

Registration and Certification

Mark Rogers

Manager, Registration and Certification

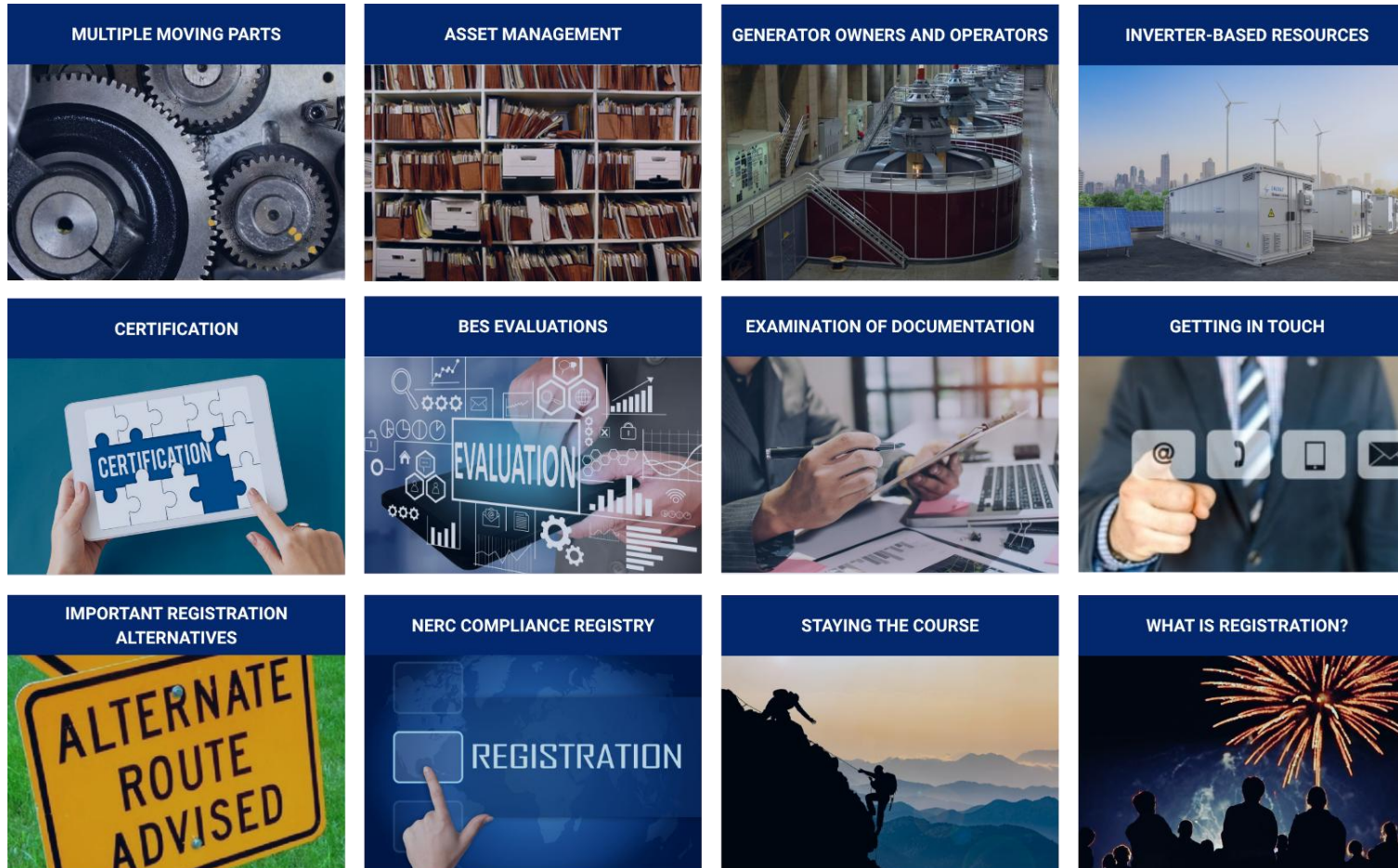
**Electric Reliability
& Security for the West**

What is Registration?

**Where All the
Magic Begins**



Overview of Topics



Multiple Moving Parts
Asset Management
Generator Owners and Operators
Inverter-based Resources
Certification of BA, RC, and TOP Functions

BES Evaluation Process
Examination of Documentation
Getting in Touch – Contact Maintenance
Important Registration Alternatives
NERC Compliance Registry
Staying the Course

Multiple Moving Parts

- Registration Activities
 - Who needs to register
 - BES evaluations
 - Registration functions
 - Functional mapping
 - Alternative/optional registrations
 - Centralized Organization Registration ERO System (CORES)
 - Changes to registration
 - Assets: add/remove/retire/replace
 - Registered function(s): add/remove
 - Corporate: name/ownership/staff changes
- Consolidation of registrations
- Deregistration vs. deactivation
- Certification requirements/activities



Registration and Certification

Ensure all applicable users, owners, and operators of the Bulk Electric System within the Western Interconnection are:

- Properly registered for their functions
- Certified that they are able to carry out their functions
- Mapped for compliance with NERC Reliability Standards

Defining Registration

Identifies and registers BPS owners, operators, and users

Responsible for performing specific function(s)

Accountable for compliance with NERC Reliability Standards

- Registered entities can face penalties or sanctions for noncompliance

Who is Required to Register?

Appendix 5B – Statement of Compliance Registry | Appendix 2 – Definitions Used in the ROP



- BES definition establishes element inclusion and exclusion
- Registry criteria applies the BES definition to owners and operators
- Registry criteria also includes Distribution Providers who serve load above 75 MW at a single point of interconnection

Who is Required to Register?

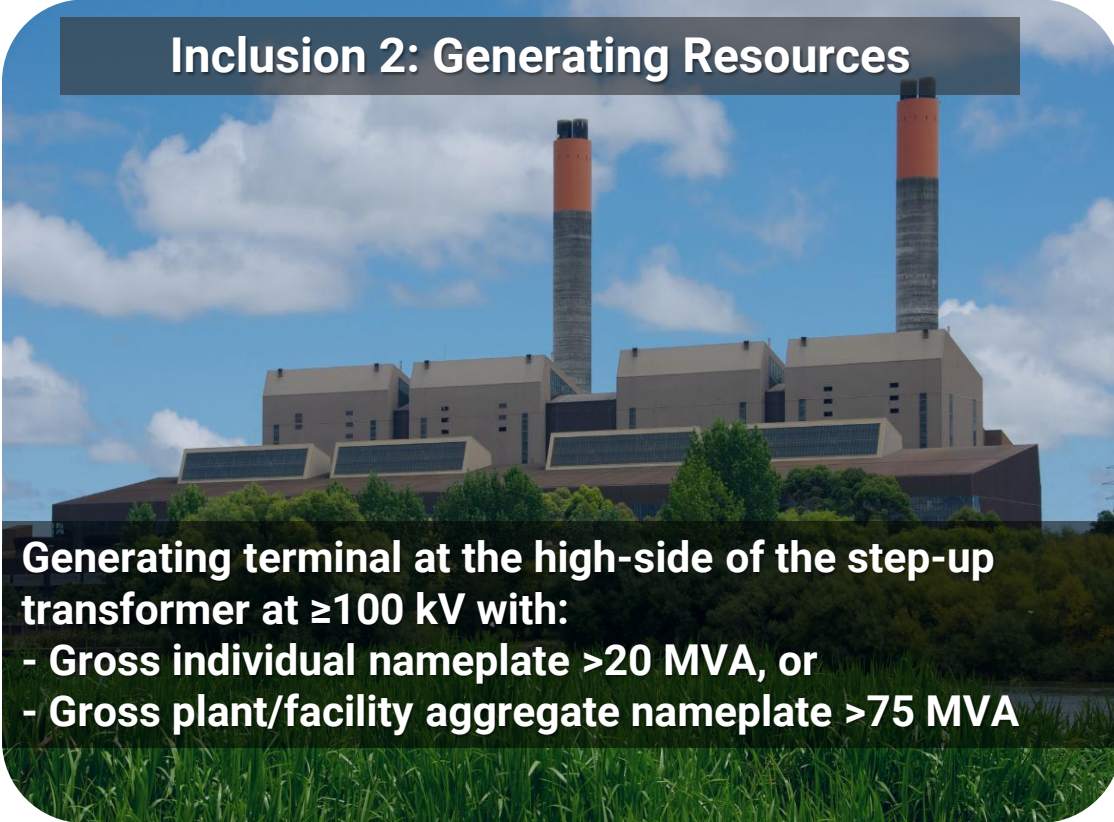
Appendix 2 – Definitions Used in the ROP

Inclusion 1: Transmission Resources



Transformers with the primary terminal and at least one secondary terminal operated at ≥ 100 kV

Inclusion 2: Generating Resources



Generating terminal at the high-side of the step-up transformer at ≥ 100 kV with:

- Gross individual nameplate > 20 MVA, or
- Gross plant/facility aggregate nameplate > 75 MVA

Inclusion 3: Blackstart Resources

Identified in the Transmission Operator's restoration plan

Who is Required to Register?

