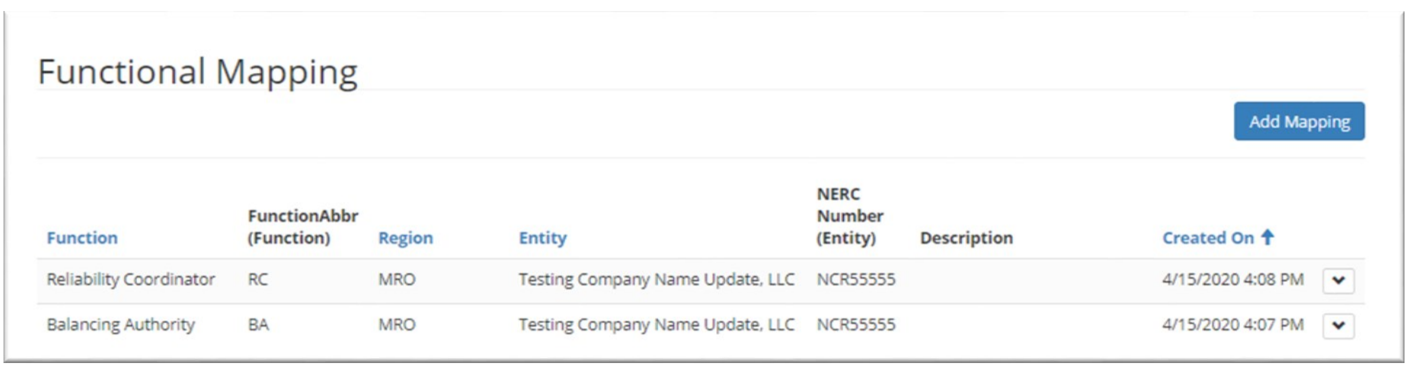
The Functional Mapping page creates the mapped registered functional relationships between registered entities. Functional mapping provides reasonable assurance there are no reliability gaps as related to the registration of entities.

The functions and relationships may be entered by the registered entity. The following table describes the relationships needed for each registered entity's functions that require mapping - Balancing Authority (BA), Distribution Provider (DP), Distribution Provider Underfrequency Load Shedding (DP-UFLS), Generator Owner (GO), Transmission Owner (TO), Transmission Operator (TOP), and Transmission Planner (TP). For each registered function, the registered entity will map to the registered entities that are performing the related functions - Reliability Coordinator (RC), Balancing Authority (BA), Transmission Operator (TOP), Transmission Planner (TP), Planning Coordinator/Planning Authority (PA/PC). Entities that are registered as a BA, DP, DP-UFLS, GO, TO, TOP, and TP must complete functional mapping and only for those functions.

Registered Entity registered as:	Map to appropriate entity who performs this function for registered entity.				
Balancing Authority (BA)	>	RC			
Distribution Provider (DP)	>	BA	PC/PA	TOP	
Distribution Provider (DP-UFLS)	>	PC/PA			
Generator Owner (GO)	>	BA	GOP	TOP	TP
Transmission Owner (TO)	>	PC/PA	TOP	TP	
Transmission Operator (TOP)	>	BA	RC		
Transmission Planner (TP)	>	PC/PA			

<u>Entities that are registered as a BA, DP, DP-UFLS, GO, TO, TOP, and TP must complete functional mapping and only if they are registered for BA, DP, DP-UFLS, GO, TO, TOP, and/or TP. When entering data, the registered entities on the left of the table will enter the other registered entity that performs the RC, BA, TOP, PC/PA, GOP, TOP, and/or TP function.</u>

For example, if the registered entity (My Entity) was registered as a TOP function in MRO, then two map records will be added. One record for a BA and one record for an RC in the region that the registered entity (My Entity) and the mapped entity (Test Company Name Update, LLC) are registered (MRO region).


Functional Mapping

Add Mapping

Function	FunctionAbbr (Function)	Region	Entity	NERC Number (Entity)	Description	Created On
Reliability Coordinator	RC	MRO	Testing Company Name Update, LLC	NCR55555		4/15/2020 4:08 PM
Balancing Authority	BA	MRO	Testing Company Name Update, LLC	NCR55555		4/15/2020 4:07 PM

The table below identifies some special cases that may occur for registered entities as they complete their functional mapping.

