

Appendix 5A

**Organization Registration and
Certification Manual**

Effective: June 10, 2010

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Section I — Executive Summary

Overview

The purpose of this document is twofold: (1) to define the process utilized in the Organization Registration Program by identifying which functional entities must register as owners, operators, and users of the bulk power system for compliance with reliability standards; and (2) to define the process utilized in the Organization Certification Program for certifying the following entities: Reliability Coordinator (RC), Balancing Authority (BA), and Transmission Operator (TOP). The NERC Compliance and Certification Committee (CCC) is responsible for approving and forwarding these processes to the NERC Board of Trustees for its approval. Where a proposal for revisions to these processes comes to the Board of Trustees from sources other than the CCC, the Board of Trustees will seek the concurrence of the CCC before taking action on the proposal.

To Whom Does This Document Apply?

All industry participants responsible for or intending to be responsible for, the following functions must register with NERC through the Organization Registration Process. The entities are defined in the NERC Glossary of Terms used in reliability standards with responsibilities designated by the individual standards.

	Entities that Must Register	Entities that Need to be Certified
Reliability Coordinator (RC)	√	√
Transmission Operator (TOP)	√	√
Balancing Authority (BA)	√	√
Planning Coordinator (PC)	√	
Transmission Planner (TP)	√	
Transmission Service Provider (TSP)	√	
Transmission Owner (TO)	√	
Resource Planner (RP)	√	
Distribution Provider (DP)	√	
Generator Owner (GO)	√	
Generator Operator (GOP)	√	
Load-Serving Entity (LSE)	√	
Purchasing-Selling Entity (PSE)	√	
Interchange Authority (IA)	√	
Reserve Sharing Group (RSG)	√	

When did These Processes Begin?

The initial registration process began in January of 2006. Registration of new entities is an ongoing process. If a Registered Entity's information changes, these changes must be submitted to the applicable Regional Entity(s).

Certification is ongoing for new entities in accordance with Section IV of this manual.

Where to Access and Submit Form(s)?

Registration and certification forms are provided on each Regional Entity's [website](#). Completed forms are to be sent electronically to the compliance and certification manager of the applicable Regional Entity(s). It is desirable that entities operate within a single Regional Entity reliability region; however, if an entity operates in more than one Region, separate registration applications must be completed and submitted to each of the Regional Entities.

Roles and Responsibilities

The following is a high-level overview of the roles and responsibilities in the registration and certification processes:

NERC

1. Oversight of entity processes performed by the Regional Entities, including:
 - a. Governance per the Regional Entity's delegation agreement with NERC.
 - b. Coordination of process execution when an entity is registering and/or certifying with multiple Regional Entities.
2. Manage each entity's NERC Compliance Registry identification number (NERC ID) including:
 - a. Sending a registration or certification letter that contains the NERC ID to the applicable Regional Entity(ies) for review and approval. If the Regional Entity(ies) agrees with all the information provided, it will notify NERC to issue the NERC ID to the registered entity and will send a copy of the notification being provided to the Regional Entity(ies).
 - b. Ensuring each entity has only one NERC ID for all Regional Entities in which registered.
3. Make modeling changes based on registration information.
4. Maintain accurate registration and certification records including granting certification certificates for the entity(ies) responsible for compliance (including JRO/CFR).
5. Maintain published up-to-date list of registered entities (i.e. the NERC Compliance Registry) on the NERC website.

Regional Entity

1. Performs data collection and mapping of Bulk Power System facilities and those facilities that have a material impact on the Bulk Power System within its Regional Entity defined reliability region boundaries.
2. Approves or disapproves entity registration applications.

3. Reviews entity certification applications for completeness.
4. Notifies NERC of entities registered with the Regional Entity.
5. Approves or denies Certification Team (CT) recommendations and notifies the entity and NERC of the decision.
6. Provides leadership to the CT throughout the certification process.

Entity Submitting the Application

1. Completes and submits registration and/or certification application.
2. Submits updates to registration and/or certification information as necessary and/or requested.
3. Responds to Regional Entity and/or NERC questions pertaining to registration and/or certification.
4. Provides documentation or other evidence requested or required to verify compliance with certification requirements.

Section II — Introduction to Organization Registration and Organization Certification Processes

The processes utilized to implement the Organization Registration and Organization Certification Programs are administered by each Regional Entity. Pursuant to its delegation agreement with NERC, each Regional Entity is responsible for registering and certifying industry participants within its Regional Entity reliability region boundaries. Each Regional Entity must use the following NERC processes.

Organization Registration — Entities Required to Register

All industry participants responsible for one or more of the functions below must register for each function through the Organization Registration Program. These entities are defined in the NERC Glossary of Terms used in reliability standards with responsibilities designated by the individual standards and the NERC *Statement of Compliance Registry Criteria* document.

- Reliability Coordinator
- Transmission Operator
- Balancing Authority
- Planning Coordinator
- Transmission Planner
- Transmission Service Provider
- Transmission Owner
- Resource Planner
- Distribution Provider
- Generator Owner
- Generator Operator
- Load-Serving Entity
- Purchasing-Selling Entity
- Interchange Authority
- Reserve Sharing Group

The registration procedure is in Section III of this manual.

Organization Certification

All entities registered in the NERC Compliance Registry (NCR) for the RC, TOP, and/or BA functions shall be certified. Certification requires the entity to start operation within 12 months of being NERC certified. This certification process is described in Section IV of this manual.

