

ERO Enterprise Registration Procedure

June 11, 2026

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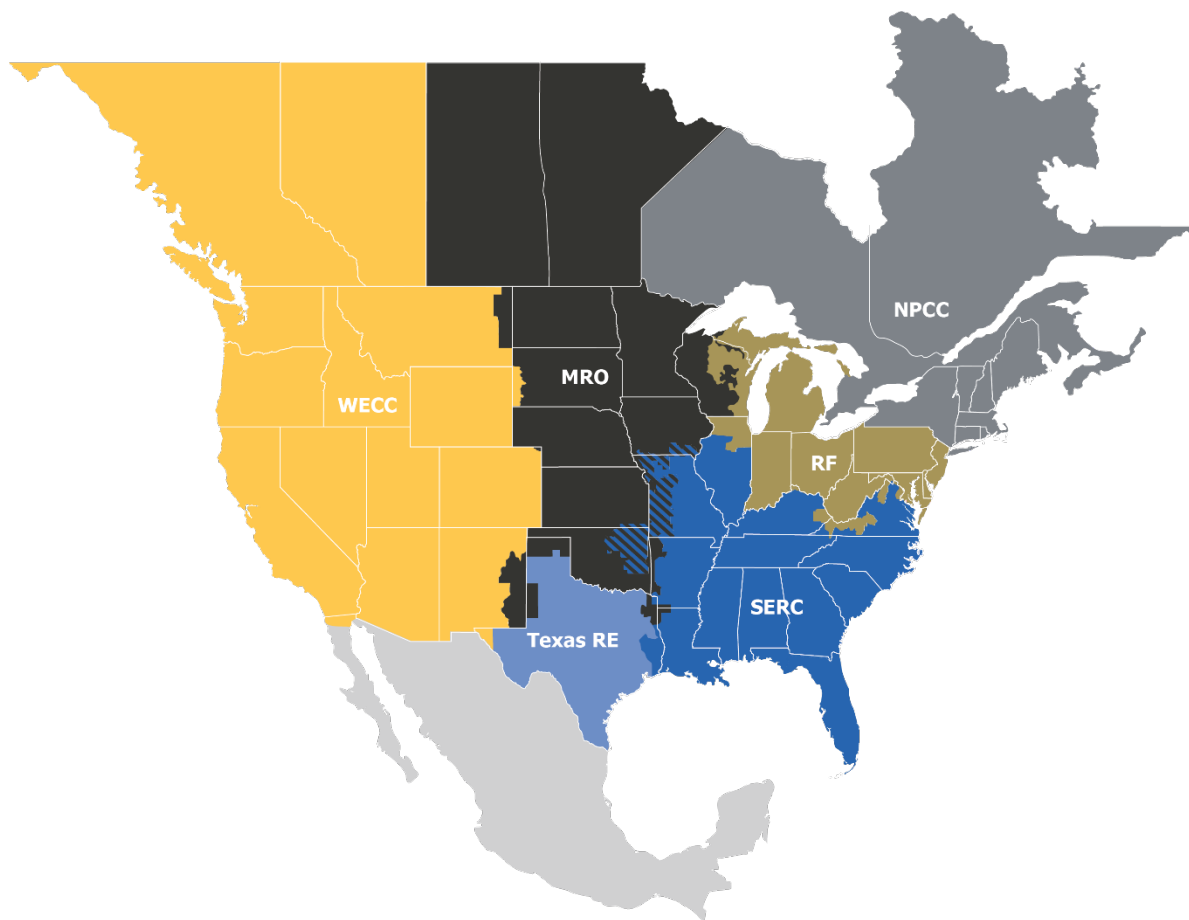
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Preface

Electricity powers our modern life and is the bedrock of our economic wellbeing. The Electric Reliability Organization (ERO) Enterprise—comprised of NERC and the six Regional Entities—is firmly committed to assuring a highly reliable, resilient, and secure bulk power system (BPS) in North America. The ERO Enterprise enables collaborative engagement with industry, regulators, and stakeholders, embracing innovation and supporting the needs of nearly 400 million people.

