ERO Registration Procedure

December 14, 2015
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Purpose of the Organization Registration Program

As identified in the NERC Rules of Procedure (ROP) Section 501, the purpose of the Organization Registration Program is to clearly identify those entities that are responsible for compliance with the FERC approved Reliability Standards.

Organizations that are registered are included on the NERC Compliance Registry (NCR) and are responsible for knowing the content of and for complying with all applicable reliability standards.

Organization Registration may be delegated to Regional Entities (REs) in accordance with the procedures in Section 500 through approved RE delegation agreements or other applicable agreements. The NERC Organization Registration and Organization Certification Manual is incorporated into the Rules of Procedure as Appendix 5A.
**Glossary of Terms**

**Activation**
Adding a new registered entity on the NCR indicates that the entity is subject to mandatory compliance with the applicable NERC Reliability Standards that have been approved by the Federal Energy Regulatory Commission (FERC or Commission).

**Alternate Compliance Contact (ACC)**
Employee identified by the registered entity who will be cc’d on all electronic compliance communication between the ERO and the registered entity.

**CRATS Registration Module**
The graphic user interface used by NERC to view, or manually edit when necessary, registration information that has been synced.

**Deactivation**
Removal of an entity from the NCR for a specific functional category.

**Deregistration**
Removal of an entity from the NCR for all functional categories.

**Effective Registration Date**
The date that a registered entity is subject to mandatory compliance with the applicable NERC Reliability Standards that have been approved by the FERC.

**Notification Letter**
A letter sent, both electronically and physically, that provides notice in accordance with Section 500 of the NERC Rules of Procedure and confirms an entity’s registration status.

**Primary Compliance Contact (PCC)**
Employee identified by the registered entity who will be used for all compliance communication between the ERO and the registered entity.

**Primary Compliance Officer (PCO)**
Employee identified by the registered entity at the officer level responsible for reliability standards compliance activity with the organization. This contact will receive key compliance communications from the ERO. Examples are Notices of Alleged Violation, Notice of Regional Confirmation of Violation, and escalated requests from the ERO for data, information, or other reports (including Mitigation Plans) by the required due date, pursuant to Attachment 1 of the Uniform Compliance Monitoring and Enforcement Program (Appendix 4C to the Rules of Procedure).

**Reactivation**
Re-registration pursuant to the NERC ROP Section 500 and Appendices 5A and 5B of an entity to the NCR for a specific functional category or the revocation of, or additions to, a sub-set list of Reliability Standards (which specifies Reliability Standards and may specify Requirements/sub-Requirements) that has been granted to an entity.
**Status Change**
A status change in the NCR is when a Function(s) is added or removed in a currently registered entity where deactivation does not include all functional responsibilities for that entity, or when a negotiated Subset of Requirement Applicability is updated.

**Syncing**
The act of a Regional Entity (RE) electronically updating the NERC Compliance Registry located on NERC’s servers.
Registration Activities

The process of entity registration begins at the regional level regardless of who identifies the entity to be registered (NERC, FERC, RE or entity itself). The Regional Enforcement Authority assesses the prospective Entity using the NERC Statement of Compliance Registration Criteria Appendix 5B and if it meets those criteria forwards the application to NERC.

NERC and the Regional Entities have identified two principles they believe are key to the entity selection process. These are:

- There needs to be consistency between Regions and across the continent with respect to which entities are registered, and;
- Any entity reasonably deemed material to the reliability of the Bulk Power System will be registered, irrespective of other considerations.

To address the second principle the Regional Entities, working with NERC, will identify and register any entity they deem material to the reliability of the Bulk Power System.

If NERC or a Regional Entity encounters an organization that is not listed in the Compliance Registry, but which should be subject to the Reliability Standards, NERC or the Regional Entity is obligated and will initiate actions to add that organization to the Compliance Registry. The Regional Entity considering registration of an organization not meeting (e.g., smaller in size than) the criteria may propose registration of that organization if the Regional Entity believes and can reasonably demonstrate that the organization is a Bulk Power System (BPS) owner, or operates, or uses BPS assets, and is material to the reliability of the BPS. Similarly, the Regional Entity may exclude an organization that meets the criteria described above as a candidate for registration if it believes and can reasonably demonstrate to NERC that the BPS owner, operator, or user does not have a material impact on the reliability of the BPS.