Appendix 2 – Definitions Used in the ROP

Inclusion 4: Dispersing Power Producing Resources (small-scale generation)

- Individual resources, and
- System(s) designed primarily for delivering capacity from the point where those resources aggregate to >75 MVA (gross nameplate rating) at 100 kV or above

Inclusion 5: Static or dynamic devices (excluding generators)

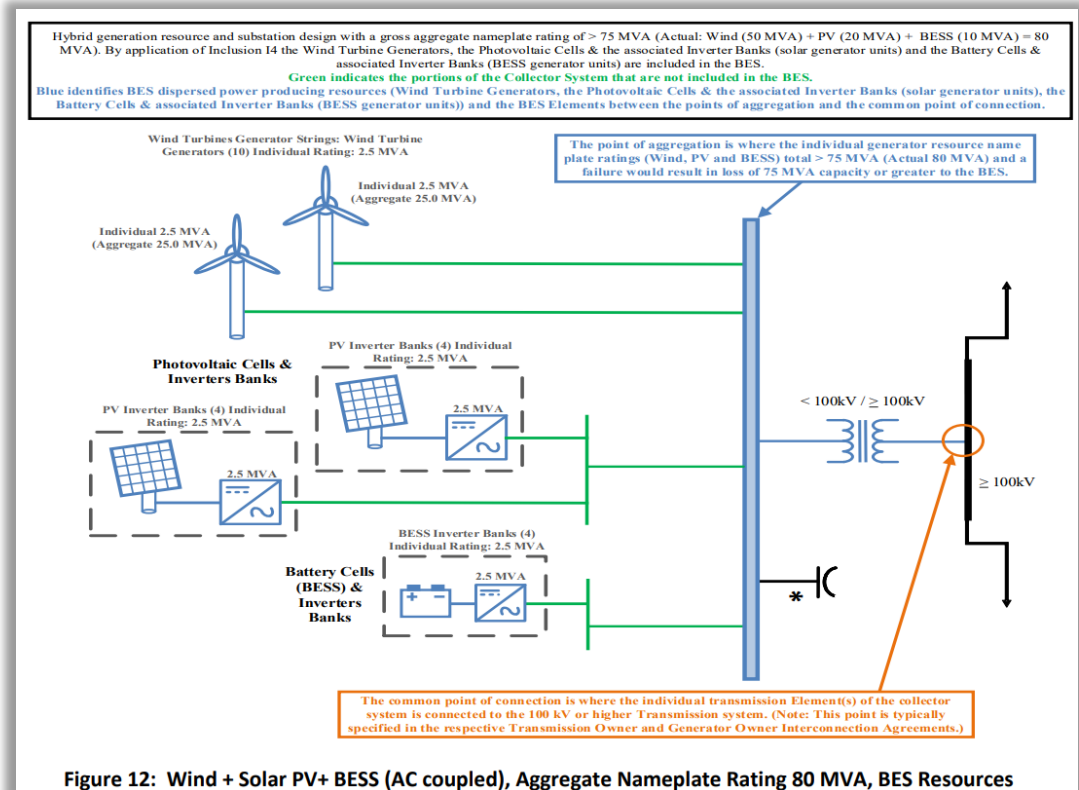
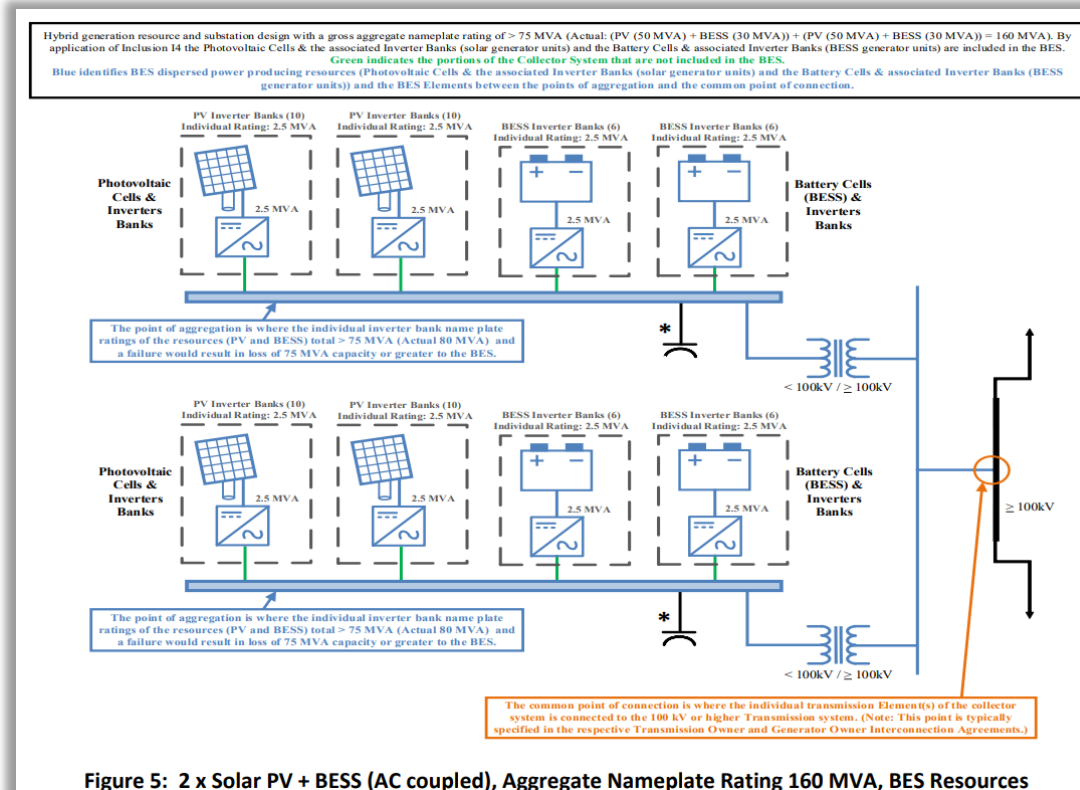
Dedicated to supplying or absorbing Reactive Power connected at 100 kV or higher, or through a dedicated transformer with a high-side voltage of 100 kV or higher, or through a transformer that is designated in Inclusion I1

Who is Required to Register? Inclusions and Exclusions

Inclusions and Exclusions Listed in Appendix 2

BES Definition Examples

- One-line diagrams should depict the Generation Resource(s) through to the Point of Interconnection w/TO.
- Specifically, diagrams should include the Interconnection Point and Collector System with feeders and individual ratings.



BES Evaluations

- What it is
 - To whom it applies
 - Types of reviews
 - Benefits
- BES evaluation consists of a bright-line application of the criteria documented in the BES definition, resulting in the classification of facilities as BES or non-BES Elements.
 - WECC staff is responsible for the consistent and accurate application of the BES definition as it applies to transmission and generation facilities in WECC's Region and works with the Transmission Owners (TO) and Generator Owners (GO).