Special Cases

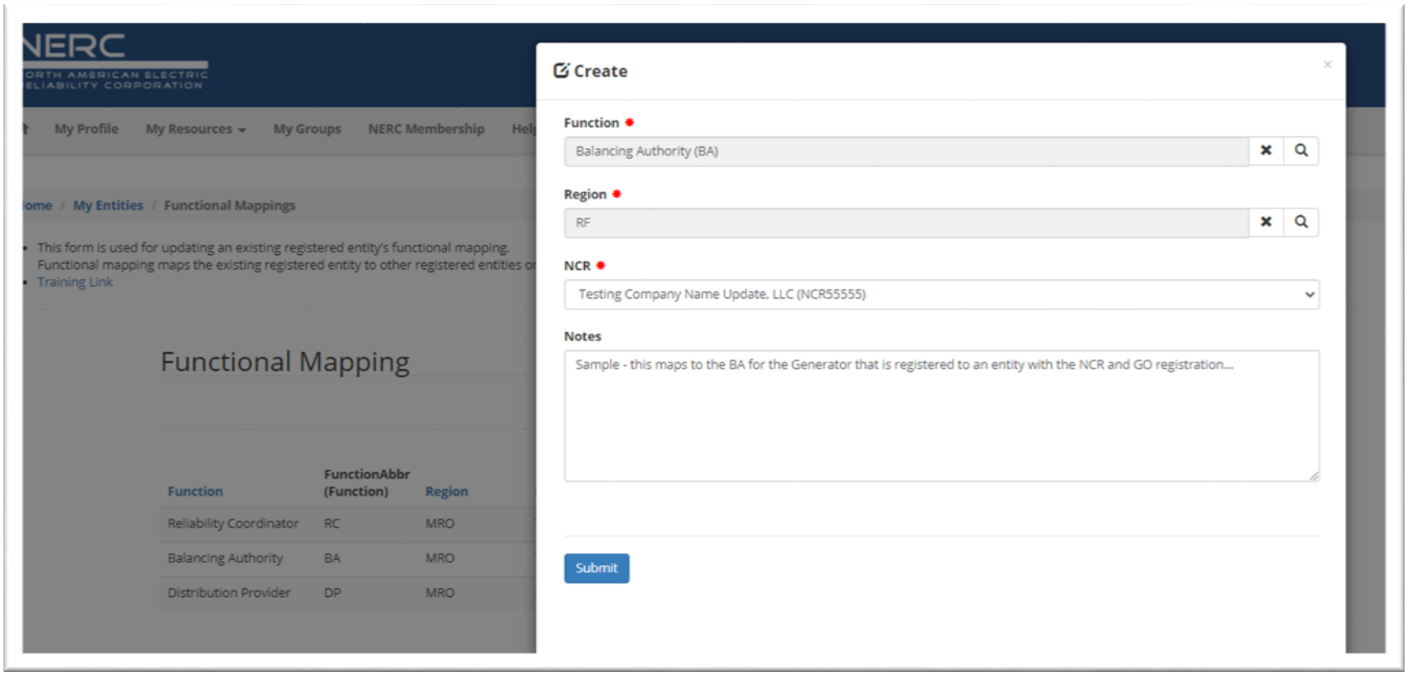
Case	Action	Example
Entity is registered for a function and performs the mapped function.	Self-map the mapped Function	Entity is registered as GO and GOP. Entity maps itself to GOP.
Entity is registered for a function and performs the mapped function for some of its relevant assets and one or more entities perform the mapped function for those assets.	Self-map the mapped Function and map to the other entity(ies)	Entity is registered as a GO and GOP. Entity is operating one Facility as GOP. Another entity or entities are operating some of its facilities. Entity maps to itself

Case	Action	Example
		and the entity(ies) that are operating its assets as a GOP.
Entity is registered in multiple regions under the same NCR ID#.	Complete functional map for each region.	Entity is registered in SERC and MRO as a GO. Entity completes functional maps to the BA, GOP, TOP, and TP that are registered in SERC and MRO.
Entity is registered for a function and the mapped entity is in a CFR for that function.	Complete functional map for each Party in the CFR relevant to the Entity's registered function.	Entity is registered as a TO and maps to a TOP that is in a TOP CFR[2]. Entity completes functional maps for each TOP that perform a TOP function for the Entity's TO registration.
New Registration Request where the new entity will perform the mapped function.	Partially complete functional mapping until registration is complete, then complete functional mapping.	Entity is applying to register as GO and GOP. Entity would map itself as GOP, but since it's not yet registered this step will have to be delayed until registration is completed. After registration is completed, the entity will be able to update their functional mapping.