NERC shall maintain the Organization Registration and Organization Certification Programs.

- The roles and authority of Regional Entities in the programs are delegated from NERC pursuant to the ROP through regional delegation agreements or other applicable agreements.
- Processes for the programs shall be administered by NERC and the Regional Entities. Materials that each Regional Entity uses are subject to review and approval by NERC.

For all geographical or electrical areas of the BPS, the registration process shall ensure that (1) no areas are lacking any entities to perform the duties and tasks identified in and required by the Reliability Standards to the fullest extent practical, and (2) there is no unnecessary duplication of such coverage or of required oversight of such coverage. In particular the process shall:

- Ensure that all areas are under the oversight of one and only one Reliability Coordinator.
- Ensure that all Balancing Authorities (BAs) and Transmission Operator (TO) entities are under the responsibility of one and only one Reliability Coordinator.
- Ensure that all transmission Facilities of the BPS are the responsibility and under the control of one and only one Transmission Planner, Planning Authority, and Transmission Operator.
- Ensure that all loads and generators are under the responsibility and control of one and only one Balancing Authority.
Regional Entity Actions
The REs provide NERC with regular updates to the NCR as described below.

Registration Forms
Each RE posts a common registration form on its website for an entity to complete pertinent information for registration. Upon completion, the entity submits the form to the appropriate REs.¹

- NERC currently requires the following information for each entity affecting its registration.²
  - Entity Name
  - Entity Corporate Address
  - Existing NCR number if applicable
  - Region(s)
  - Effective Registration Date (By Function)
  - Entity Functional Responsibility including Jurisdiction
  - Entity Primary Compliance Contact (PCC) (Name, Address, Phone and Email)
  - Entity Authorizing Officer (AO) (Name, Address, Phone and Email)
  - If negotiated, Subset of Requirement Applicability

The following information is optional for submission by the RE for each Entity.

- Entity Alternate Compliance Contact (ACC) (Name, Address, Phone and Email)
- Entity website
- Further information for regional purposes

Syncing
Each RE provides data to NERC through a data sync performed most weekdays, but suggested to be at least once a week.

Letter Review and Approval
From the data provided by the REs, the NERC Registration Technical Analyst³ generates a notification letter⁴,⁵ and forwards to the appropriate RE contact(s) for review for accuracy. The RE must approve the registration notification letter before NERC sends it to the entity.

Coordinated Functional Registration (CFR)
A CFR Registration represents an agreement between two or more registered entities sharing and/or splitting compliance responsibility for Requirements/sub-Requirements within particular Reliability Standard(s) applicable to a specific function. The CFR submission must include a written agreement that governs itself and clearly specifies the entities’ respective compliance responsibilities. The entity point of contact shall inform the Regional Entity of any changes to an existing CFR. The Regional Entity shall promptly notify NERC of each such revision.

¹ See Appendix I, RCP-5
² See Appendix I, RCP-2
³ As a backup, the Engineer of Registration and Certification is available to support all registration activities
⁴ http://nercmoss/CO/registration/Shared%20Documents/Forms/AllItems.aspx
⁵ See Appendix I, RCP-3
When a Regional Entity informs NERC of a new or updated CFR, it includes a responsibility matrix with the following information:

- Matrix of compliance responsibility by Requirement/sub-Requirement
  - CFR ID Number (Where applicable)
    - If the CFR is new then the CFR ID Number will be provided by NERC
  - NCR ID Number for each member of the CFR
    - Each member of a CFR must be a registered entity and be registered for the function for which the CFR is being established.
  - Effective Registration Date of the CFR
    - The Effective Registration Date of the CFR cannot precede the Effective Registration Date of the member(s) function for which the CFR is being established.
  - Function for which the CFR is being established
    - Each CFR registration can only include one function
  - Region(s) where this CFR will be operating
  - Comments
    - Optional and will not appear in the CFR Detail Report posted on the NERC website

**Joint Registration Organization (JRO)**
An entity may register as a 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 that function or those functions including all reporting requirements.

For purposes of Compliance Audits, the Regional Entity shall keep a list of all JROs. This document shall contain a list of each JRO’s members or related entities and the function(s) for which the JRO is registered for that member(s) or related entity(s). It is the responsibility of the JRO to provide the Regional Entity with this information as well as the applicable JRO agreement(s).