Types of BES Evaluation Reviews

- **Initial reviews** evaluate the entity's transmission system to establish a baseline.
- **Focused reviews** evaluate specific system topology changes (new installations, reconfigurations, etc.).
- **Periodic reviews** are conducted every four years.
 - Reaffirm initial review.
 - Roll up focused reviews into a single evaluation.
- **Preliminary reviews** are conducted at the request of the entity to evaluate planned or future projects.

Evidence of Determination | Benefits of BES Evaluations

Documentation

- Updated one-line operating diagrams to reflect the consensus determination of the classification of facilities as BES or non-BES Elements
- Determination notification describing the results

Evaluation Benefits

- Consistent application of the BES definition region-wide
- Supports an accurate WECC/NERC compliance registry
- Formal process for meeting NERC ROP requirements
- Educational tool to improve the understanding and application of the BES definition criteria
- Applied process to planned and future projects

Registered Function Types in WECC's Region

Function Type	Definition
*Balancing Authority (BA)	The responsible entity that integrates resource plans ahead of time, maintains Load-interchange-generation balance within a Balancing Authority Area, and supports Interconnection frequency in real-time.
Distribution Provider (DP)	Provides and operates the “wires” between the transmission system and the end-use customer. For those end-use customers who are served at transmission voltages, the Transmission Owner also serves as the Distribution Provider. Thus, the Distribution Provider is not defined by a specific voltage, but rather as performing the distribution function at any voltage.
Distribution Provider UFLS (DP-UFLS)	A Distribution Provider entity shall be an Underfrequency Load Shedding (UFLS)-Only Distribution Provider if it is the responsible entity that owns, controls or operates UFLS Protection System(s) needed to implement a required UFLS program designed for the protection of the BES, but does not meet any of the other registration criteria for a Distribution Provider.
Generator Operator (GOP)	The entity that: 1) operates generating Facility(ies) and performs the functions of supplying energy and Interconnected Operations Services (Category 1 GOP); or 2) operates non-BES inverter based generating resources that either have or contribute to an aggregate nameplate capacity of greater than or equal to 20 MVA, connected through a system designed primarily for delivering such capacity to a common point of connection at a voltage greater than or equal to 60 kV (Category 2 GOP).
Generator Owner (GO)	The entity that: 1) owns and maintains generating Facility(ies) (Category 1 GO); or 2) owns and maintains non-BES inverter based generating resources that either have or contribute to an aggregate nameplate capacity of greater than or equal to 20 MVA, connected through a system designed primarily for delivering such capacity to a common point of connection at a voltage greater than or equal to 60 kV (Category 2 GO).
Planning Authority (PA)/ Planning Coordinator (PC)	The responsible entity that coordinates and integrates transmission Facilities and service plans, resource plans, and Protection Systems.

Definitions in NERC ROP, Appendix 5B | *Must be NERC certified before registering for function

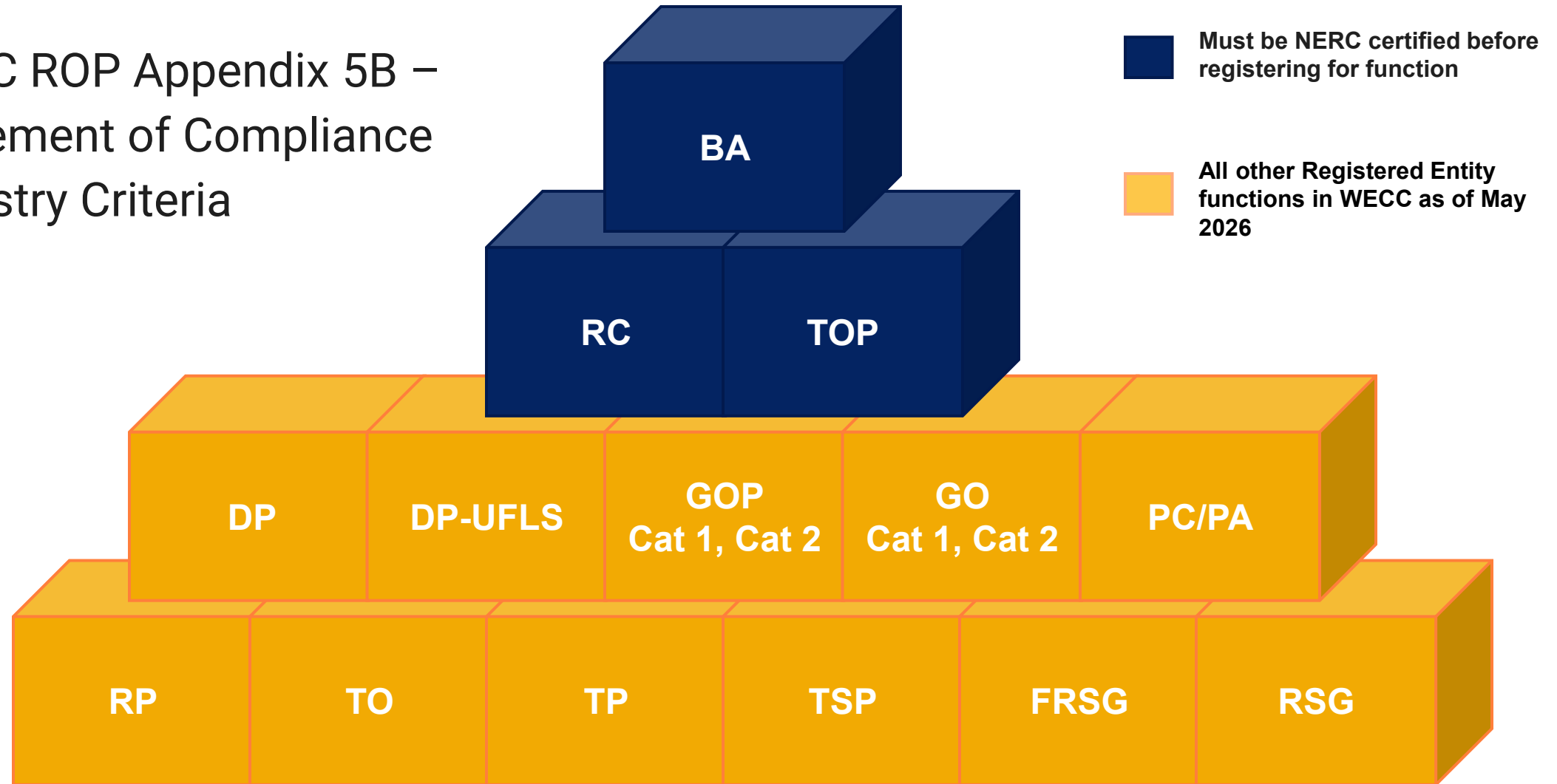
Registered Function Types in the WECC Region

Function Type	Definition
*Reliability Coordinator (RC)	The entity that is the highest level of authority who is responsible for the Reliable Operation of the BES, has the Wide Area view of the BES, and has the operating tools, processes and procedures, including the authority to prevent or mitigate emergency operating situations in both next-day analysis and real-time operations. The RC has the purview that is broad enough to enable the calculation of Interconnection Reliability Operating Limits, which may be based on the operating parameters of transmission systems beyond any Transmission Operator's vision.
Resource Planner (RP)	The entity that develops a long-term (generally one year and beyond) plan for the resource adequacy of specific Loads (customer demand and energy requirements) within a Planning Authority area.
Transmission Owner (TO)	The entity that owns and maintains transmission Facilities.
*Transmission Operator (TOP)	The entity responsible for the reliability of its local transmission system and operates or directs the operations of the transmission Facilities.
Transmission Planner (TP)	The entity that develops a long-term (generally one year and beyond) plan for the reliability (adequacy) of the interconnected bulk electric transmission systems within its portion of the Planning Authority area.
Transmission Service Provider (TSP)	The entity that administers the transmission tariff and provides Transmission Service to Transmission Customers under applicable Transmission Service agreements.
Frequency Response Sharing Group (FRSG)	A group whose members consist of two or more Balancing Authorities that collectively maintain, allocate, and supply operating resources required to jointly meet the sum of the Frequency Response Obligations of its members
Reserve Sharing Group (RSG)	A group whose members consist of two or more Balancing Authorities that collectively maintain, allocate, and supply Operating Reserves required for each Balancing Authority's use in recovering from contingencies within the group. Scheduling energy from an Adjacent Balancing Authority to aid recovery need not constitute reserve sharing provided the transaction is ramped in over a period the supplying party could reasonably be expected to load generation in (e.g., ten minutes). If the transaction is ramped in more quickly (e.g., between zero and ten minutes), then, for the purposes of recovery from a Reportable Balancing Contingency Event, the areas become a Reserve Sharing Group.