To add or update Functional Mapping:

1. Click on **Add Mapping**
2. Select the **Function** from the dropdown list
3. Select the **Region** from the dropdown list
4. Select the **Entity** from the **NCR** drop down list
5. Select **Submit** to complete the addition of the function to the registered entity's mapping

[2] CFR list is available on NERC.com.

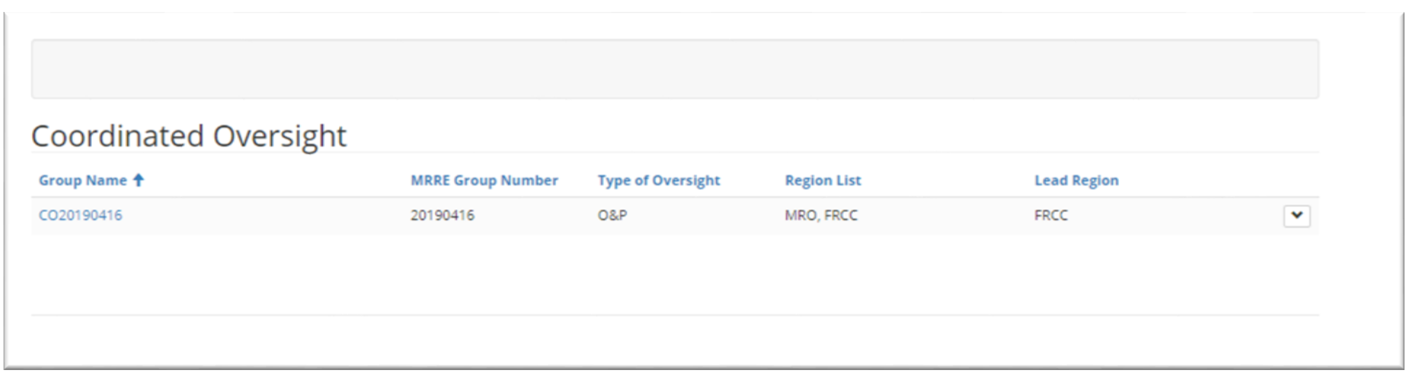


Coordinated Oversight

The Coordinated Oversight program is for registered entities that have assets in multiple Regional Entity footprints requiring coordination of compliance and enforcement activities among two or more Regional Entities – a Lead Regional Entity (LRE) and the Affected Regional Entity(ies) (ARE).

The CORES Coordinated Oversight page is read-only. Registered entities will not be able to edit any data listed on the Coordinated Oversight page.

To apply or to request help with Coordinated Oversight, go to the NERC website or put in an ERO Enterprise Help Desk Ticket.