When a Regional Entity informs NERC of a new or updated JRO, RE provides the following information:

- JRO ID Number (Where applicable)
  - If the JRO is new then the JRO ID Number will be provided by NERC
- NCR ID Number of the entity taking compliance responsibility for the JRO
- Effective Registration Date of the JRO
  - The Effective Registration Date of the JRO cannot precede the Effective Registration Date of the entity’s function(s) for which the JRO is being established.
- Function(s) for which the JRO is taking compliance responsibility
  - Unlike a CFR a JRO registration can be established for multiple functions
  - It is assumed that the JRO is taking compliance responsibility for every Standard and Requirement/sub-Requirement that is applicable to the function(s) of the JRO registration
- Region(s) where this JRO will be operating
Comments

Third Party Agreements
Parties may enter into a written agreement whereby:

a) A registered entity delegates the performance of some or all functional activities to a third party that is not a registered entity, and the registered entity retains full compliance responsibility and violation accountability; or

b) A registered entity delegates the performance of some or all of the functional activities to a third party and the third party accepts full compliance responsibility for the specific functions it performs and violation accountability. In this case, there may be individual, concurrent or joint registration of the entities, depending on the nature of the contractual relationship and in any event, only the registered entity would be held responsible or accountable by a Regional Entity or NERC.

In all cases, NERC and the Regional Entities will hold the registered entity accountable for compliance responsibilities and violations thereof. While a registered entity may delegate the performance of a task to another entity, it may not delegate its responsibility for ensuring the task is completed. For these reasons, NERC and the Regional Entities seek to reiterate that:

1) A registered entity has compliance responsibility for NERC Reliability Standard requirements applicable to the function(s) for which it is registered and is accountable for violations thereof.

2) If a registered entity delegates tasks to a non-registered third party entity, the registered entity remains solely responsible for compliance and is accountable for violations, even with respect to tasks performed by the non-registered third party on its behalf.

3) As a result, the registered entity must put mechanisms in place that allow it to:
   a) Ensure that non-registered entities performing reliability tasks on its behalf comply with the applicable NERC Reliability Standard requirements;
   b) Ensure that non-registered entities provide evidence of such compliance, at a minimum, upon request to the registered entity or Compliance Enforcement Authority. This may arise with respect to, but is not limited to, audits, compliance investigations, or other compliance monitoring activities and could include on-site visits to the non-registered entity locations; and
   c) Provide self-certifications, self-reports, or other information to the Compliance Enforcement Authority, as required by the CMEP, regarding tasks performed by non-registered entities.

4) The registered entity should ensure that NERC and Regional Entities are aware of any registrations that involve a third party entity performing reliability tasks on its behalf.

NERC Actions
Syncing
Primary responsibility for checking for any change activity rests with the NERC Registration Technical Analyst. The analyst checks for change activity to the NCR at least twice daily (generally 9:00 a.m. and 12:00 p.m.) for updated

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7 See Appendix I, RCP-4
data from the REs. As requested by a RE, a check will be conducted outside of these times (e.g. transfer of ownership for a generating facility).

NERC currently checks for the following database changes:

- Activation of new entity(s)
- Activation of new Function(s) for an already existing registered entity
- Deregistration of a registered entity(s)
- Deactivation of a Function(s) for a registered entity which will not result in a complete entity deactivation
- Entity name change

Three queries are executed using Microsoft SQL Server (SQL) to check for updates in the Compliance Reporting and Tracking System (CRATS) software. These queries are housed on the NERC Organization Registration and Certification SharePoint and are updated periodically depending on changes to the system.

If the daily queries identify a new entity, a NERC Compliance Registry ID (NCRID) number is generated and a registration notification letter containing the new NCR ID is sent to the RE. Should the Entity be registering in multiple Regions NERC shall coordinate the registration to ensure only one NCR ID is used.

**Letter Creation**
For each of the instances listed above, a registration notification letter is created to inform the entity of their status in the NCR. If appropriate, this letter will include the negotiated Subset of Requirement Applicability. The following is the location on the Organizational Registration and Certification (ORC) library on SharePoint ‘Registration Documents’, Category, Category ‘Registration Notification Templates’.

**Activation of New Entity**
Upon receiving registration data for all new entities that have applied for registration, the “Notice of Listing on NERC Compliance Registry (NCR)” letter template is generated if the below activation criteria for certifiable entities is met. The Registration Technical Analyst populates the form letter with the following information from the application submitted to the RE.