Definitions in NERC ROP, Appendix 5B | *Must be NERC certified before registering for function

Registration Functions

NERC ROP Appendix 5B –
Statement of Compliance
Registry Criteria



NERC Compliance Registry

- The [NERC Compliance Registry](#) (NCR) is the official list maintained by NERC of all organizations required to comply with the Reliability Standards approved by FERC.
- NOTE: NERC also maintains lists of all deregistration entities and CFR and JRO members.



As of May 15, 2026, there are 631 Registered Entities in WECC's Region on the NERC Compliance Registry.

NERC Compliance Registry Summary of Entities and Functions as of May 15, 2026*																			
Regional Compliance Enforcement Authority	BA	DP	DP_UFLS	FRSG	GO Category 1	GO Category 2	GOP Category 1	GOP Category 2	PCPA	RC	RP	RRSG	RSG	TO	TOP	TP	TSP	Functions	Entities
WECC	36	72	8	1	376	142	256	79	30	2	51	0	1	85	51	68	33	1291	631

Note: Compliance Registry information is subject to change.

Send questions to registration@wecc.org.

Changes to NERC Compliance Registry ID

Events When Entities May Obtain a New NCR

- New registered function
- New parent company
- New name
- Consolidation of Registrations
- **Note:** This does not change the existing compliance history.

ROP Appendix 5A- Organization Registration and Certification Manual requires that NERC

- Maintain accurate registration and certification records including granting certification certificates for the Registered Entity(ies) responsible for compliance (including Joint Registration Organization (JRO)/Coordinated Functional Registration (CFR))
- Maintain published up-to-date list of Registered Entities (i.e., the NERC Compliance Registry (NCR)) on the NERC website. NERC maintains the NCR, which identifies each Registered Entity and the applicable functional categories for which it is registered.

Entity Mapping Information

What is Entity Mapping?

The process of determining whether a Regional Entity's footprint is being served by registered entities.

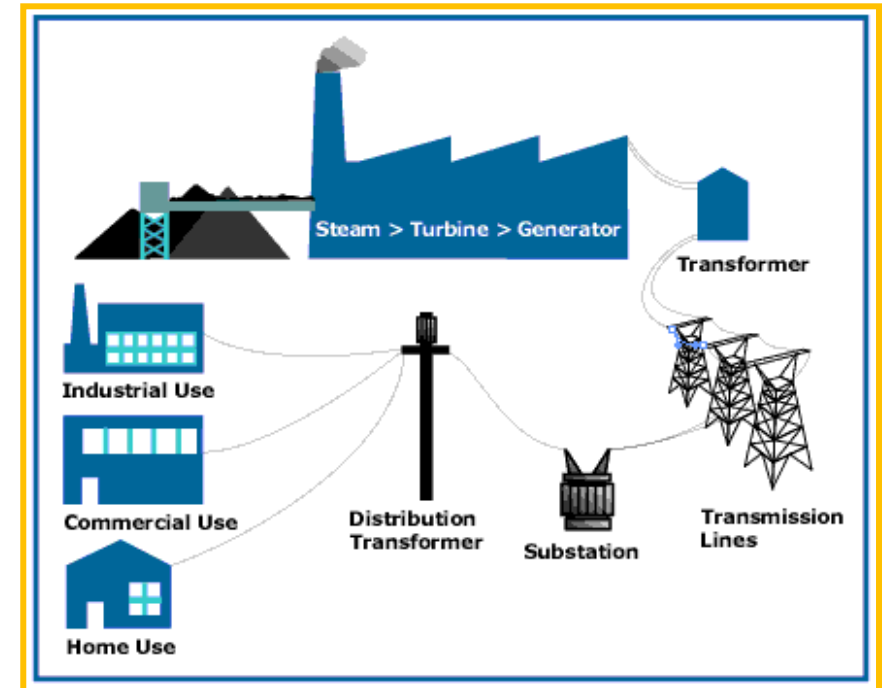
**NERC ROP Appendix 5A –
Organization Registration and Certification Manual**

Why is Entity Mapping Required?

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.
- (2) There is no unnecessary duplication of such coverage or of required oversight of such coverage.

NERC ROP Section 500



Functional Mapping Relationships

The purpose of functional mapping is to establish relationships, not to assume additional functional responsibility.

Functional Responsibility: GO, GOP

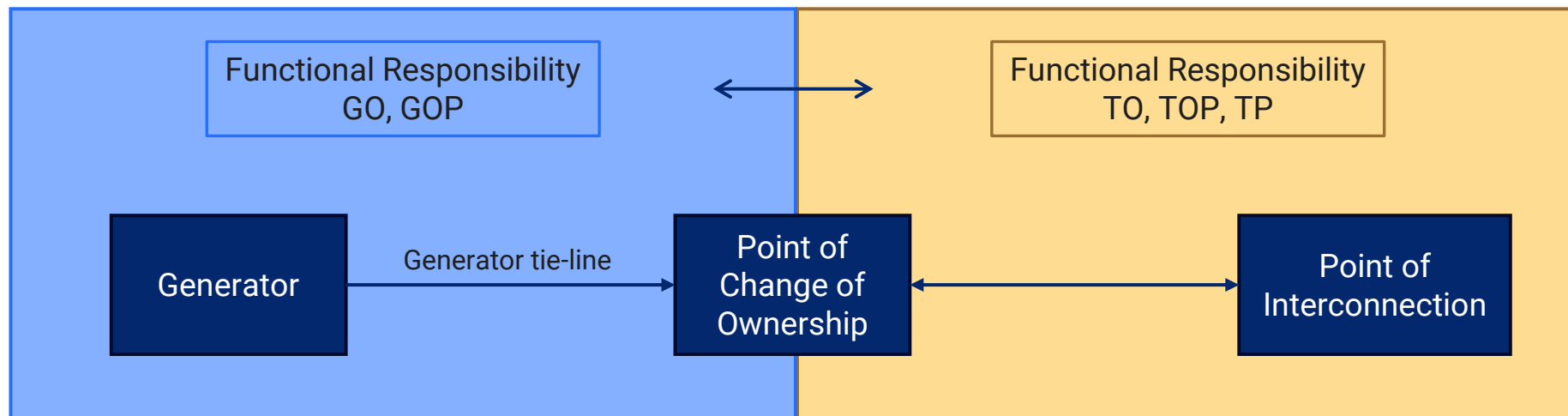
Generation tie-lines are not considered Transmission Facilities and fall under the functional responsibility of the registered GO and GOP.

Functional Responsibility: TO, TOP, TP

Entities registered as TO, TOP, or TP entities have functional responsibility for the Transmission Facilities within their footprint.

Functional Mapping Relationship

The TO, TOP, or TP that is functionally responsible for a Transmission Facility has the functional mapping relationship to any and all GO and GOP entities that are interconnected to that Facility.



Entity Mapping Process

- In particular, the process shall ensure:
 - All areas are under the oversight of one and only one RC.
 - All BA and TOP entities are under the responsibility of one and only one RC.
 - All transmission Facilities of the BPS are the responsibility and under the control of one and only one TP, PA, and TOP.
 - All loads and generators are under the responsibility and control of one and only one BA.