Section III — Organization Registration Process

Purpose and Scope

The purpose and scope of this process is to provide guidance on how a user, owner, and/or operator of the bulk power system should be registered in the NCR.

Overview

Section 39.2 of the Commission’s regulations, and Title 18 of the C.F.R. § 39.2, requires each owner, operator, and user of the bulk power system to be registered with NERC and to comply with approved reliability standards.

Owners, operators, and users of the bulk power system will be registered by function(s) and are:

1. Responsible for compliance with all applicable requirements/sub-requirements within reliability standards approved by applicable government authorities, for the applicable functions for which the applicable entity is registered; and,
2. Subject to the compliance monitoring and enforcement requirements of Section 400 of the Rules of Procedure.

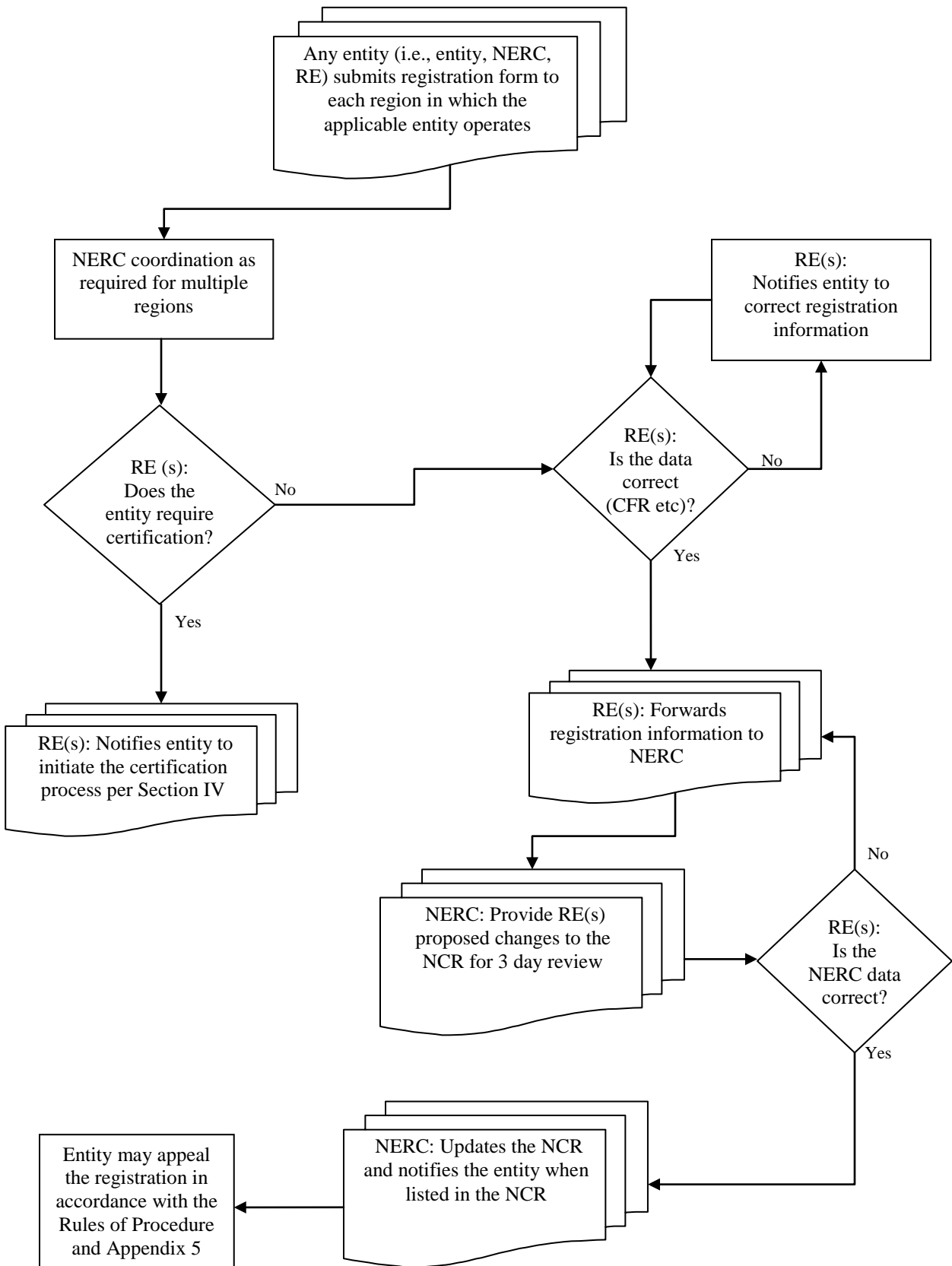
See Figure 1 *Organization Registration Process Overview*.

Organization Registration Process

1. Applicable entities shall begin the registration process by submitting a completed registration application to the Regional Entity(ies) of the reliability region(s) where the entity intends to perform its function(s) (registration forms are provided on each Regional Entity’s [website](#)).
 - a. At any time an entity may recommend in writing, with supporting documentation, to the Regional Entity(ies) that an entity be added to or removed from the compliance registry.
 - b. The registration process for an entity may also be initiated by a Regional Entity, NERC, or applicable governmental authority.
2. NERC shall coordinate registration of entities that are required to register with multiple Regional Entities in order to ensure consistency of the registration process.
3. For entities that are required to be certified, the applicable Regional Entity(ies) shall ensure that the registration information provided is accurate for updating the NCR per items 4 through 12 below and notifies the entity to initiate the certification process per Section IV of this manual.
4. Entities that have a NERC ID shall use it on the form.
 - a. If an entity does not have a NERC ID, NERC shall assign one.
 - b. An entity responsible for more than one function will use a single NERC ID.