- PCC Name
- Entity Name
- NCRID
- PCC Address
- PCC E-Mail Address
- REs
- Function responsibility information (Function, Effective Registration Date, Jurisdiction)
- If appropriate, Negotiated Subset of Requirement Applicability

Once populated, the draft letter is sent to the RE registration contact requesting confirmation of accuracy. In the case of an entity registered in multiple Regions the letter is sent to each affected RE registration contact for confirmation and approval. Once the letter is approved or any discrepancies are corrected, the letter is sent to the entity PCC via email with hard copy to follow and the entity is included in the NCR effective the date stated in the letter.
Registration data for a new entity that has been registered by a RE on behalf of an entity that refuses to be registered for any function, (including BA, RC or TOP), or the addition of a function(s) to an existing registered entity follows the same registration process.

**Activation Criteria for Certifiable Entities**

Upon receiving registration data for a new entity that has applied for registration as a BA, RC TOP, the Registration Technical Analyst, confirms the entity has been certified for performing those functions. If the entity has been certified, the registration process proceeds as described below. If the entity is not certified, the Registration Technical Analyst notifies the RE certification contact and RE registration contact, advising that the certification process must be completed prior to registration. Upon completion of the certification process, the registration process continues as described below.

**Deactivation**

Upon receiving data for full deactivation\(^8\) of an entity, the RE will review the request and if the RE agrees and if no open possible violations (PVs) exist, they will synchronize with NERC’s database to formalize the changes. The NERC Registration Technical Analyst queries the database to confirm the entity has no open PVs. The RE registration contact is notified if there are any open PVs, because an entity may not be deactivated until all open PVs have been closed or dismissed. Upon confirmation there are no open PVs, the Registration Technical Analyst requests a basis for deactivation from the RE. The RE’s response is reviewed by the NERC Manager of Registration Services. If the basis is accepted, the deactivation process for the entity is initiated. If the basis is not accepted, the RE registration contact is advised and the entity would then be contacted by the RE registration contact for further information or to follow the Registration Appeal Process.

Once these requirements have been satisfied the “Notice of Deactivation on the NERC Compliance Registry (NCR)” letter is generated. The form letter is populated by the Registration Technical Analyst with the following information from the NCR.

- PCC Name
- Entity Name
- NCRID
- PCC Address
- PCC E-Mail Address
- RE(s)
- Function responsibility information
  - Function, Effective Registration Date
  - Function Deactivation Date
- If appropriate, Negotiated Subset of Requirement Applicability

Once populated, the draft letter is sent by the Registration Technical Analyst to the RE requesting confirmation of accuracy. (In the case of an entity registered in multiple REs the letter must be confirmed and approved by all affected REs). Once the letter is approved or any discrepancies are corrected, the letter is sent via email with hard copy to follow by the Registration Technical Analyst to the PCC, and the entity’s registration information is transferred to the deactivation section of the NCR.

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\(^8\) RCP-3. Full deactivation or of a function
**Sale or Transfer of Assets**
When a sale or transfer of assets occurs, the previous owner’s registration is de-activated following the de-activation procedure and the new owner’s record is added or modified on the NCR following the Registration procedure, including a new NCRID if needed, with the additional information described above. Currently, transferring an open PV is done via a manual process.

For further guidance, please refer to NERC Bulletin #2011-005 Transfer of Assets

**Name Change**
NERC allows entity name changes without re-registration where the change does not involve the selling or transfer of an entity’s assets to another owner.\(^9\)

Once the name change data has been received the “Notice of Entity Name Change on the NERC Compliance Registry (NCR)” letter is generated. The Registration Technical Analyst populates the form letter with the following information from the NCR.

- PCC Name
- Entity Name (New)
- Entity Name (Old)
- NCRID
- PCC Address
- PCC E-Mail Address
- RE(s)
- Function responsibility information (Function, Effective Registration Date)

Once populated, the Registration Technical Analyst sends the draft letter to the RE requesting confirmation of accuracy. (In the case of an entity registered in multiple Regions the letter must be approved by all affected Regions.) Once the letter is approved or any discrepancies are corrected, the Registration Technical Analyst sends the letter via email with hard copy to follow to the entity PCC.