Required Entity Mapping Relationships

Balancing Authority (BA)	>	RC						
Distribution Provider (DP)	>	BA	PC/PA	TOP	RC			
Distribution Provider - UFLS Only (DP-UFLS)	>	PC/PA						
Generator Owner (GO)	>	BA	GOP	PC/PA	RC	TO	TOP	TP
Generator Operator (GOP)	>	BA	RC	TOP				
Planning Coordinator and Planning Authority (PC/PA)	>	RC						
Transmission Owner (TO)	>	PC/PA	RC	TOP	TP			
Transmission Operator (TOP)	>	BA	RC					
Transmission Planner (TP)	>	PC/PA	RC					

Important Registration Alternatives

- Types of Registration Alternatives
 - Coordinated Functional Registration (CFR)
 - Joint Registration Organization (JRO)
 - Third-party Agreements

[ERO Enterprise Registration Procedure](#)



Coordinated Functional Registration

Voluntary Written Agreement

- A CFR agreement occurs when:
 - Two or more NERC Registered Entities share and divide responsibilities of the NERC Reliability Standards.
- WECC reviews and approves CFR agreements in CORES to ensure there are no gaps or overlaps in responsibility between the parties.
- NERC sends approval letter.
- A CFR must be updated when modifications occur (changes to applicable parties or Standards).

CFR Example — Generator Operator

- Electrify Energy owns and operates a NERC-registered facility.
- Jolt Energy also operates the NERC-registered facility.
- A CFR is established to identify who is responsible for compliance with each applicable Critical Infrastructure Protection (CIP) and Operations & Planning (O&P) Standard requirement.

NERC ROP Sections 501 and 508

CFR matrix spreadsheets are posted on [NERC's website](#).

Joint Registration Organization

Voluntary Written Agreement

- A JRO agreement occurs when an entity:
 - Is registered for a specific function
 - Accepts all compliance responsibility of all applicable NERC Reliability Standards for itself and on behalf of one or more of its parties or related entities
- WECC reviews and approves JROs in the Centralized Organization Registration ERO System (CORES).
- NERC sends approval letter.
- A JRO must be updated when modifications occur.

JRO Example – Distribution Provider

- Big co-op company registers as a Distribution Provider (DP).
- Big co-op company signs a JRO with a small co-op company taking all compliance responsibility for itself and its unregistered parties, small co-op company.
- This relationship eliminates the need for small co-op company to be registered as a DP.

NERC ROP Sections 501 and 507

CFR matrix spreadsheets are posted on [NERC's website](#).

Note: There are currently no JRO agreements in the WECC region.

Third-party Agreements

- A Registered Entity may delegate the performance of a task to another entity, including a non-registered party, using a third-party agreement. However, the Registered Entity may not delegate its responsibility for ensuring the task is completed.
- In all cases, NERC and the Regions will hold the registered entity accountable for compliance responsibilities and violations thereof.
- Third-party written agreements are determined on a case-by-case basis between the Registered Entity and the third-party.

CORES

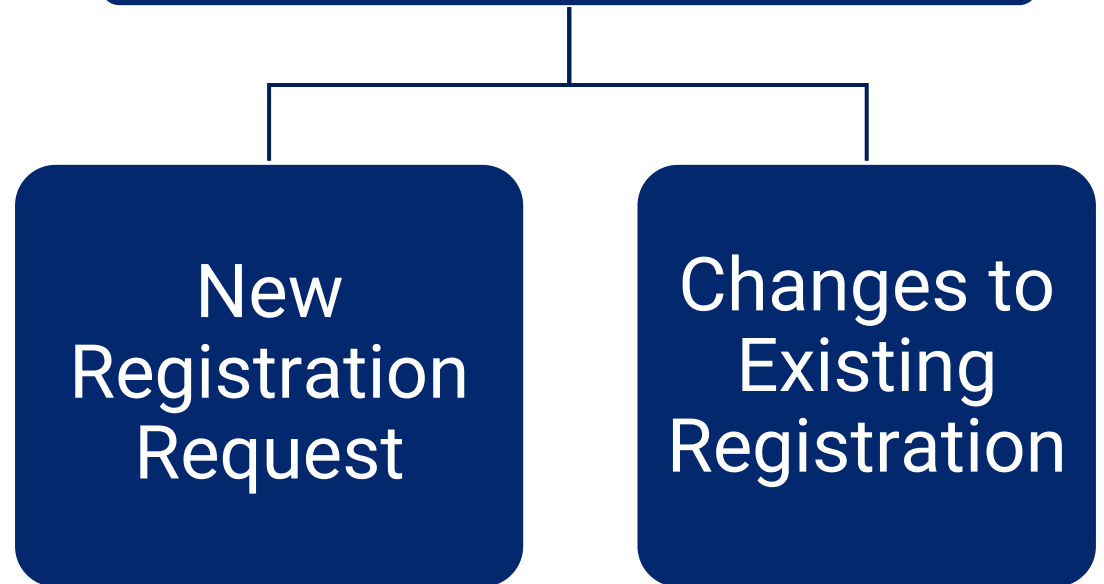
CORES Overview

CORES launched on July 15, 2019, to provide consistency and alignment across the ERO for registration activities.

The CORES platform enables entities to manage their registration information, contact information, and functional relationships in one place.

Access the application through the ERO Portal (<https://eroportal.nerc.net/>).

Using CORES

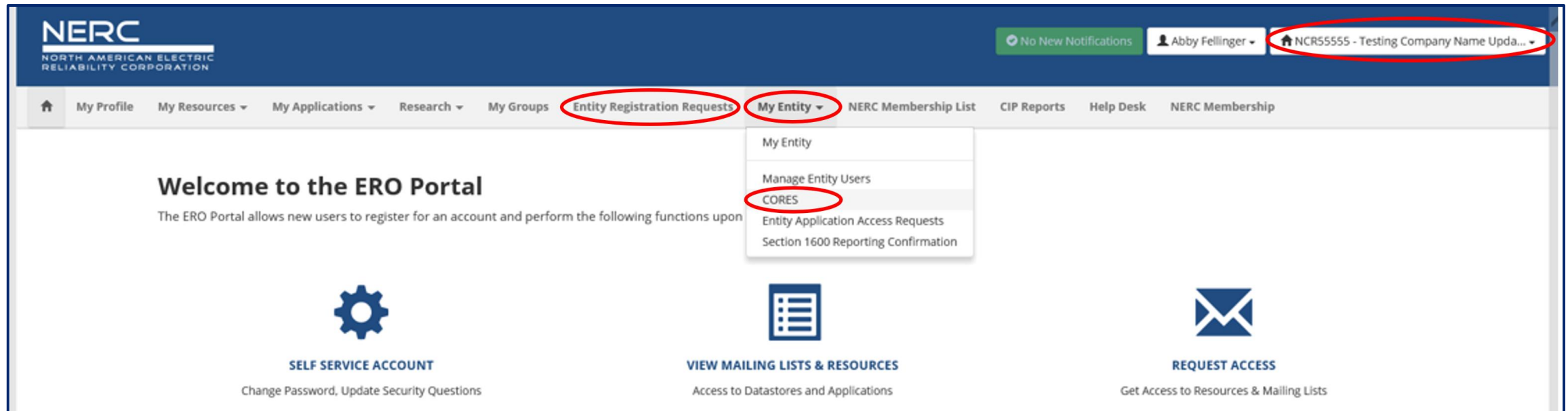


[CORES Training](#) is available on the NERC website.

Accessing CORES

Sign up for an ERO Portal account and complete multifactor authentication (MFA) steps

- **Entity Registration Request** – Any individual with an active ERO Portal account can submit a new registration application within CORES.
- **My Entity** – NERC and entity admins must grant initial access rights to applicable entities.



NERC
NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

No New Notifications Abby Fellinger NCR55555 - Testing Company Name Upda...

My Profile My Resources My Applications Research My Groups Entity Registration Requests My Entity NERC Membership List CIP Reports Help Desk NERC Membership

Welcome to the ERO Portal
The ERO Portal allows new users to register for an account and perform the following functions upon

My Entity
Manage Entity Users
CORES
Entity Application Access Requests
Section 1600 Reporting Confirmation

SELF SERVICE ACCOUNT
Change Password, Update Security Questions

VIEW MAILING LISTS & RESOURCES
Access to Datastores and Applications

REQUEST ACCESS
Get Access to Resources & Mailing Lists

New Registration Request: CORES

Apply in CORES at least 60 days before expected registration date.