RELIABILITY | RESILIENCE | SECURITY **POWERING TODAY. PROTECTING TOMORROW.**

The North American BPS is made up of six Regional Entities as shown on the map and in the corresponding table below. The multicolored area denotes overlap as some load-serving entities participate in one Regional Entity while associated Transmission Owners/Operators participate in another.



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

Introduction

The purpose of this document is to help entities that are candidates for registration, or entities that need registration changes, with understanding key terminology, how the Registration process works, and requirements for the entities, Regional Entities, and NERC. In accordance with the Regional Delegation Agreements (RDAs), the Regional Entities have the responsibility of initiating the process for registering entities functioning as owners, operators, and users of the BPS.

Entities that are registered are included on the NERC Compliance Registry (NCR) and are responsible for knowing the content of and complying with all applicable Reliability Standards.

Registered entities are not and do not become members of NERC or a Regional Entity by virtue of being listed on the NCR. Membership in NERC is governed by Article II of NERC's bylaws; membership in a Regional Entity is governed by that entity's bylaws or rules.

The NERC organization registration procedures and criteria are incorporated into the NERC Rules of Procedures (ROP) as Section 500, Appendix 5A, *Organization Registration and Certification Manual*, Appendix 5B, *Statement of Compliance Registry Criteria*, and Appendix 5C, *Procedure for Requesting and Receiving an Exception from the Application of the NERC Definition of Bulk Electric System*.

Owners, operators, and users of the Bulk Power System

Each owner, operator, and user of the BPS that meets the NERC Registry Criteria shall:

1. Register with NERC and the applicable Regional Entity
2. Provide NERC and the applicable Regional Entity information necessary to complete the registration

Registered Entities

Once registered, each Registered Entity shall:

1. Provide NERC and the applicable Regional Entity with timely updates to information that may affect the Registered Entity's registration status
2. Comply with approved Reliability Standards applicable to its registered function(s)

NERC and the Regional Entities

NERC and the Regional Entities shall:

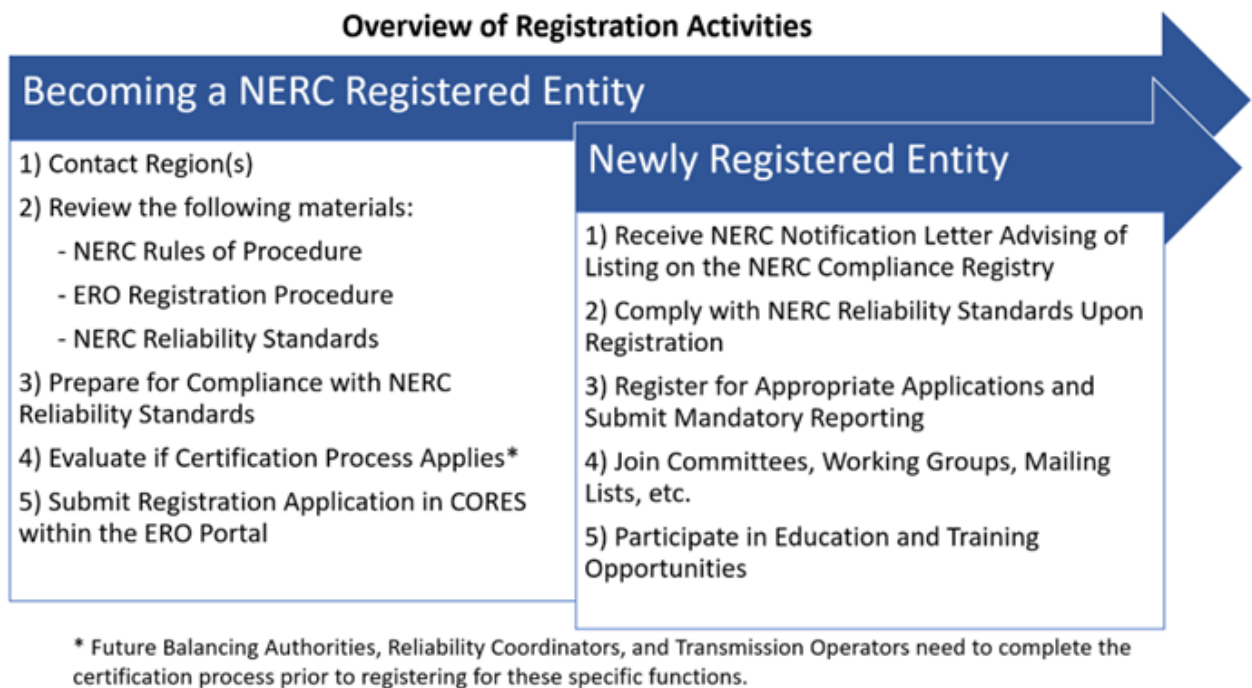
1. Identify and register all entities that meet the NERC Registry Criteria
2. Maintain and update the NERC Compliance Registry as required