**Status Change**
A status change in the NCR is when a Function(s) is added or removed in a currently registered entity where deactivation does not include all functional responsibilities for that entity, or when a negotiated Subset of Requirement Applicability is updated.

**New Function(s)**
Upon receiving registration data for the addition of a new Function(s) for a previously Registered Entity, the Notice of Status Change on NCR letter is generated. If the new function is BA, RC, or TOP, the Registration Technical Analyst will confirm that this entity has been certified for the appropriate function. If the entity is not certified, the Registration Technical Analyst notifies the RE Certification Manager and RE Registration Manager, advising that the certification process must be completed prior to the addition of the new Function.

The Registration Technical Analyst will generate a letter containing the following information:

- PCC Name

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\(^10\) Entity history is maintained via the NCRID
- Entity Name
- NCRID
- PCC Address
- PCC E-Mail Address
- RE(s)
- Function responsibility information (Function, Effective Registration Date)
- If appropriate, Negotiated Subset of Requirement Applicability

Once populated, the Registration Technical Analyst sends the draft letter to the RE requesting confirmation of accuracy (In the case of an entity registered in multiple Regions the letter must be approved by all affected Regions.) Once the letter is approved or any discrepancies are corrected the Registration Technical Analyst sends the letter via email with hard copy to follow to the entity PCC.

**Deactivated Function(s)**

Upon receiving data for the deactivation of a function(s) for a previously registered entity, the RE will review the request and if they agree and if no open PVs exist, they will synchronize with NERC’s database to formalize the changes. The NERC Registration Technical Analyst queries the database to confirm the entity has no open PVs. The Regional Registration Manager is notified if there are any pending PVs because an entity may not be deactivated until all open PVs have been closed or dismissed. Upon confirmation there are no open PVs, the Engineer of Registration and Certification or the Registration Technical Analyst requests a basis for deactivation from the RE. The RE’s response is reviewed by the NERC Manager Registration Services. If the basis is accepted, the deactivation process for the entity is initiated. If the basis is not accepted, the RE Registration Manager is advised and the entity would then be contacted by the RE Registration Manager either for further information or advised to follow the Registration Appeal Process.

Once these requirements have been satisfied the Notice of Deactivation on the NERC Compliance Registry (NCR) letter is generated. The letter is populated by the Registration Technical Analyst with the following information:

- PCC Name
- Entity Name
- NCRID
- PCC Address
- PCC E-Mail Address
- RE(s)
- Function responsibility information
  - Function, Effective Registration Date
  - Function Deactivation Date

Once populated, the draft letter is sent by the Registration Technical Analyst to the RE requesting confirmation of accuracy. (In the case of an entity registered in multiple Regions the letter must be confirmed and approved by all affected Regions the Regional Entity has five working day to respond with any comments before NERC issues the letter to the Registered Entity.) Once the letter is approved or any discrepancies are corrected, the letter is sent by the Registration Technical Analyst via email with hard copy to follow to the PCC, and the entity’s registration information is transferred to the deactivation section of the NCR.
Notification
Once the appropriate notification letter(s) has been generated and approved by the RE(s) it is sent to the entity PCC as an email attachment followed by a hard copy. The email is sent with “High Importance”, “Request a Delivery Receipt”, and “Request a Read Receipt”.

The hard copy is sent via Certified Mail or overnight courier when necessary with return receipt when the letter is:

- Entity Name Change
- Entity Deactivation
- Function(s) Deactivation where there is no new Function(s) being added
- New Entity Activation
- New Function(s) Activation

Notification E-Mails and ‘return receipts’ are stored on the ORC library on SharePoint ‘Registration Documents’, Category, Category ‘Registration Communication’, Folder ‘Notification Letter’.

Coordinated Functional Registration (CFR)
The RE forwards the entity names, confirming they are registered for the appropriate function and a spread sheet that allocates compliance responsibility for each Standard/Requirement that is applicable to that function. NERC or the Regional Entity may request clarification of any list submitted to it that identifies the compliance responsibilities of the CFR.

Once NERC has the required information it is transposed into the NERC database. Once the information has been transposed an entity notification letter is generated and provided to the Regional Entity for review. Once approved it is sent to the members of the CFR via email and certified mail or other courier.