- Documentation required for GO/GOP applications:
 - [WECC Generation Registration Request Form](#)
 - [ERO Enterprise GO and GOP Asset Verification Form](#)
 - One-line diagram(s)
 - Interconnection agreement(s)
 - O&M agreements | third-party agreements (if applicable)
 - Nameplate data for the individual PV inverters (manufacturer data specifications, make, model, model number)
- Once approved, NERC sends a Notice of Listing on the NERC Compliance Registry
- WECC sends a Welcome Guide packet, including reporting requirements



[Submitting a New Registration Request in CORES](#)



Adding Assets to Existing Registration: Footprint Change

Footprint Change Process

- Sign in to ERO Portal.
- Access CORES for your entity.
- Click “Comments and Attachments” to add a description of change.
- Send an email to registration@wecc.org.
- Respond to information requests.

**Submit in CORES at least 60 days
before expected registration date.**

Example of Footprint Change in CORES

Please accept this as a notification of **Perfect Power**'s request to add the **Cactus Storage** Facility to its registration under NCR00000 as a GO/GOP with a tentative effective registration date of **04/01/2025**. The Battery Facility is comprised of **24 Power Electronics PCSM Gen 3 FP4200M2** Inverters at **4.2 MVA** each, which is a gross nameplate rating of **100.8 MVA** and is connected to the grid at **230 kV** in the WECC Region.

Cactus Storage, LLC is submitting the following documents pertaining to **Cactus Storage** for WECC's review:

- WECC Generation Registration Request Form
- GO GOP Asset Verification Form
- As-built Operating One-Line Diagrams
- Interconnection Agreements
- O&M Agreement
- Nameplate Data for the individual Inverters

Generator Owners and Operators | Asset Management



Registration Date for New BES Generation Resources

Effective Registration Date

- Defined under Inclusions I2, I3, and I4
- Registration effective upon Commercial Operation Date (COD)
 - All initial testing and commissioning has been completed.
 - Initiation date on which the Generator Owner can start producing electricity for sale (excludes sale of test power during initial testing)
- If initiated in stages/phases, registration will occur when Generation Resource achieves COD for an aggregate amount of generating resource(s) (gross nameplate rating) that is greater than the applicable threshold in the BES definition.
- 100% compliance with all applicable Reliability Standards once registered

GO GOP Asset Verification Form

Generator Owner (GO)/Generator Operator (GOP) Asset Verification Form for Category 2 Entities (Version Date: 11/22/2024)

Limited Disclosure (Once data has been entered and submitted)

Name: Registered Entity NCR ID:		Revision Date: MM/DD/YYYY		Type: Category 2	
Region HRO, NCR, SE, SERC, Texas RE, WECC (Select from drop-down list)	State, Province, or Territory where Generator Resides (Select from drop-down list)	Initial operation Date of Asset	Generator Owner (GO) NERC ID	Generator Owner (GO)	Generator Operator (GOP) NERC ID
Primary GOP Control Center Location (State, Province, or Territory) (Select from drop-down list)		Plant Name/Designation	Unit Name/Designation	Fuel Type (Select from drop-down list)	Hybrid Resource Facility (Select Yes/No) (Select from drop-down list)
Gross Nameplate Rating (MW)		Reliability Coordinator (RC) (Name and NCR)	Balancing Authority (BA) (Name and NCR)	Transmission Operator (TO) (Name and NCR)	Transmission Owner (TO) (Name and NCR)
Transmission Planner (TP) (Name and NCR)		Planning Coordinator/ Planning Authority (PC/PA) (Name and NCR)	Distribution Provider (DP) or Interconnect Entry (Name and NCR)	Identify Voltage at Interconnection to BES (kV)	Interconnect Substation
If this is a dispersed power producing resource, identify the entity responsible for compliance at collector bus.		Have any GO/GOP tasks been delegated by a CFE, ISO, or Third Party Agreement? If Yes, enter delegated GO/GOP task type - CFE, ISO or Third Party Agreement and then explain in the Notes field. If no delegated task, enter No Delegated Task.		Is this Plant or Unit owned (Yes/No)? If Yes, identify owners and responsibility and the Notes field. (Select from drop-down list)	

Entity Information

- Registered entity name
- Registered entity NCR ID
- Revision date

Effective Date
(Commercial operation date)

Relationships

- Functional relationships
- Responsibilities
- JRO/CFR/third-party agreements
- Ownership

Basic Registration Data

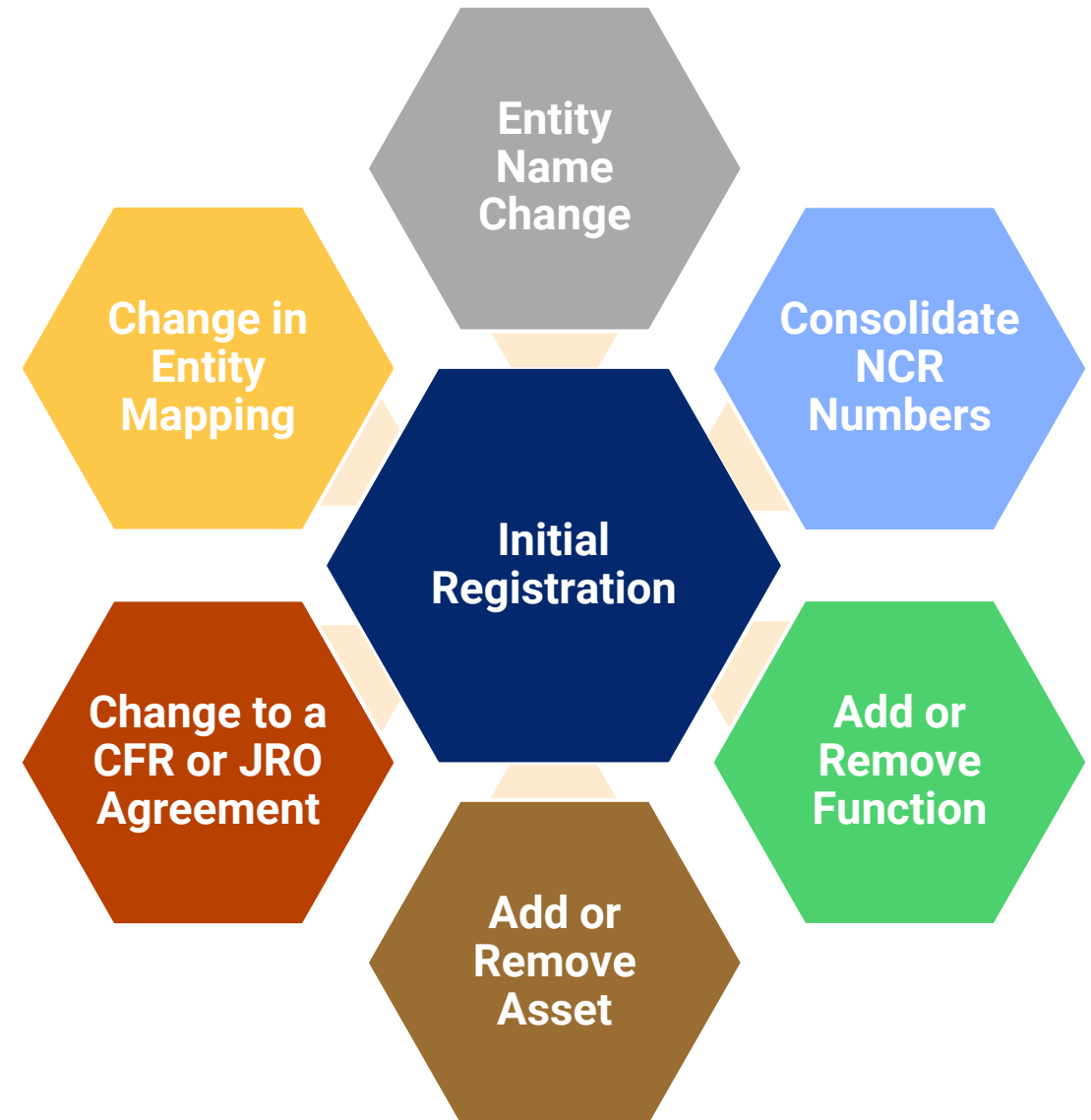
- Region
- GO/GOP/NCRs
- Plant/location (region/state)/unit/type/size/hybrid
- GOP control center location
- Connection voltage/location
- Generator lead line

Cat. 1 & Cat. 2 tab differences in fields

- Cat. 1 tab has the "Generator Lead Length" (Column U) and the "Is Plant or Unit part of TOP System Restoration Plan" (Column X) fields. These two fields are hidden within the Cat. 2 tab.
- Cat. 2 tab has a "DP" mapping request field (Column T), but that field isn't listed under Cat. 1 tab.