5. Regional Entities shall evaluate the submitted information and determine if the information is complete/correct. If the information is not complete/correct, the entity will be notified to complete/correct or clarify the registration information.
6. A single entity must register for all functions that it performs itself. In addition, that entity may register as a Joint Registration Organization (JRO) on behalf of one or more of its members or related entities for one or more functions for which such members or related entities would otherwise be required to register and, thereby, accept on behalf of such members or related entities all compliance responsibility for all requirements/sub-requirements of reliability standards applicable to that function or those functions including reporting requirements.(Rules of Procedure Section 507)
7. Multiple entities may each register using a Coordinated Functional Registration (CFR) for one or more reliability standard(s) and/or for one or more requirements/sub-requirements within particular reliability standard(s) applicable to a specific function.(Rules of Procedure Section 508)
8. In completing the regional entity responsibilities for the registration process, the following are key items the Regional Entity must verify:
 - a. That Regional Entity registrations meet the geographical and electrical registration boundaries requirements of the Rules of Procedure Section 501(1.4).
 - b. The registration submission includes all data requested by NERC that is necessary for accurately identifying and contacting the registered entity.
9. The Regional Entity shall forward all registration information to NERC:
 - a. NERC forwards the proposed additions or changes to the NCR to the Regional Entity for review and comments.
 - b. The Regional Entity has 5 working days to respond to the proposed changes.
 - c. If NERC does not receive any comments, the NCR will be revised.
10. NERC updates the NCR and notifies the applicable entity(ies) within 5 days of the update.
11. The entity may appeal the registration in accordance with the Rules of Procedure Section 500 and Section V of Appendix 5.
12. The NCR shall be dynamic and will be revised as necessary to take account of changing circumstances such as corrections, revisions, and or deletions. Per the Regional Entity's delegation agreement, the Regional Entity will take any recommendation received under Section 1.a, and other applicable information, under advisement as it determines whether an entity should be on the NCR.
 - a. Each entity identified in the NCR shall notify its corresponding Regional Entity and/or NERC of any corrections, revisions, deletions, changes in ownership, corporate structure, or similar matters that affect the entity's responsibilities with respect to the reliability standards. Failure to notify will not relieve the entity from any responsibility to comply with the reliability standards or shield it from any penalties or sanctions associated with failing to comply with the standards. (Rules of Procedure Section 400).

Figure 1: Organization Registration Process Overview



Section IV — Organization Certification Process

Purpose and Scope

The purpose and scope of this process is to provide guidance for completing the certification of a new entity that will become NERC certified and registered as an RC, TOP, or BA.

Overview

See Figure 2 *Organization Certification Process Overview* for an overview of the certification process.

Organization Certification Process

1. Certification:

- a. An entity in a single Regional Entity reliability region shall initiate the certification process by completing a certification application (certification applications are provided on each Regional Entity’s [website](#)) and sending it to the Regional Entity which will manage the certification process.
 - b. An entity in multiple Regional Entity reliability regions shall initiate the certification process by completing a certification application (certification applications are provided on each Regional Entity’s [website](#)) and sending it to the Regional Entities in those reliability regions. Each Regional Entity will inform NERC of the request. The Regional Entities will determine which Regional Entity will provide the leadership to manage the certification process.
 - c. Provisional Certification Process - All Reliability Coordinator Balancing Authorities, and/or Transmission Operators that were already registered and operating on June 18,2007 become “NERC Certified” upon completion of (1) a NERC Readiness Evaluation (on site activities completed by the evaluation team); and (2) a CMEP audit (on site activities completed by the audit team) after June 18, 2007. Recertification on a periodic basis of these entities will not be required. Demonstration of ongoing satisfactory performance of applicable RC, BA, and TOP functional requirements shall be accomplished by completion of a CMEP audit every three years per the requirements of the NERC Rules of Procedure.
2. For an entity that is not required to be certified, the Regional Entity(ies) shall reject the application and notify the entity that certification is not required.
 3. If the application is not complete or accurate, the Regional Entity will notify the entity to revise the application as needed. When the application is deemed complete and accurate, it will be accepted. The entity and the Regional Entity shall agree to a timeline including specific milestones for the certification process.
 4. The decision to certify changes to an already operating and certified entity is a collaborative decision between the affected Regional Entity(s) and NERC. NERC has the final authority regarding this decision. Items to consider for this decision include one or more of the following:

- a. Changes to an entity's footprint or operational challenges (i.e., TLRs) due to the changes
 - b. Organizational restructuring that could impact the BPS reliability
 - c. Relocation of the control center
 - d. Changes to entity ownership requiring major operating procedure changes
 - e. Significant changes to JRO / CFR assignments or agreements changes
 - f. Addition or removal of member JRO / CFR utilities or entities
 - g. Complete replacement of a SCADA/EMS system
5. The certification process shall be completed within nine months of the date of acceptance of the application unless agreed to by all parties involved in the process and approved by NERC.
 6. The Regional Entity(ies) shall notify NERC that the certification process has begun to enable NERC to carry out its roles and responsibilities.
 7. The Regional Entity will send a questionnaire with a submission deadline and a statement of expectations to all entities participating in the certification process. These questionnaires and other related documents are located on the [NERC Web site](#). The Regional Entity shall distribute questionnaires and other related documents to the following entities, as required:
 - a. Entity seeking certification.
 - b. Participating BAs, RCs, and TOPs in footprints in which the entity intends to operate or with which the entity intends to interconnect transmission facilities.
 - c. Participating TOs, TSPs, PAs, GOs, IAs, GOPs, TPs, DPs, and/or other applicable entities.
 8. The Regional Entity shall assemble a Certification Team (CT) that will be responsible for performing the activities included in the certification process.
 - a. The CT members shall adhere to NERC's confidentiality agreements for any data or information made available to the CT member through the certification process. Team members shall not be employees of or have a direct financial interest in the entity or any of its affiliates.
 - b. The Regional Entity, with concurrence of NERC, may increase or decrease the distribution of the questionnaires and other related documents based upon the complexity of the certification.
 - c. If the entity objects to any member of the CT, the entity must make that known, in writing, to the Regional Entity listing the reasons for the objection. The Regional Entity will either replace the team member or respond with written justification for keeping the member on the team.
 - d. CT composition
 - i. The BA CT shall consist of representatives from an existing BA, the entity's proposed RC, TOP, each affected Regional Entity, and NERC.
 - ii. The RC CT shall consist of representatives from an existing RC, a BA and a TOP in the proposed RC area, each affected Regional Entity, and NERC.

- iii. The TOP CT shall consist of representatives from an existing TOP, the entity's proposed RC, each affected Regional Entity, and NERC.
 - iv. Additional CT members with expertise in the any of the NERC registry functional areas can be added as necessary.
 - v. Additional CT members from NERC or Regional Entity staff may be added as necessary.
 - vi. Entities such as government representatives or other stakeholders may be observers in the certification process.
9. Each CT member must complete the NERC auditor training prior to participation.
10. The CT will review the entity's submitted documentation and address any issues prior to the site visit.
11. The CT shall inform the entity before the on-site visit of any documentation or clarification that is necessary to support the questionnaires.
12. The entity shall identify to the CT prior to the on-site visit all standards or requirements/sub-requirements which have been delegated to another entity.
 - a. The CT will review the entity(ies) ability to perform those delegated requirements/sub-requirements or standards.
13. The CT shall conduct at least one on-site visit to the entity's facilities. At a minimum, the team will:
 - a. Review with the entity the data collected through the questionnaires, and such data that is available only onsite;
 - b. Interview the operations and management personnel;
 - c. Inspect the facilities and equipment associated with the applicable reliability standards referenced in the questionnaire;
 - d. Request demonstration of all tools identified in the certification process;
 - e. Review documents and data including agreements, processes, and procedures identified in the certification process;
 - f. Verify operating personnel NERC certification documents and proposed work schedules; and,
 - g. Review any additional documentation resulting from inquiries arising during the site-visit.
14. The entity, in conjunction with the CT, shall attempt to resolve any deficiencies prior to issuance of the draft report.
15. The draft report is provided to the entity for review for fourteen (14) days and any resulting comments will be assessed by the CT for possible inclusion in the report.
16. The Regional Entity(ies) may grant a time extension, not to exceed 180 days, to the entity to allow the entity to resolve any open certification issues.
17. The CT shall provide a certification recommendation and identification of audit deficiencies in the final written report. All members of the CT shall have an equal voice in the certification recommendation. This allows for a minority opinion if the review team cannot

reach a consensus. The final written certification report is distributed to NERC, the entity, and the other affected Regional Entities, as applicable.

18. The following is the format for the final report:

- Title page
- Table of Contents
- Introduction – A brief discussion on the Regional Entity(ies) involved, the entity being certified, a description of the function the entity(ies) are being certified for, and a brief timeline of the certification project
- Certification Team (CT) – Provide the team makeup.
- Objective and Scope – Discussion on entity application (who, what, when, & how).
- Overall Conclusion – Recommendation being made by the CT.
- Certification Team Findings – Any item(s) needing to be closed prior to operation that do not hinder the certification team from making a recommendation.
- Positive Observations.
- Company History – Discussion on the applicant’s company history.
- Company Details– Specific details regarding why the entity is being certified and its relationship with other entities (BAs, RCs, and TOPs etc).
- Documentation List – Provide a list of critical documentation reviewed by the CT used to make the CT’s conclusion and the documentation retention requirements.
- Attachments – Describe those attachments that are for public viewing and those that are separated from the report due to confidentiality issues such as Critical Infrastructure documentation.

19. Certification recommendation and approval.

- a. If the entity intends to operate in a single Regional Entity’s reliability region, the CT shall make a certification recommendation to that Regional Entity. The Regional Entity shall approve or disapprove the recommendation. The Regional Entity shall notify the entity and NERC of the certification decision.
- b. If the entity intends to operate in multiple Regional Entities, the CT shall make a certification recommendation to all applicable Regional Entities in a single report. Certification recommendation by the Regional Entities must be unanimous. The Regional Entities shall notify the entity and NERC of the certification decision.
- c. NERC shall approve or disapprove all final certification recommendations and notify the entity of the decision.