NERC will then generate a CFR detail report which will include all Standards and Requirements/sub-Requirements each CFR member is responsible for to be posted on the NERC website. A list of all active CFR members is also available on the NERC website in the same place as the CFR detail reports.

To assure that nothing is missed JRO/CFR registrations will be addressed to the Technical Analyst and cc’d to DL-NERC-Registration. All NERC staff in the ORC group are on internal distribution for the DL-NERC-Registration email address and therefore this cc will be the ORC’s initial assurance that the registration will not be missed. If the Regional Entity has not received the appropriate registration letters within 3 business days, they are requested to issue a follow-up email.

Joint Registration Organization (JRO)
The Regional Entity forwards the entity name, confirming they are registered for the appropriate function they are assuming complete functional responsibility for. NERC or the Regional Entity may request clarification of any JRO submission.

Once NERC has the required information it is transposed into the NERC database. Once the information has been transposed an entity notification letter is generated and provided to the Regional Entity for review. Once approved it is sent to the JRO entity via email and certified mail or other courier.

NERC then will generate a list of all active JRO entities to be posted on the NERC website.
To assure that nothing is missed JRO/CFR registrations will be addressed to the Technical Analyst and cc’d to DL-NERC-Registration. All NERC staff in the ORC group are on internal distribution for the DL-NERC-Registration email address and therefore this cc will be the ORC’s initial assurance that the registration will not be missed. If the Regional Entity has not received the appropriate registration letters within 3 business days, they are requested to issue a follow-up email.

NCR Public Posting NERC posts the complete list of active Registered Entities on a monthly basis on its public website. The following files are posted:

- **NERC Compliance Registry Change Summary**: This file contains all registration updates that occurred during the given month. These changes include New Entities, Deactivated Entities and Changes in Functional responsibility.
- **NERC Compliance Registry (Active Entities)**: A complete list of all active Registered Entities in the NERC Compliance Registry and their Functional responsibilities.
- **NERC Compliance Registry Summary**: A numerical count of all currently active Entities and Functional responsibilities by Regional Compliance Enforcement Authority.
- **NERC Compliance Registry**: A list of all entities that have been removed from the NERC Compliance Registry.

NERC maintains a list of all Registered Entities (Active and Inactive) in the CRATS database and listed in internal SharePoint files.

NERC will include in its Compliance Registry each entity that NERC concludes can materially impact the reliability of the Bulk Electric System. However, the potential costs and effort of ensuring that every organization potentially within the scope of “owner, operator, and user of the Bulk Power System” becomes registered while ignoring their impact upon reliability, would be disproportionate to the improvement in reliability that would reasonably be anticipated from doing so. NERC updates JRO and CFR information as it occurs and posts responsibility reports on the public website.

**NERC-led Review Panel**

Section III.D of Appendix 5A states, “NERC shall establish a NERC-led, centralized review panel, comprised of a NERC lead with Regional Entity participants, to vet requests for Deactivation of, or decisions not to register, an entity that meets Sections I through IV of the Registry Criteria or requests to add an entity that does not meet (i.e., falls below) Sections I through IV of the Registry Criteria, as well as disputes regarding the application of Sections I through IV of the Registration Criteria and requests for a sub-set list of applicable Reliability Standards (which may specify the Requirements/sub-Requirements).”

Registered entities are encouraged to work with their Regional Entity early on in the process, ideally before any request are sent to NERC.

All requests for deactivation of, or decisions not to register, an entity that meets Sections I through IV of the Registry Criteria or requests to add an entity that does not meet (i.e., falls below) Sections I through IV of the Registry Criteria, as well as disputes regarding the application of Sections I through IV of the Registration Criteria and requests for a sub-set list of applicable Reliability Standards (which may specify the Requirements/sub-Requirements) will be sent to NERC. The entity who bears the burden of proof with respect to application of the materiality test, or a sub-set list of applicable Reliability Standards (which may specify Requirements/sub-
Requirements) must submit to NERC, in writing details of the issues and identification of the Responding Entity\textsuperscript{11}, and the applicable Regional Entity(ies), RC, BA, PA and TOP that have (or will have upon registration of the entity) the entity whose registration status is at issue within their respective Scope of Responsibility. NERC will send a notification to the Regional Entity(ies), the entity whose registration status or sub-set list\textsuperscript{12} treatment is at issue, and the referenced RC, BA, PA and TOP acknowledging receipt of the notification of panel review.