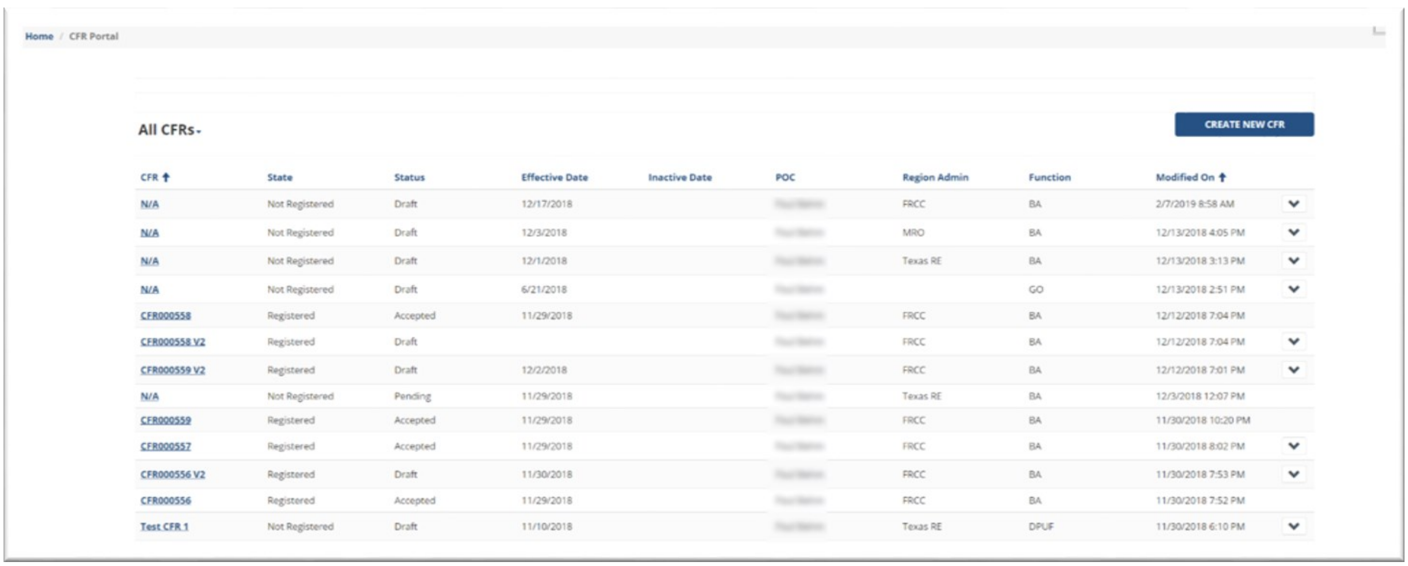
Coordinated Functional Registration (CFR)

A Coordinated Functional Registration (CFR) is an agreement between two or more entities registered for the same function. The entities may assign responsibility for individual compliance standards using the CFR. The CFR agreement shall govern itself and clearly specify compliance responsibilities for each participating registered entity for one function per CFR. The standards and requirements included in the CFR must be assigned to the parties. The rules pertaining to CFRs may be found in the NERC Rules of Procedure.

Registered entities may create a CFR by navigating to the CFR tool on the CORES Navigation Bar. To create a new CFR, select the Create New CFR button, as indicated in the picture. Additionally, all versions of the CFRs are listed on this page.

<u>Note: There is a separate user guide for creating and updating CFRs and it is located on the NERC.com Registration web page.</u>

The Lead Entity identified in a Coordinated Functional Registration (CFR) agreement as the primary Point of Contact (POC) will act as the administrator for entering that agreement into the system. The Point of Contact (POC) for the CFR is the person that creates the CFR and is the only contact that can update the CFR once it is created. In order to return to CORES after using the CFR tool, the user must select **My Entity** from the toolbar.


Home / CFR Portal

All CFRs

CREATE NEW CFR

CFR	State	Status	Effective Date	Inactive Date	POC	Region Admin	Function	Modified On
N/A	Not Registered	Draft	12/17/2018			FRCC	BA	2/7/2019 8:58 AM
N/A	Not Registered	Draft	12/3/2018			MRO	BA	12/13/2018 4:05 PM
N/A	Not Registered	Draft	12/1/2018			Texas RE	BA	12/13/2018 3:13 PM
N/A	Not Registered	Draft	6/21/2018				GO	12/13/2018 2:51 PM
CFR000558	Registered	Accepted	11/29/2018			FRCC	BA	12/12/2018 7:04 PM
CFR000558 V2	Registered	Draft				FRCC	BA	12/12/2018 7:04 PM
CFR000559 V2	Registered	Draft	12/2/2018			FRCC	BA	12/12/2018 7:01 PM
N/A	Not Registered	Pending	11/29/2018			Texas RE	BA	12/3/2018 12:07 PM
CFR000559	Registered	Accepted	11/29/2018			FRCC	BA	11/30/2018 10:20 PM
CFR000557	Registered	Accepted	11/29/2018			FRCC	BA	11/30/2018 8:02 PM
CFR000556 V2	Registered	Draft	11/30/2018			FRCC	BA	11/30/2018 7:53 PM
CFR000556	Registered	Accepted	11/29/2018			FRCC	BA	11/30/2018 7:52 PM
Test CFR 1	Not Registered	Draft	11/10/2018			Texas RE	DPUF	11/30/2018 6:10 PM