20. The entity may appeal the decision in accordance with the NERC Rules of Procedure and Section VI of this manual.

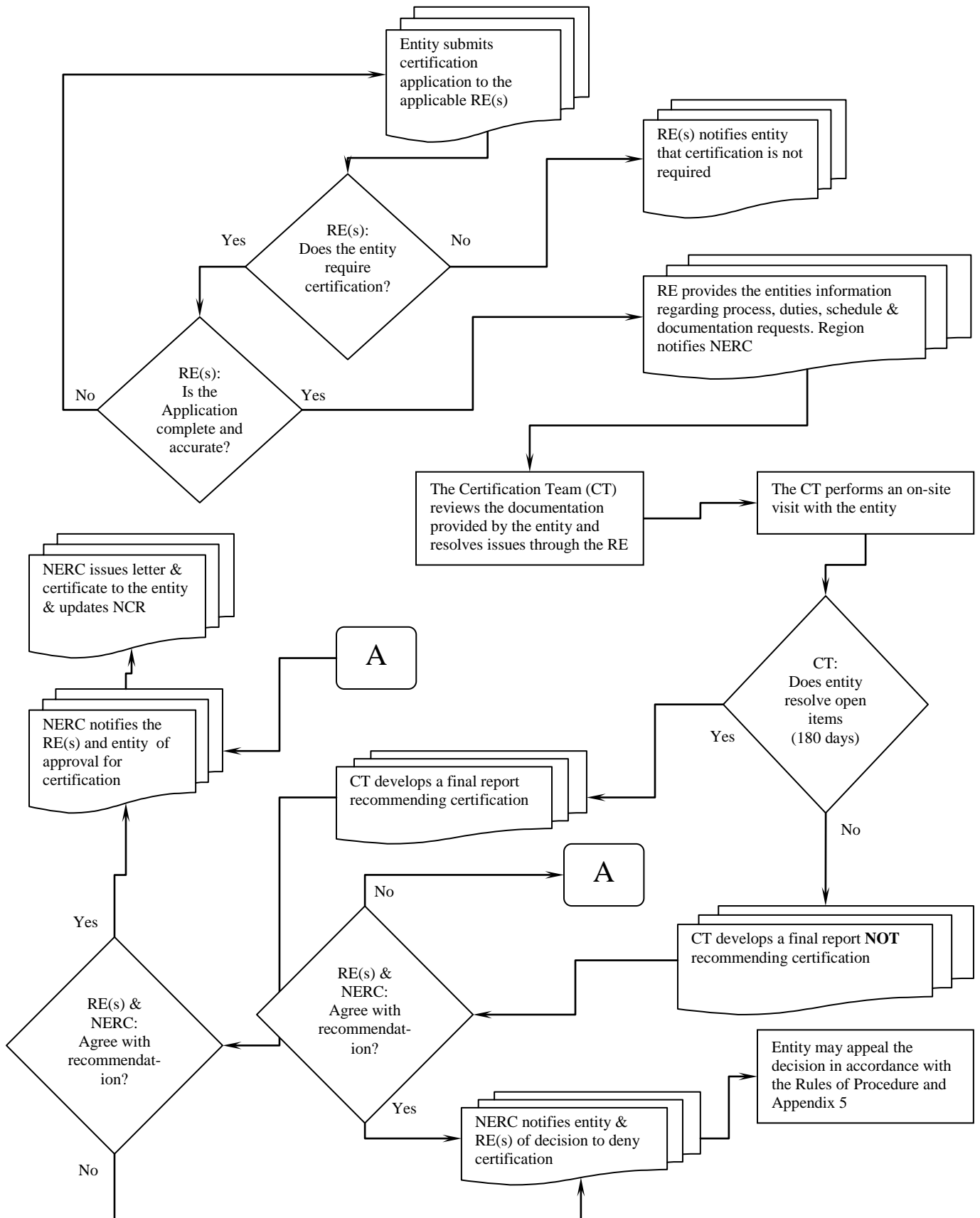
21. If the entity is approved for certification, NERC shall provide the entity a certification letter and a NERC certificate indicating that that entity is NERC certified as a BA, RC, and/or TOP as applicable.

- a. For those CFR entities that agree upon a division of compliance responsibilities for one or more reliability standards or requirements/sub-requirements, NERC shall provide all

entities responsible for BA, RC and/or TOP requirements/sub-requirements and approved for certification as BA, RC and/or TOP a NERC certificate indicating that those entities are NERC certified as a BA, RC, and/or TOP.

- b. NERC shall update the registry prior to the entity(s) going operational.
22. After the entity has been awarded certification, the Regional Entity(ies) shall notify all applicable entities as to the date that the entity may begin its operation as a certified entity. The entity must commence operation within 12 months of certification. Failure to begin operation within the 12-month period shall require the entity to reapply for certification.

Figure 2: Organization Certification Process Overview



Section V — NERC Organization Registration Appeals Process

Purpose and Scope

This section describes the process that any organization may appeal its listing and functional assignment on the NCR.

Overview

NERC has established documented procedures to ensure a fair and impartial appeals process. No one with a direct interest in a dispute may participate in the appeals process except as a party or witness. See Figure 3, *Organization Registration Appeals Process Overview*.