Requesting entity should complete the NERC-led Review request form in its entirety and submit it with supporting documentation to NERC for initial validation. NERC will respond to the requester within 10 days of receipt of request to inform the requester if the request was accepted or rejected for review by the NERC-led Panel.

The Materiality Assessment outlined in Chapter 4 of the Risk-Based Registration Implementation Guide will be used as the basis in determining the applicability of the request.

The timelines as outlined in Appendix 5A Section III shall be adhered to. The NERC-led review panel will render its decision within 60 days of the final submission to the panel. NERC may extend timelines for good cause shown. Within five business days of making final decision, NERC will notify appropriate parties of proposed additions or changes to the NCR to the Regional Entity for review. Within 21 days of receipt of the determination, the entity can appeal the decision to the NERC Board of Trustees Compliance Committee (BOTCC). If an entity is accepted for reduced set of standards, FERC will be notified of the determination and has 60 days to determine if a formal Commission review is warranted.

**Registration Appeals Process**

The registration appeals process is initiated when an entity has been registered but disputes the registration. NERC has established this registration appeals process in order to provide a fair, equitable, and transparent way for an registered entity to challenge a RE or NERC on whether the entity is required to be registered. NERC or the Regional Entity will provide the organization with all information necessary to timely challenge that determination including notice of the deadline for contesting the determination and the relevant procedures to be followed as described in the NERC Rules of Procedure; Section 500 – Organization Registration and Certification.

No one with a direct interest in a dispute may participate in the appeals process except as a party or witness.

**Appeal to NERC**

In order to successfully appeal its registration and listing on the NCR, an entity must send a formal appeal via registered mail to the NERC Senior Director of Compliance Analysis and Certification within 21 days of the entity’s receipt of the NERC registration letter. Upon receipt of the appeal, the NERC Senior Director of Compliance Analysis and Certification or his designee formally acknowledges receipt of the appeal. From the date NERC receives the appeal, the entity has 30 days to resolve the disputed registration with the RE. If the entity and the RE are able to resolve the disputed registration, the RE will provide details of the resolution to NERC. NERC will then close the appeal.

After the end of the 30 day resolution opportunity, the NERC Senior Director of Compliance Analysis and Certification will provide the entity and the RE with a formal letter confirming receipt of the appeal and requesting support data from each. If the appeal is not resolved between the RE and Entity, the Entity must provide all supporting data they have compiled to demonstrate why they should not be registered to NERC within 10 days of NERC’s letter. The RE must provide its assessment to both the Entity and NERC within 20 days of the date of the

\textsuperscript{11} By way of example, if a Registered Entity is seeking to be deactivated based on the materiality test and therefore bears the burden of proof, then the Responding Entity is the Regional Entity. If a Regional Entity bears the burden of proof in a materiality test case, then the entity whose registration status is at issue is the Responding Entity.
NERC letter describing why the entity should be registered. The entity may provide response to the RE assessment, within 30 days of the NERC appeal notification letter. NERC ORC will review all information received from both the entity and the RE and provides NERC Legal a technical conclusion for preparation of response documents. If ORC supports the appeal, NERC Legal creates a document supporting the appeal and sends a copy to the RE and the entity, which requests for the RE to deactivate the Entity’s registration. If ORC denies the appeal, NERC Legal creates a document denying the appeal for presentation to the BOTCC.

At any time through the appeals process, a Registered Entity may agree with the decision and/or agree to close the appeal. NERC shall notify the involved parties and the BOTCC that the appeal is resolved and update the NCR as applicable.

All denied appeals are forwarded to the BOTCC. The BOTCC resolves registration disputes on behalf of NERC. Notification of the decision is provided to the entity and the RE. If the BOTCC supports the appeal, NERC Legal formally notifies both the RE and the entity and instructs the RE to deactivate the entity’s registration. If the BOTCC denies the entity’s appeal, NERC Legal sends a formal letter to the entity via overnight mail with return receipt requested. The entity can then appeal to FERC within 21 days of the entity’s receipt of the letter. If FERC denies the appeal, the entity can file the appeal in court.