When to Update and Submit Revised GO GOP Asset Forms

- Changing entity name
- Consolidation of GO and/or GOP registrations
- Changing functional capabilities/designations (blackstart capability, etc.)
- Adding/removing generation asset
 - Commissioning a new asset
 - Buying, transferring, or selling asset
 - Footprint change (like GOP contract change)
 - Retirement of an asset
- Activating, modifying, deactivating a CFR or JRO
- Changing entity mapping relationships
- Requesting a new GO and/or GOP registration
- Change to the Category type (Cat. 1 vs. Cat. 2)



Getting in Touch – Importance of Contact Maintenance

- **Compliance Contacts are required in CORES and migrate to Align.**
- **Roles and Permissions:** All must first establish an ERO Portal account including a username
 - Primary Compliance Contact (PCC) Required | EA*
 - Primary Compliance Officer (PCO) Required
 - Alternate Compliance Contact (ACC) Optional**

See Instructions: [ERO Portal Access and Application Information](#)

* Entity Administrator – Automatic for PCC

** There is no limit to the number of ACC roles.

Entities are required to maintain accurate records and make changes to their compliance contacts due to staff changes, business role changes, business reorganization, ownership changes.

Staying the Course



Changing Resource Mix



Changing ROP Criteria



Updates to NERC Reliability Standards



Periodic Validation of Entity Registration

Resources

Websites

- [NERC Organization Registration](#)
- [WECC Registration](#)

Onboarding Information

- [ERO Enterprise 101 Informational Package](#)
- [ERO Enterprise Entity Onboarding Checklist](#)
- [WECC Generator Welcome Package](#) **Great Resource!**
- [New Entity Welcome Guide](#) **New!**



WELCOME GUIDE

Welcome to WECC!

We are thrilled that you have joined WECC in our mission to reduce the risks to the reliability and security of the bulk power system. WECC's footprint extends from Canada to Mexico and includes the provinces of Alberta and British Columbia, the northern portion of Baja California, Mexico, and all or portions of the 14 Western states between.

To help you become a successful partner in this mission, we have included a list of action items and references to help you get involved and stay informed of current reliability matters.

REQUIRED Action Items for Newly Registered Entities

- Review the ERO Enterprise Entity Onboarding and 101 documents, and complete required and recommended action items: [Onboarding Checklist](#) | [101 Informational Package](#)

RECOMMENDED Action Items for Newly Registered Entities

- Review the [WECC](#) and [NERC](#) websites
- Become a WECC Member. Learn [more](#)
- [Review](#) our available training and outreach activities
- [Subscribe](#) to WECC's newsletter
- Review important registration documents: [ERO Enterprise Registration Procedure](#) | [Rules of Procedure](#), Section 500 | Appendices 5, 5B, and 5C
- Review NERC's [Reliability and Security Committee](#) (RSTC) page to stay current on reliability and security issues.
- [Contact](#) WECC Support with questions

Quick Reference Guide

NERC	WECC
Visit NERC.com Alerts Align and Secure Evidence Locker CMEP Implementation Plan Data Submission Schedule E-ISAC ERO Portal Help Desk (EasyVista) Initiatives Reliability Standards Under Development Rules of Procedure Section 1600 Data Requests Standards One Stop Shop	Visit WECC.org Committees Generator Welcome Package Program Areas • Compliance • Registration and Certification • Reliability Planning & Performance Analysis • Standards • Strategic Engagement Risk Management Program Toolbox

Trade Groups

Institute of Electrical and Electronics Engineers (IEEE) North American Transmission Forum (NATF)	North American Generator Forum (NAGF) Western Interconnection Compliance Forum (WICF)
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Certification

- Certification applicability
- Types of certifications
- Initiating certification activities
- Full certification process
- Certification review process
- Notification
- Resources

Certification Applicability

- Who does a Certification apply to?
 - Existing BA, RC, or TOP
 - New BA, RC, or TOP
- Why must these entities go through Certification?
 - To assess the processes, procedures, tools, personnel, and training entities use to perform their respective function
 - Attain a reasonable level of assurance that the entity has the capacity to meet the compliance obligations of its registration

Types of Certifications

- **Full Certifications**

- Prospective entity looking to become a NERC registered BA, TOP, or RC

- **Certification Reviews**

- Already Registered Entity (BA, RC, and TOP)
- Triggers include:
 - Expand or contract the entity's footprint
 - Relocate the control center
 - Modify the SCADA/Energy Management System (EMS)

Note: Contact WECC Certification to discuss ALL EMS changes (such as a version upgrade, changing vendors, etc.)

- **Lesser Activities**

- Event does not warrant full certification review but requires documentation of the activity.
- Discretion of Regional Entity

Initiating Certification Activities | Preliminary Questionnaire



WECC

Certification Notification and Preliminary Questionnaire

Please do not submit confidential or sensitive information (including CEII, BCSI) using this form or via email.

Entity Legal Name (NCR Number)	
Entity Abbreviation	Date Submitted
Applicable Registered Function(s)	(Check all that apply)
	☐ Balancing Authority (BA) ☐ Transmission Operator (TOP) ☐ Reliability Coordinator (RC) ☐ Transmission Owner (TO) with a Local Control Center (LCC) that performs TOP tasks
Applicant's Contact Information	
Multi-regional Registered Entity (MRRE)	
MRRE "Coordinated Oversight" Group Name and Number	
Reliability Coordinator (RC)	
Adjacent BA(s) and TOP(s)	
Triggering Event¹ (Check all that apply)	
☐ New registration (BE, TOP, or RC) ☐ Changes to a Registered Entity's footprint (This includes changes in ownership of BES Facilities, changes in the applicability of the BES Definition to a Facility, and newly installed BES Facilities.) and may include changes (expansion or contraction of responsibilities) to existing JRO/CFR assignments or subset list of requirements. ☐ Construction or relocation of the Control Center (primary or backup) that affect the functions provided in these facilities for continued reliable operations of the BES. These functions may include, but are not limited to: - Tools and applications that System Operators use for situational awareness of the BES - Data exchange capabilities - Interpersonal (and alternate) communication capabilities	

¹ NERC Rules of Procedure, Appendix 5A Organization Registration and Certification Manual (Effective Date: January 19, 2021), Section V, Parts a–c.

ELECTRIC RELIABILITY AND SECURITY FOR THE WEST

- When to notify WECC?
 - At least 12 months out from expected certification completion
- How to notify WECC?
 - wecc.org -> Program Areas -> Registration and Certification -> [Organization Certification](#)
 - Fill out the [Certification Notification and Preliminary Questionnaire](#).
- Who to notify at WECC?
 - Send notification of application to certification@wecc.org.
 - Send application through WECC's secure workspace.