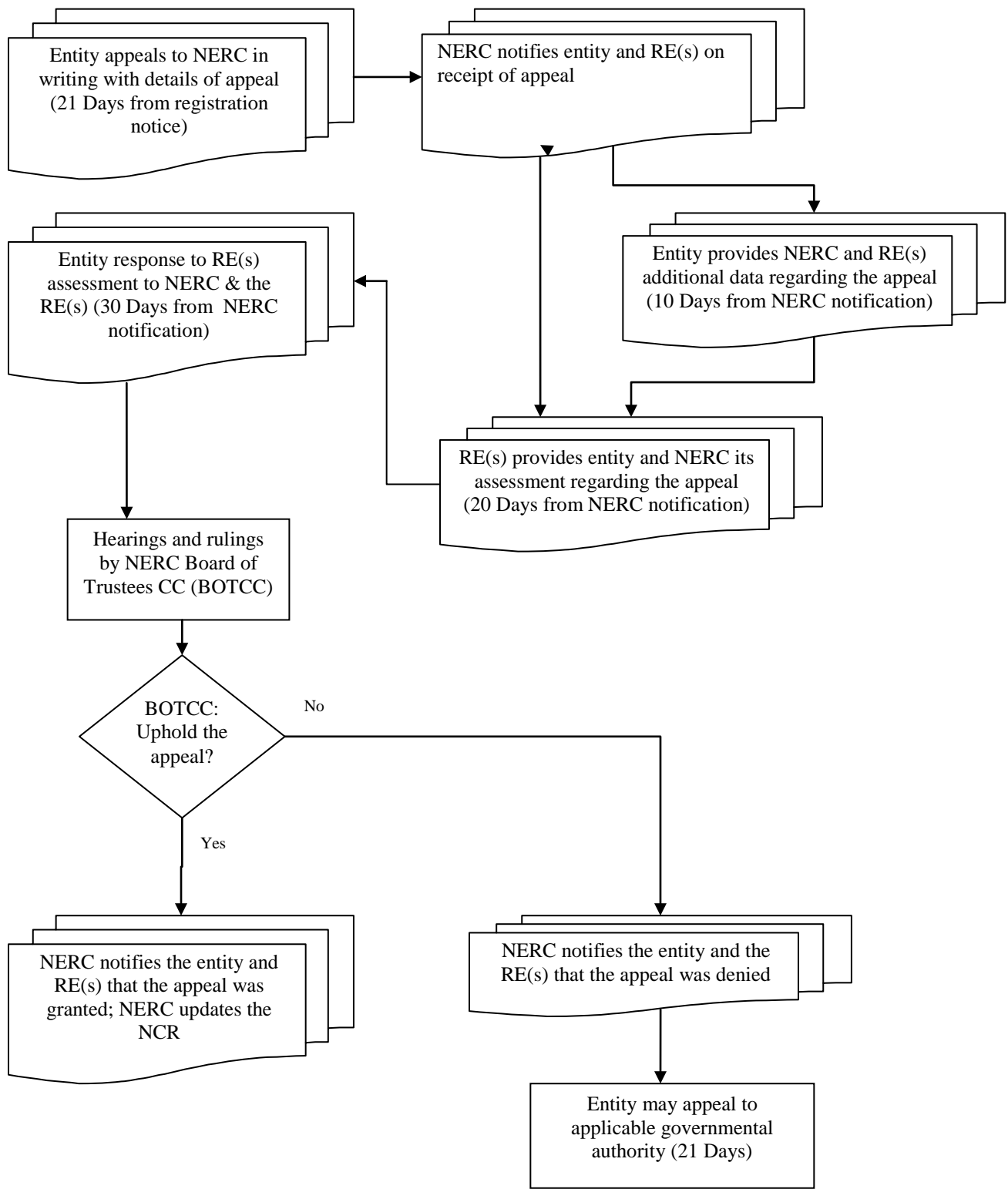
Organization Registration Appeals Procedure

Any entity included on the NCR may challenge its listing and functional assignments with NERC.

1. All registration appeals must be filed in writing to NERC, via registered mail. Appeals are sent to:
 - Vice President and Director of Compliance
 - North American Electric Reliability Corporation
 - 116-390 Village Blvd.
 - Princeton, New Jersey, 08540
2. Each party in the appeals process shall pay its own expenses for each step in the process.
3. A stipulation of invoking the appeals process is that the Regional Entity or entity requesting the appeal agrees that NERC (its members, Board of Trustees, committees, subcommittees, and staff), any person assisting in the appeals process, and any company employing a person assisting in the appeals process, shall not be liable for, and shall be held harmless against the consequences of or any action or inaction or of any agreement reached in resolution of the dispute or any failure to reach agreement as a result of the appeals proceeding. This “hold harmless” clause does not extend to matters constituting gross negligence, intentional misconduct, or a breach of confidentiality.
4. Parties retain the right to seek further review of a decision in whatever regulatory agency or court that may have jurisdiction.
5. All appeals must be received within 21 days of receipt of the NERC letter informing the entity that it is listed on the NCR. The appeal must state why the entity believes it should not be registered based on the NERC Rules of Procedure and the *NERC Statement of Compliance Registry Criteria*.