**Oversight**

As the Electric Reliability Organization (ERO), the North American Electric Reliability Corporation (NERC) has the authority, responsibility, and obligation to monitor Regional Entities’ (REs’) adherence to the NERC Rules of Procedure (ROP), specifically the Organization Registration Program, and the terms of the regional delegation agreement to ensure consistency and fairness of the Regional Entities’ Organization Registration Program. Regional Performance is assessed for success, effectiveness and consistency by evaluating whether the goals are met through the administration of the ORP.

Oversight Activities will be based on risk and according to the 2016 Coordinated Management of ERO Enterprise Functions.

**Data Management**

Documentation used to substantiate the conclusions of NERC and the Regional Entities will be treated as confidential. These documents shall be retained for a period of at least (6) six years, unless a different retention period is otherwise identified, for the purposes of future audits of these programs.
Appendix 1: Registration Control Points

**RCP 1** – After verifying the completeness of the NCR, sample it and request the corresponding registration documentation from the applicable RE. Confirm accuracy of the information contained in the NCR for those sampled.

**RCP 2** – Sample the NCR and verify each sample selection has a registration letter on file. Verify accuracy of information in the letter as well. For deactivation, ensure they are moved to the appropriate “deactivated” status.

**RCP 3** – Depending on the population of changes, sample the changes and verify the change is supported by a valid change request and the change input is accurate.

**RCP 4** – Confirm how the REs verify the integrity of the information a proposed entity provides in order to be registered.
Appendix 2: Organization Registration Process Overview

Any entity (i.e., entity, NERC, Regional Entity) submits Registration form to each Regional Entity in which the applicable entity operates.

NERC coordination as required for multiple Regions

Regional Entity(s): Does the entity require Certification?

Yes → Regional Entity(s): Notifies entity to initiate the Certification process per Section IV

No → Regional Entity(s): Notifies entity to correct Registration information

Regional Entity(s): Is the data correct (CFR, etc.)?

Yes → Regional Entity(s): Forwards Registration information to NERC

No → Regional Entity(s): Forwards Registration information to NERC

NERC: Provide Regional Entity(s) proposed changes to the NCR for 5-day review

Regional Entity(s): Is the NERC data correct?

Yes → NERC: Updates the NCR and notifies the entity when listed in the NCR

No → Entity may appeal the Registration in accordance with the Rules of Procedure and Appendix 5A
Appendix 3: Deactivation Process Overview
Appendix 4: Organization Registration Appeals Process Overview

1. Registered Entity appeals to NERC in writing with details of appeal (21 Days from Registration notice)
2. NERC notifies Registered Entity and Regional Entity(s) on receipt of appeal
3. Registered Entity response to Regional Entity(s) assessment to NERC & the Regional Entity(s) (30 Days from NERC notification)
4. Entity provides NERC and Regional Entity(s) additional data regarding the appeal (10 Days from NERC notification)
5. Regional Entity(s) provides Registered Entity and NERC its assessment regarding the appeal (20 Days from NERC notification)
6. Hearings and rulings by NERC Board of Trustees CC (BOTCC)
7. BOTCC: Uphold the appeal?
   - Yes: NERC notifies the Registered Entity and Regional Entity(s) that the appeal was granted; NERC updates the NCR
   - No: NERC notifies the Registered Entity and the Regional Entity(s) that the appeal was denied
8. Registered Entity may appeal to Applicable Governmental Authority (21 Days)
## Revision History

<table>
<thead>
<tr>
<th>Revision Number</th>
<th>Date</th>
<th>Description</th>
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<tbody>
<tr>
<td>0</td>
<td>7/17/2013</td>
<td>Original Date</td>
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<tr>
<td>1</td>
<td>2/4/2014</td>
<td>Included additional wording for JRO and CFR registration processes.</td>
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<tr>
<td>2</td>
<td>5/12/2014</td>
<td>Added Revision Table</td>
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<tr>
<td>3</td>
<td>5/19/2014</td>
<td>Format Change and review content to ensure current process is reflected.</td>
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<tr>
<td>4</td>
<td>6/6/2014</td>
<td>Included language to describe processes laid out in ROP</td>
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<tr>
<td>5</td>
<td>6/17/2014</td>
<td>Replaced replace “Director of Compliance Operations” with “Senior Director of Compliance Analysis and Certification” in procedure and flowchart</td>
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<tr>
<td>6</td>
<td>12/14/2015</td>
<td>Updated Registration Group titles and incorporated Risk-Based Registration changes</td>
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