Chapter 1: Registered Entity

This chapter provides an overview of the initiation of the registration process to assist entities with becoming a NERC Registered Entity.

Specific requirements and criteria of the Organization Registration Program are embodied in Section 500 (Organization Registration and Certification) and Appendices 5A, 5B, and 5C of the FERC-approved NERC ROP.

The chart below shows a framework of the steps that need to be completed to start the registration process and tasks an entity should take shortly after the registration process has been completed.



If an entity that has been identified as meeting the Registry Criteria by NERC or a Regional Entity and does not take steps to register pursuant to the steps laid out below, NERC or the applicable Regional Entity will take the necessary steps to register the entity, add it to the NCR, and notify the entity of its registration. Once the entity receives a notification from NERC that it has been registered, it may appeal the registration in accordance with the appeals process described in Appendix 5A to the NERC Rules of Procedure.

Contacting the Appropriate Regional Entity

The first step to becoming a NERC registered entity is to contact the applicable Regional Entity about the registration criteria and process.

Regional Entity | Registration Website | Email Address

Midwest Reliability Organization (MRO) | [Website](#) | [Contact by Email](#)

Northeast Power Coordinating Council (NPCC) | [Website](#) | [Contact by Email](#)

ReliabilityFirst (RF) | [Website](#) | [Contact by Email](#)

SERC Reliability Corporation (SERC) | [Website](#) | [Contact by Email](#)

Texas Reliability Entity (Texas RE) | [Website](#) | [Contact by Email](#)

Western Electricity Coordinating Council (WECC) | [Website](#) | [Contact by Email](#)

Registering for an ERO Portal Account

An ERO Portal account is required to access certain NERC applications, such as CORES, Coordinated Functional Registration (CFR), the Misoperation Information and Data Analysis System (MIDAS), NERC membership, and Align. As a result, it is important that all users who need access to any of these applications set up and maintain an active [ERO Portal](#) account.

To set up an ERO Portal account follow these steps:

1. Navigate to <https://eroportal.nerc.net>
2. Select “Register” in the upper right corner
3. Complete the registration form and click “Submit”

Users are also required to complete the steps for multi-factor authentication that automatically appear when attempting to log into the ERO Portal for the first time. If a user cannot log in successfully after attempting to access the ERO Portal with their existing credentials, contact the ERO Help Desk ([Assist Me! ERO](#)) by completing and submitting a ticket for assistance.

Submitting a Registration Application in CORES

CORES was established to provide consistency and alignment across the ERO for registration activities. CORES enables entities to manage their registration information, contact information, and functional relationships from one application.

To ensure timely updates to the NCR, entities should contact their Regional Entity prior to submitting a new entity registration request. A minimum of 60 days prior to the anticipated effective registration date is needed to allow Regional Entities sufficient time for review and scheduling.

