# Certification Notification and Preliminary Questionnaire

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

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| --- | --- |
| **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 & Number** |  |
| **Reliability Coordinator (RC)** |  |
| **Adjacent BA(s) and TOP(s)** |  |
| **Triggering Event[[1]](#footnote-1) (Check all that apply):**[ ]  New Registration (BA, 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;
* Power source(s); and
* Physical security and cybersecurity.

[ ] Modification of the Energy Management System (EMS) that is expected to materially affect CIP security perimeters or the System Operator’s situational awareness tools, functionality, or machine interfaces. [ ] Other (Please describe**):** Click here to enter text. |

## General Questions

**To determine the scope and type of certification engagement needed, answer these questions:**

1. What are your entity’s characteristics, including size, geographic service territory, and registered function(s) under the NERC Compliance Registry, etc.?

Click here to enter text.

1. What is the expected completion date for this project?

Click here to enter text.

1. What is the general timeline for the project, including major milestones and tentative completion dates?

Click here to enter text.

1. Is there a need to train system operators, cybersecurity professionals, or other personnel affected by the triggering event?

Click here to enter text.

1. Are there other entity-specific or unique factors that you believe should be considered in determining the need for a certification review?

Click here to enter text.

## Additional Information

**Answer the following if the triggering event is a “Change to the Registered Entity’s footprint”:**

1. Describe the changes to your “footprint.”

Click here to enter text.

1. Will the changes to your footprint result in any modifications or updates to the EMS related to:
	1. Tools and applications that system operators use for situational awareness of the BES; or
	2. Data exchange capabilities.

Click here to enter text.

1. Has the footprint change affected the Physical Security Perimeter (PSP) or Electronic Security Perimeter (ESP) of existing or newly acquired facilities, including related access procedures (both logical and physical), physical security plan, the addition of card key readers, fencing, alarms, or cameras?

Click here to enter text.

**Answer the following if the triggering event is a “Construction and/or relocation of the Control Center (primary or backup)”:**

1. Describe how your entity achieves primary and backup Control Center functionality.

Click here to enter text.

1. How will you address the transition between the current functionality and the new Control Center(s)?

Click here to enter text.

1. Describe the changes for the current primary Control Center or backup Control Center when the new Control Center is operable.

Click here to enter text.

1. Describe whether this change will include upgrades or new system installation of any BES Cyber Systems, assets, or storage areas.

Click here to enter text.

1. Has the construction or relocation of the Control Center (primary or backup) affected the PSP or ESP of existing or new facilities, including related access procedures (both logical and physical), physical security plan, the addition of card key readers, fencing, alarms, or cameras?

Click here to enter text.

**Answer the following if the triggering event is a “Modification of the Energy Management System (EMS)”:**

1. Please describe the EMS (software or hardware) replacement, upgrade, or virtualization. Please state whether the change will include a change in vendor.

Click here to enter text.

1. Will the modification of the EMS result in changes to the Physical Access Control System (PACS), Physical Security Perimeter (PSP), Electronic Security Perimeter (ESP), physical or logical access control procedures, or alarms?

Click here to enter text.

1. Will the modification of the EMS affect existing Technical Feasible Exceptions (TFE)?

Click here to enter text.

1. Will the modification of the EMS result in changes to the System Recovery Plans or responder “roles”?

Click here to enter text.

1. Will the modification of the EMS affect the patch management process or require Active Vulnerability Assessments to be conducted?

Click here to enter text.

**Note:** Be prepared to provide copies of any revised documentation, including respective policies, procedures, PSP, and ESP diagrams, that reflect the changes associated with the triggering event.

**This form and all supporting documentation must be uploaded through the** [**WECC Secure Workspace**](https://secureworkspace.wecc.org)**.**

For information on how to access and upload documentation to the WECC Secure Workspace, click [here](https://www.wecc.org/Reliability/WorkspacesUserGuide.pdf).

If you have questions about certification, please contact [certification@wecc.org](file:///C%3A/Users/jking/AppData/Local/Microsoft/Windows/INetCache/Content.Outlook/N9T3NNNP/certification%40wecc.org).

1. NERC Rules of Procedure, Appendix 5A Organization Registration and Certification Manual (Effective Date: January 19, 2021), Section V, Parts a - c. [↑](#footnote-ref-1)