6. After receipt of the appeal, the registered entity has a 30 day period to work with the Regional Entity to resolve the appeal, if possible. If the appeal is resolved, the Regional Entity will notify NERC with the details of the resolution and NERC will close the appeal.
7. At any time through this appeals process, an entity may agree with the decision and/or agree to close the appeal. NERC shall notify the involved parties and the NERC Board of Trustees Compliance Committee (BOTCC) that the appeal is resolved and update the NCR as applicable.
8. NERC will notify the entity and the applicable Regional Entity(ies) regarding the appeal with the following expectations:
 - a. The entity will provide NERC and the applicable Regional Entity(ies) any additional data supporting its appeal within 10 days of the date of the NERC appeal notification.
 - b. The applicable Regional Entity(ies) will provide a copy of its assessment directly to the entity, as well as to NERC, within 20 days of the date of the NERC appeal notification.
 - c. The entity may submit a response to the Regional Entity(ies) assessment, with copies to the Regional Entity(ies) and NERC, within 30 days of the date of the NERC appeal notification.
 - d. To ensure there is no confusion with respect to the rights and responsibilities of the entity during the appeal process, the notification also confirms whether the entity will remain on the NERC Compliance Registry and will be responsible for compliance with approved reliability standards applicable to the function under appeal during the appeal.
9. Hearing and Ruling by the BOTCC
 - a. The BOTCC will resolve registration disputes.
 - b. The BOTCC may request additional data from NERC, the relevant Regional Entity(ies) or the entity, and prescribe the timeframe for the submitting the requested data.
 - c. The BOTCC will provide a written decision regarding any appeals, along with the basis for its decision.
 - d. If the BOTCC upholds the appeal, NERC will:
 - Notify the entity and Regional Entity(ies) that the appeal was granted.
 - Update the NCR.
 - e. If the BOTCC does not uphold the appeal, NERC will:
 - Notify the entity and the Regional Entity(ies) that the appeal was denied.
 - The entity may appeal to FERC or applicable Canadian Provincial regulator within 21 days of the notification of the decision.
 - f. A record of the appeals process shall be maintained by NERC. Confidentiality of the record of the appeal will be based on the NERC Rules of Procedure Section 1500.

Figure 3: Organization Registration Appeals Process Overview



Section VI — NERC Organization Certification Appeals Process

Purpose and Scope

This section describes the process for an organization to appeal the certification decision that was determined in the certification process.

Overview

The NERC Organization Certification Program provides a key means to fulfill NERC's mission. In conducting this program, NERC has established documented procedures to ensure a fair and impartial appeals process. No one with a direct interest in a dispute may participate in the appeals process except as a party or witness. See Figure 4 *Organization Certification Appeals Process Overview*.

Organization Certification Appeals Procedure

1. Appeal for an Organization Certification Finding.

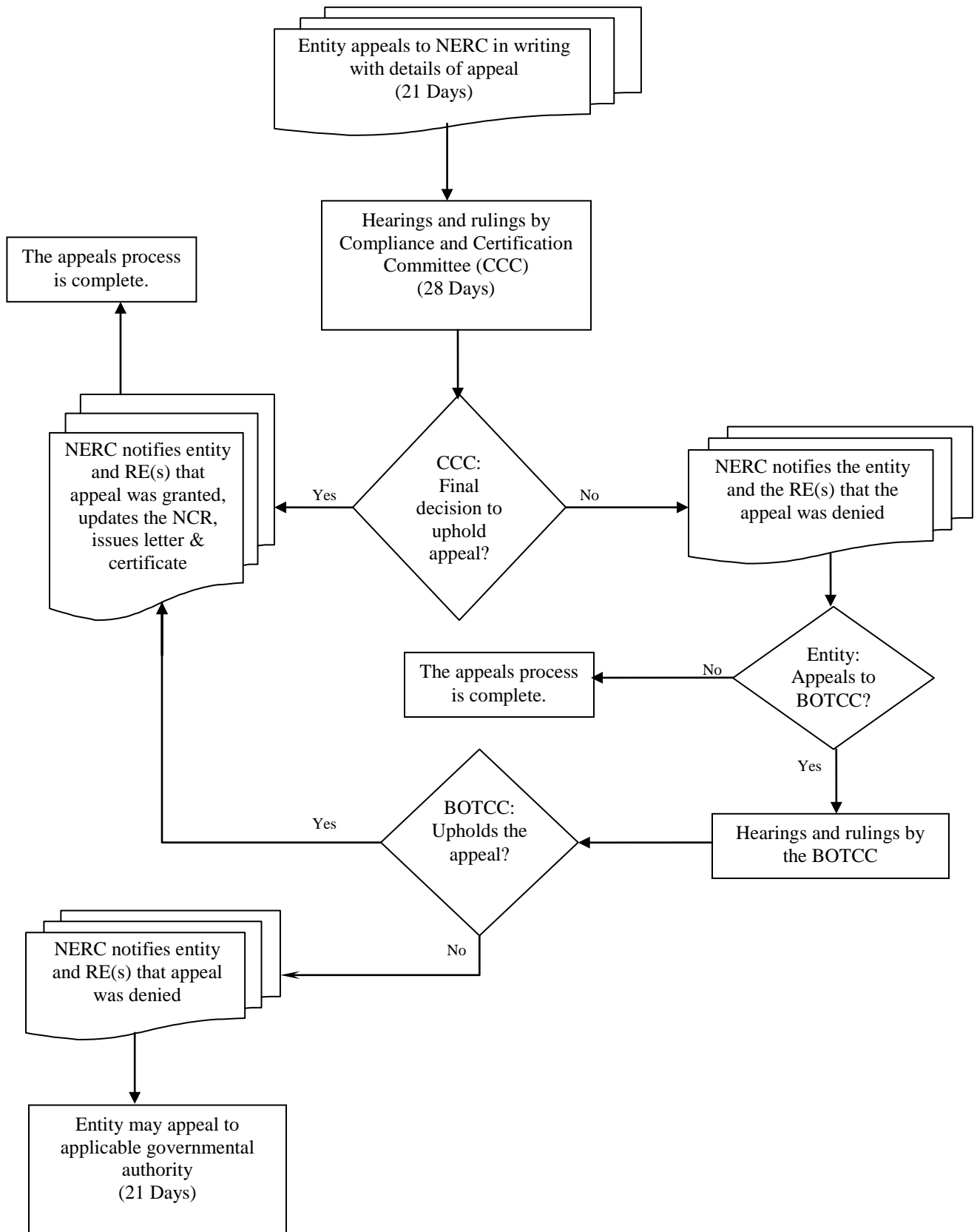
Any entity can appeal an organization certification decision issued as a result of the certification process.