Full Certification Process

Before on-site visit

- Entity submits application to WECC
- WECC assigns a Certification Team Lead (CTL)
- Kick-off call is set with WECC Certification Team
- CTL will send out Certification package to entity (with scope), schedule on-site visit (90 days before on-site)
- WECC team reviews documentation

On-site visit

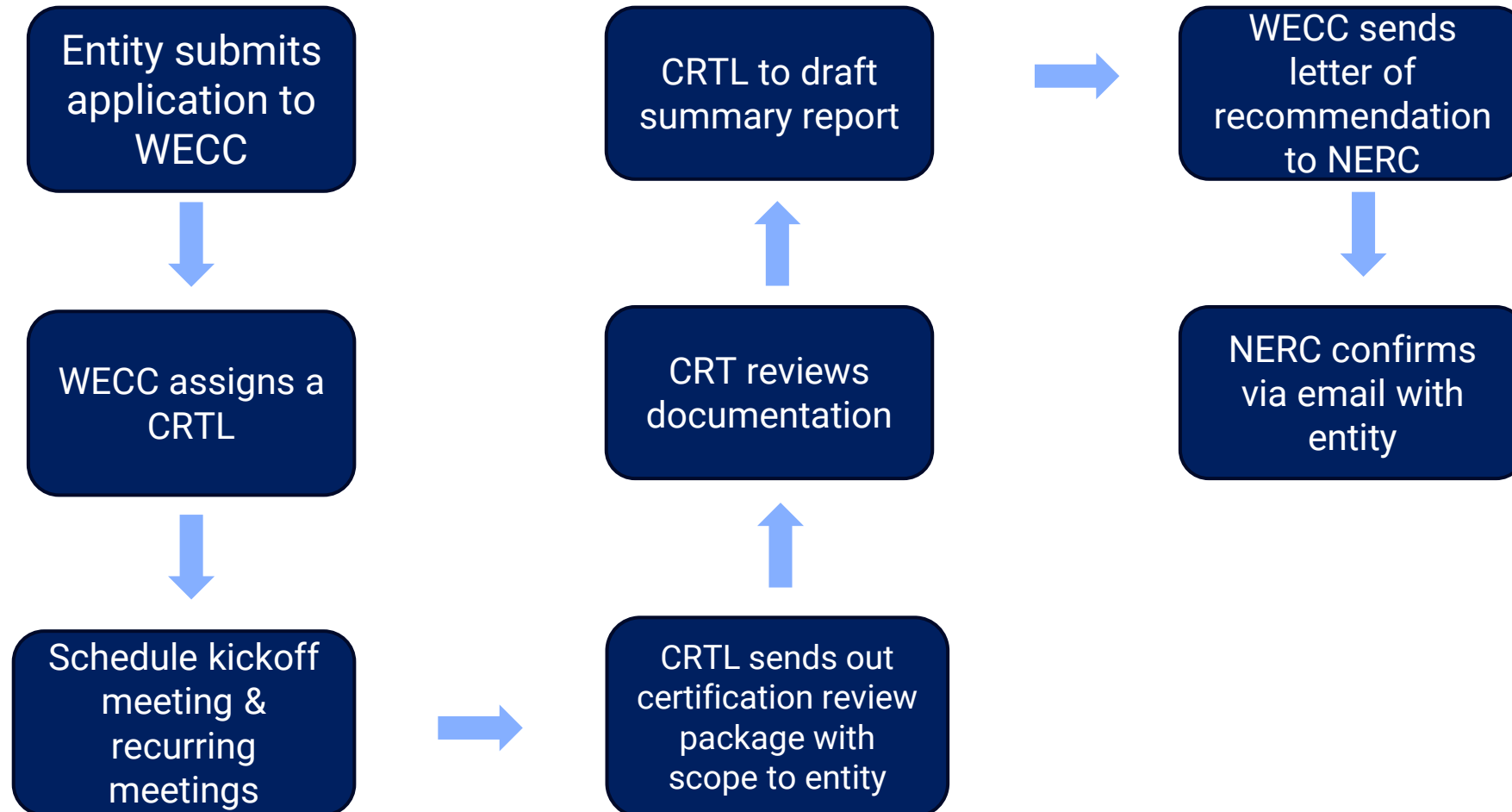
- Primary and backup control center
- Opening presentation
- Review items only available onsite
- Conduct interviews
- Daily debriefs
- Closing presentation
- Entity Feedback form

After on-site visit

- Review documentation provided by the entity
- Certification draft and final reports
- WECC sends letter of recommendation
- NERC sends official notification and certificate to entity
- Entity must commence operations within 12 months of certification

Certification Review Process

Off-site with optional on-site



Notification

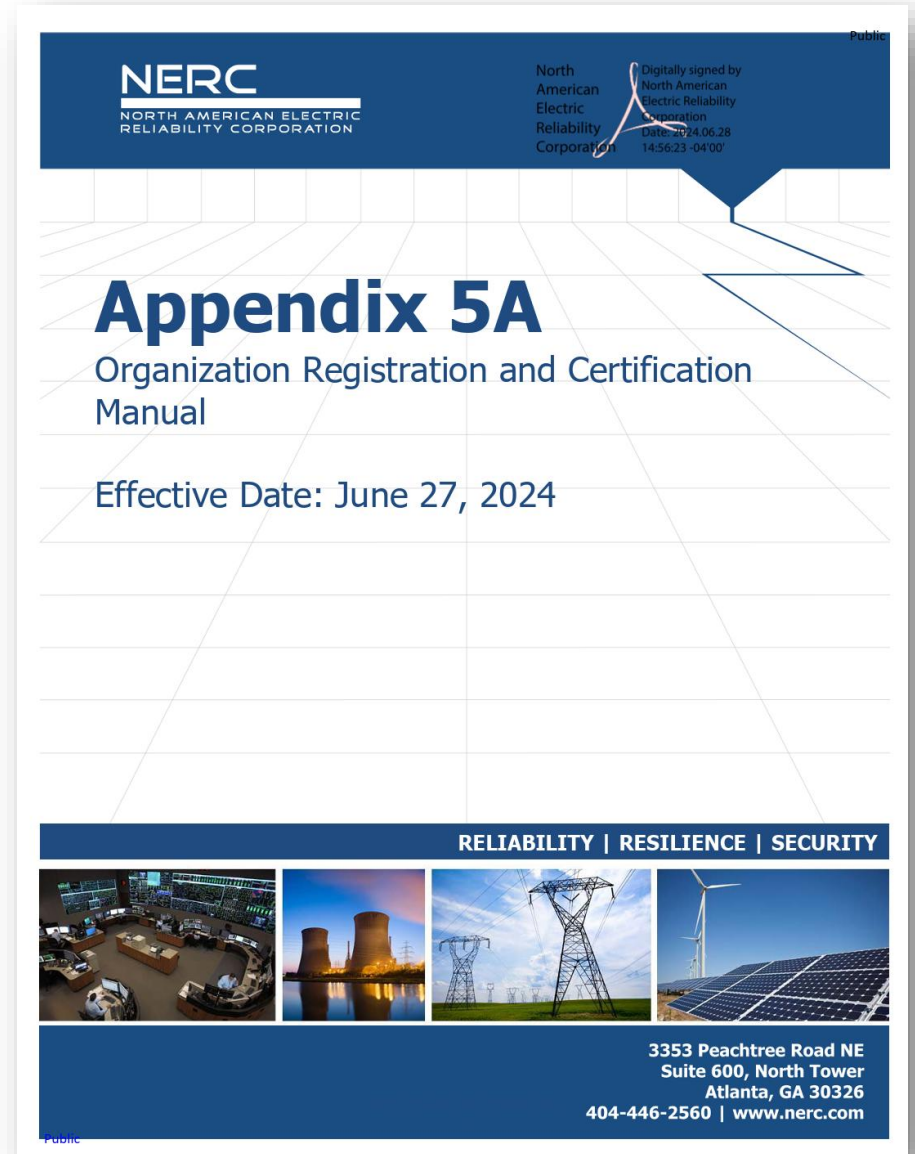
- What happens if an entity fails to notify WECC of changes applicable to a Certification review or Full Certification?
 - Compliance Oversight team will be notified.
 - Additional information will be included in entity's compliance oversight plan.
 - It may affect future audit scopes or entity engagements.
 - WECC may conduct a spot check.

Resources

- [WECC's Organization Certification Page](#)
 - Certification Application
 - Email: Certification@wecc.org
- [NERC's Organization Certification Page](#)
 - Final Certification Reports
 - Certification Process Documents

Read: [Fundamentals of Power Grid Reliability and Clean Electricity](#)

[NERC Rules of Procedure](#) - [ROP, Section 500](#) and [Appendix 5A](#)





ENGAGE WITH WECC





engage@wecc.org



www.wecc.org | 801-582-0353



155 N 400 W, Salt Lake City, Utah 84103, USA