Joint Registration Organization (JRO)

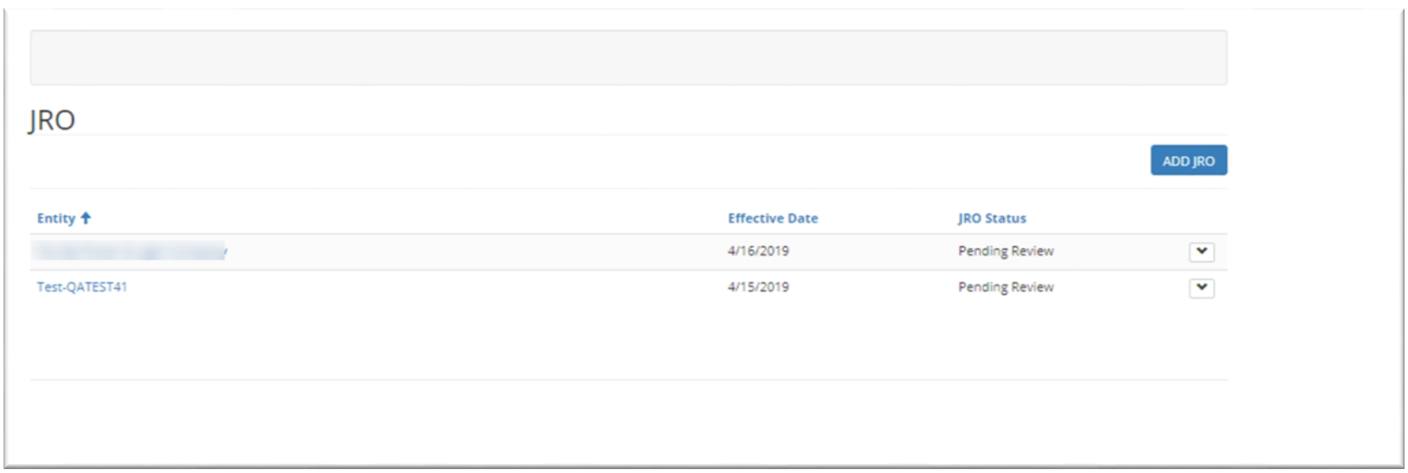
A Joint Registration Organization (JRO) is an agreement between two or more entities where one entity is taking full compliance responsibility for the other Parties of the agreement. To submit, at least one entity must already be registered and will serve as the Lead Entity. The Lead Entity will submit the request to register a Joint Registration Organizations (JRO) associated with the Parties through the JRO page in CORES. New JROs and changes to existing JROs require Regional Entity and NERC approval before they can be activated.

An entity registering as a JRO becomes the JRO Lead Entity. The JRO Lead Entity assumes compliance responsibility for the other Parties in the agreement and for the function(s) for which they are registering. The Parties or related entities named in the JRO agreement need not be registered entities with NERC and assume no compliance responsibilities, unless the written JRO Agreement states otherwise. Requirements for registering as a JRO are found in Sections 501, 507 and 508 of the NERC Rules of Procedure.