2. Requirements and Conditions for Appeals.

- a. For all appeals under the NERC Organization Certification Program, the appeals process begins when an entity notifies the NERC Vice President and Director of Compliance, in writing, that it wishes to use the NERC appeals process.
 - The Vice President and Director of Compliance is the main contact for all parties in all steps of the appeals process.
 - If an appeal is not filed within twenty one (21) days of the date that the certification report or finding is issued, or the final Regional Entity appeals process ruling is made, the finding shall be considered final and un-appealable.
- b. Each party in the appeals process shall pay its own expenses for each step in the process.
- c. A stipulation of invoking the appeals process is that the Regional Entity or entity requesting the appeal agrees that NERC (its members, Board of Trustees, committees, subcommittees, and staff), any person assisting in the appeals process, and any company employing a person assisting in the appeals process, shall not be liable, and shall be held harmless against the consequences of or any action or inaction or of any agreement reached in resolution of the dispute or any failure to reach agreement as a result of the appeals proceeding. This “hold harmless” clause does not extend to matters constituting gross negligence, intentional misconduct, or a breach of confidentiality.
- d. Parties retain the right to seek further review of a decision in whatever regulatory agency or court that may have jurisdiction.

3. At any time through this appeals process, an entity may withdraw its appeal.
4. Hearing and Ruling by the Compliance and Certification Committee.
 - a. Within twenty-eight (28) days of receiving notice from the NERC Vice President and Director of Compliance, the CCC will conduct a hearing where all the parties or representatives of the disputing parties will present the issue in question, in accordance with CCC procedure CCCPP-005, *Hearing Procedures for Use in Appeals of Certification Matters*.
 - b. If the appeal is upheld, NERC notifies the entity and RE(s), updates the NCR, and issues any appropriate letter and certificate to the entity.
 - c. If the appeal is denied, NERC notifies the entity and RE(s).
5. Hearings and Ruling by the BOTCC.
 - a. The BOTCC will be asked to resolve a dispute related to the NERC Organization Certification Program if any party to the appeal contests the CCC final order.
 - b. The BOTCC may request additional data from NERC, RE(s) or the entity and prescribe the timeframe for the submitting the requested data.
 - c. At the next regularly scheduled BOTCC meeting, or at a special meeting if the Board determines it is necessary, the Chairman of the CCC will present a summary of the dispute and the actions taken to the Board.
 - Each party will have an opportunity to state its case.
 - The BOTCC will then rule on the dispute.
 - d. If the BOTCC upholds the appeal, NERC will:
 - Notify the entity and the Regional Entity(ies) that the appeal was upheld.
 - Update the NCR.
 - Issue a certification letter and a certificate to the entity as applicable.
 - e. If the BOTCC does not uphold the appeal, NERC will notify the entity and the Regional Entity(ies) that the appeal was denied.
 - The entity may appeal to applicable governmental authorities within 21 days of the issuance of the decision.
 - f. A record of the appeals process shall be maintained by NERC and available upon request. Confidentiality of the record of the appeal will be based on the NERC Rules of Procedure Section 1500.

Figure 4: Organization Certification Appeals Process Overview



Definitions

NERC Organization Certification	The process undertaken by NERC and a Regional Entity to verify that a new entity is capable of responsibilities for tasks associated with a particular function such as a Balancing Authority, Transmission Operator, and/or Reliability Coordinator.
Compliance and Certification Manager	The individual/individuals within the Regional Entity that is/are responsible for monitoring compliance of entities applicable NERC Reliability Standards.
Days	Days as used in the registration and certification processes are defined as calendar days.
Footprint	The geographical or electric area served by an entity.
Functional Entity	An entity responsible for a function that is required to ensure the reliable operation of the electric grid as identified in the NERC Reliability Standards.
Mapping	The process of determining whether a Regional Entity's footprint is being served by Registered Entities.
NERC Identification Number (NERC ID)	A number given to NERC Registered Entities that will be used to identify the entity for certain NERC activities. Note: corporate entities may have multiple NERC IDs to show different corporate involvement in NERC activities.
Regional Entity	NERC works with eight Regional Entities to improve the reliability of the bulk power system. The members of the Regional Entities come from all segments of the electric industry. These entities account for virtually all the electricity supplied in the United States, Canada, and a portion of Baja California Norte, Mexico. NERC delegates enforcement authority to these Regional Entities (FRCC, RFC, SPP, TRE, NPCC, MRO, SERC, & WECC).
Registration	Process undertaken by a Regional Entity to identify which entities are responsible for reliability functions within the Regional Entity's footprint.
Coordinated Functional Registration (CFR)	Where two or more entities (parties) agree in writing upon a division of compliance responsibility among the parties for one or more reliability standard(s) applicable to a particular function, and/or for one or more requirement(s)/sub-requirement(s) within particular reliability standard(s).