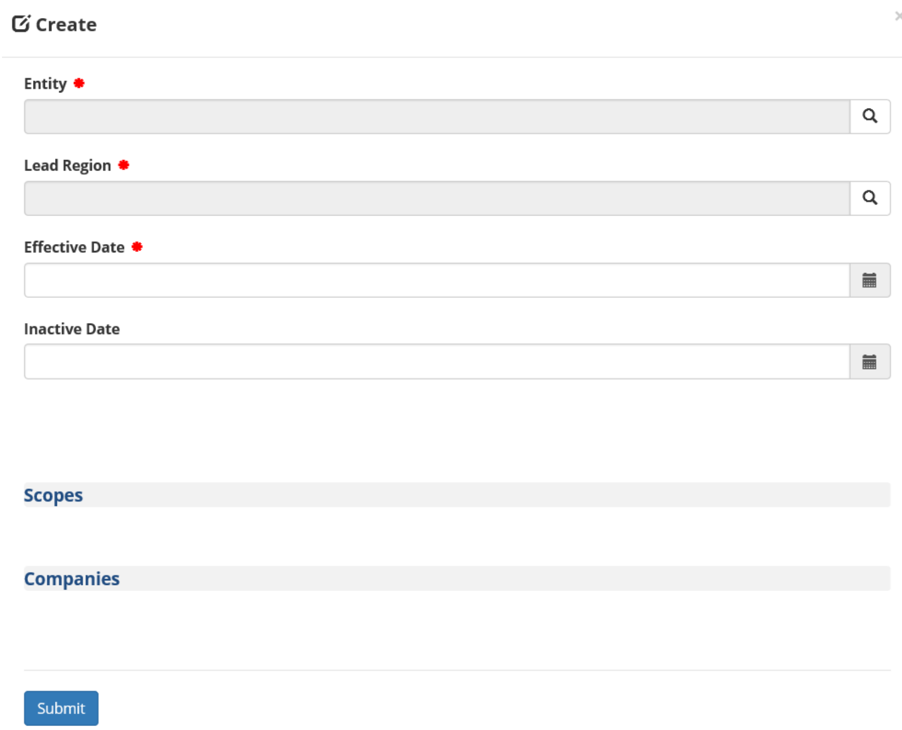
To submit a JRO:

1. Select **Add JRO** button to add a new JRO
2. Enter the effective date of the JRO

3. Select **Submit**
4. Select **Edit** option for the JRO being submitted
5. Select **Create** to identify the function being performed
6. Choose the appropriate function and **Select** the appropriate function (NCR01234-NCEA-GOP-United States)
7. Select **Submit**
8. Select **Create** to identify the company(ies) the service is being provided for
9. If the service is being provided to another Registered Entity, select from the Entity dropdown list
10. If the service is being provided to a company that is not a Registered Entity, select from the Company dropdown
11. If the company is not currently listed, select **Add New Company** and complete the form and **Submit**
12. Search for the newly created company and **Select**
13. Click **Submit**
14. Review JRO and **Submit for Approval**
15. Select **Comments** from right-side navigation bar
16. Select **Add a Comment**
17. Attach supporting JRO contract

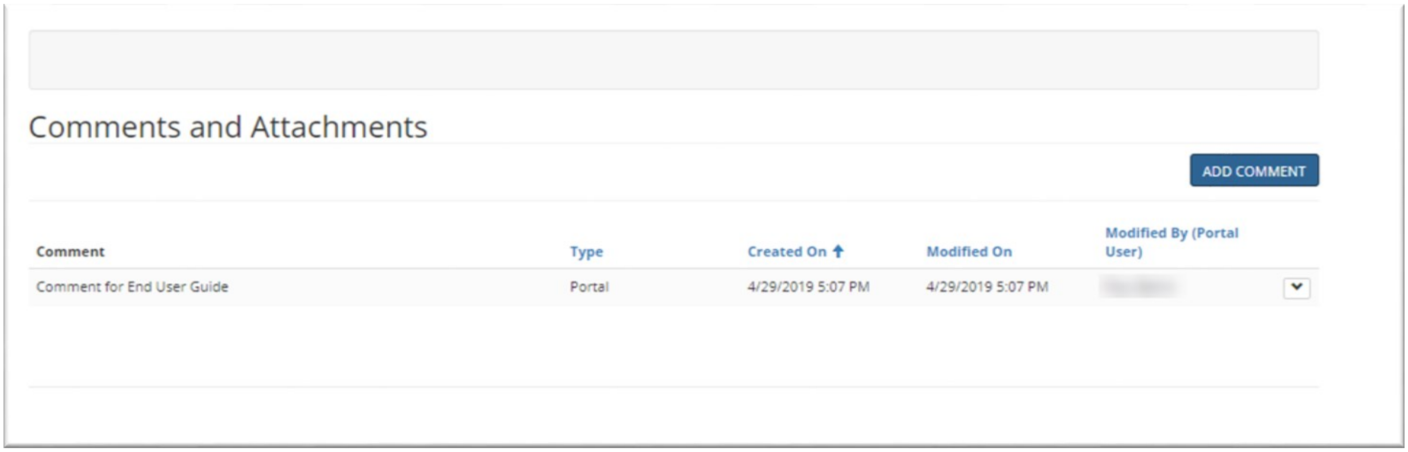


: Updating Entity Registration for “My Entity”



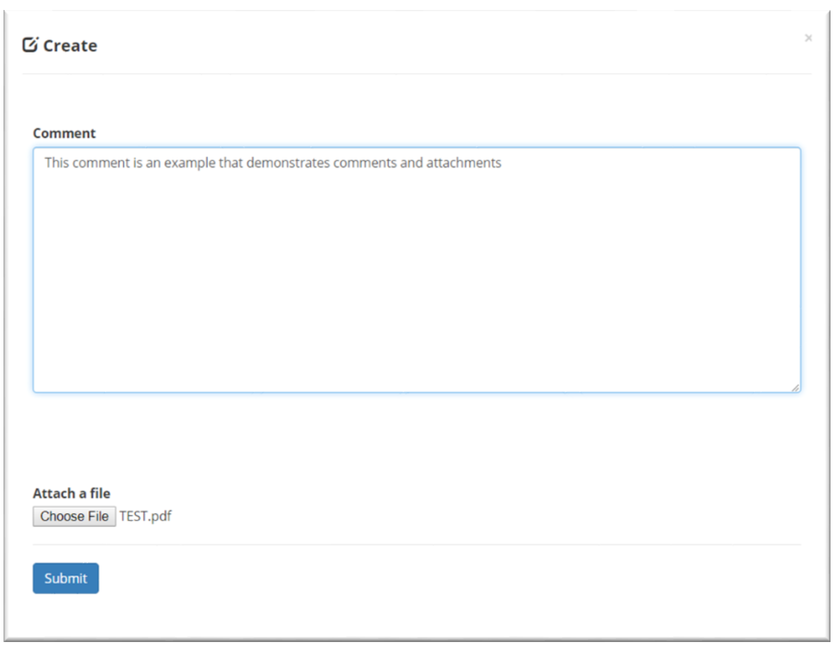
Comments & Attachments

Registered entities can provide comments and attachments supporting requests for registration or registration changes. Each record allows for a comment, an attachment or both. There is a 50 MB file limit for attachments.



To Add Comments or Provide Documents:

1. Select **Add Comment** button to add a new comment.
2. Add an attachment to any comment using the **Choose File** button.



Chapter 3: CORES Email Notifications

Email notifications will be sent out during the process of creating, updating, and reviewing entity registration requests and changes to existing entities.

Entity Registration Request Submission (Create or Update)

An email notification will be sent to the entity requestor and the Regional Entity approvers when a new entity registration request has been submitted and upon approval by NERC.

Entity Name Change

An email notification will be sent to the entity requestor and the Regional Entity approvers when an entity name change request has been submitted for approval.

JRO Change

An email notification will be sent to the entity requestor and the Regional Entity approvers when a new JRO or a change to an existing JRO has been submitted for approval. This includes JRO activation and deactivation requests.

CFR Change

An email notification will be sent to the entity requestor and the Regional Entity approvers when a new CFR or a change to an existing CFR has been submitted for approval.

Entity Scopes or Functional Registration Change

An email notification will be sent to the entity requestor and the Regional Entity approvers when a new entity scope or a change to an existing entity scope has been submitted for approval. This includes activation requests, deactivation requests, and deregistration requests (when all scopes associated with an entity become inactive).

Chapter 4: Support

If you have any questions regarding CORES, please contact your Regional Entity Registration Department or the Help Desk at https://support.nerc.net.

ERO Enterprise Entities	ERO Enterprise Websites	Registration Assistance
NERC	https://www.nerc.com	nerc.registration@nerc.net
Midwest Reliability Organization (MRO)	https://www.mro.net	registration@mro.net
Northeast Power Coordinating Council (NPCC)	https://www.npcc.org	registration@npcc.org
Reliability First (RF)	https://rfirst.org/	compliance@rfirst.org
SERC Reliability Corporation (SERC)	https://www.serc1.org	sercregisteration@serc1.org
Texas Reliability Entity (Texas RE)	https://www.texasre.org	registration@texasre.org
Western Electric Coordinating Council (WECC)	https://www.wecc.org	support@wecc.org

Chapter 5: Glossary

CFR
Coordinated Functional Registration

CORES
Centralized Organization Registration ERO System

ERO
Electric Reliability Organization (NERC)

ERO Enterprise
NERC and the Regional Entities

JRO
Joint Registration Organization

Region
The Regional Entity is responsible for reviewing the entity registration request and ensuring its completeness pursuant to the Rules of Procedure.

Function
The functions that are performed by various Registered Entities are defined in the Appendix 5b of the Rules of Procedure: Statement of Compliance Registry Criteria.

Entity Scope
Functional registration information including the Function, Effective Registration Date, Inactive Date (Where Applicable), Region and Jurisdiction.

Appendix A: ERO Portal Registration – Quick Guide

The ERO Portal is a web-based one-stop-shop, which allows users to maintain their NERC accounts and provide access to NERC applications such as the Centralized Organization Registration ERO Systems (CORES) tool. In order to access the CORES system users are required to have an ERO Portal account. All required fields for registration are noted by a red asterisk *.

1. Access the ERO Portal at https://eroportal.nerc.net
2. In the upper right-hand corner of the page select **Register**
    a. Complete all fields on the form
    b. User name and email cannot be the same
    c. Password requirements
        i. Minimum of 8 characters
        ii. Must contain at least 1 number
        iii. Must contain at least 1 lowercase letter
        iv. Must contain at least 1 uppercase letter
        v. Must contain at least 1 special character (! @,#,$,%,^)
3. Select **Register**
4. The system will send an email to the individual
    a. Click **Confirm** in the email
5. After confirming the email, the system will display a confirmation message
    a. Click **Continue** with registration
6. Personal Information
    a. Provide required information
    b. Select **Next**
7. My Work Address
    a. Provide required information
    b. Select **Next**
8. Company
    a. Select company from dropdown list
    b. Select Next
9. Security
    a. Provide two security questions and answers
    b. Select **Save**
10. The system will provide notification the registration process is complete
11. Return to home page at https://eroportal.nerc.net and log in

User Tips

*By default, the PCC is the ERO Portal Administrator. The PCC can delegate this task to other users as deemed appropriate.

When accessing the ERO Portal, it is suggested you enter the browser address, https://eroportal.nerc.net/, each time you log in. Bookmarked addresses over time become invalid.

Users who experience trouble accessing the ERO Portal should set their web browser to "**InPrivate Browsing**" (Internet Explorer) or "**Incognito**" (Google Chrome). From the browser toolbar, select "**Tools'**" and then select the option from the dropdown list or right-click the **Internet Explorer** icon at the bottom of your display and select **Start InPrivate Browsing**.

Appendix B: New Entity Registration - Quick Reference

This quick reference document is for completing a New Entity Registration Request. All required fields for registration are noted by a red asterisk in the system.

1. Log into the ERO Portal (https://eroportal.nerc.net)
2. Select **New Entity Registration Request**
3. Select **Create** for new requests or the edit option for any existing draft Entity Registration Requests
   a. Complete all required fields on the Basic Information page
   b. Select **Update Basic Information Request**
4. Select **Upstream Holding Companies**
   a. Select **No** if the company has no upstream holding companies
   b. Select **Yes** if the company has upstream holding companies
5. Select **Contact Roles**
   a. Select **Add Contacts**
   b. Registration requires a minimum selection of a:
      i. Primary Compliance Contact (PCC) and
      ii. Primary Compliance Officer (PCO)
      iii. Submit after each entry
6. Select **Registration Scopes**
   a. Select **Add Registration Scope**
      i. Individually, identify all functions performed within each Regional Entity footprint and by Jurisdiction
      ii. Provide the Proposed Effective date of each functional registration
      iii. Submit after each entry
7. Select **Functional Mapping**
   a. Select **Add Mapping**
      i. Identify entity providing the functional relationship by NCR number
      ii. Identify the function being performed as part of the functional relationship
      iii. Identify the Regional Entity footprint where the relationship exists
      iv. **Submit** after each entry
8. Select **Comments and Attachments**
   a. Select **Add Comment**
      i. Provide comments for the Regional Entity and NERC for consideration
      ii. Upload documents for the Regional Entity and NERC to review
      iii. Submit after each entry
9. Select **Submit Entity Registration Request**

a. Review all information for accuracy
b. Check to see Right Side Navigation bar indicates completion
c. Select Click to Submit Entity Registration