Please note, for entities requesting to be registered as a Balancing Authority (BA), Reliability Coordinator (RC), or Transmission Operator (TOP), Certification is required and must be completed before registration, therefore those entities must contact their respective Regional Entity, 12 to 18 months in advance of their proposed effective registration date, at a minimum.

To obtain more information on how to submit an application in CORES, review the [CORES Video Library](#) or the [Centralized Organization Registration ERO System \(CORES\) End User Guide](#).

After a registration application is submitted through CORES, the applicable Regional Entity will review the request. The Regional Entity may request additional information or supporting documentation to make a registration decision. Once the Regional Entity makes a registration decision, the registration recommendation is forwarded to NERC for final review and approval.

Listing on the NERC Compliance Registry

Once the registration application is accepted in CORES by the Regional Entity and NERC, NERC will issue a NERC Notification Letter advising of listing on the NCR that will include the entity’s NCR ID number and the registered functions with the corresponding effective registration date for each function. It also states that all registered entities are subject to compliance with all applicable NERC Reliability Standards. The current NCR is posted on the [NERC website](#). In most cases, the effective registration for a new NCR or a new function

added to an existing NCR will be the date when NERC sends the Registration Notification Letter. In other cases, NERC may send a Registration Notification Letter in advance of the effective registration date, when the activity that would trigger registration is known prior to that date. For example, NERC may send a notification letter prior to a generator reaching its commercial operations date (COD) if that date is known with a high degree of certainty.

Effective Registration Date Associated with Newly Commissioned Generation and Transmission Facilities

The effective registration date associated with new generation and transmission facilities is as follows:

Generation Resources

The effective registration date for new Generator Owners and/or Generator Operators with new generation resources¹ (Category 1 or Category 2 resources) shall be either on the date of (1) the COD of the generation resource, if the NERC Registration Notification Letter is sent before COD, or (2) the effective date listed in the NERC Registration Notification Letter if the letter is sent after COD.

- Entity communication and evidence of completion of COD is required. If the NERC Registration Notification Letter was sent before COD and the COD changes, an adjusted letter will be sent after COD has been reached.

The effective registration date for a new generation resource that is added to an active registered Generator Owner and Generator Operator's portfolio shall be the COD for that resource.

Owners and/or operators of Generation resources meeting the Category 1 or Category 2 definitions² that initiate commercial operations in stages or phases are required to register when the generation resources (synchronous generators, wind turbines, solar PV, battery storage, etc.) achieve Commercial Operation for an aggregate amount of generating resource(s) (gross nameplate rating) that is greater than the applicable threshold.³ The entity should initiate the registration process when this occurs so that the effective registration date coincides with the COD for that phase of the generation resource that exceeds the applicable threshold. Upon the effective registration date, all generating resources are expected to be 100% compliant with all applicable Reliability Standards.

Transmission Elements

The effective registration date for new Transmission Owners (TO) and/or Transmission Owners (TOP) with new BES transmission Element(s)⁴ (per the NERC BES definition) shall be effective (1) upon the completion of commissioning, testing, and the proposed date the BES Element(s) placed into service, if the NERC Registration Notification Letter is sent before COD, or (2) the effective date listed in the NERC Registration Notification Letter if the letter is sent after COD.⁵

¹ Refer to Appendix 5A, Section III (A) (11) regarding an entity's notice obligations to the Regional Entity and/or NERC about changes (such as adding new assets) that effect the entity's responsibilities with respect to the Reliability Standards.

² See definition of "Generator Owner" in NERC Rules of Procedure, Appendices 2 and 5B, available at https://www.nerc.com/globalassets/who-we-are/rules-of-procedure/appendix-2-eff-20240627_signed.pdf and https://www.nerc.com/globalassets/who-we-are/rules-of-procedure/appendix-5b-eff-20240627_signed.pdf, respectively.

³ Any additional stages/phases of generation to the existing generating resource should be submitted to the Regional Entity.

⁴ See definition of "Element" in the NERC Glossary of Terms, available at [Glossary of Terms](#).

⁵ Note that in all instances the NERC ROP controls. See Section 501(1.3.1) (stating "NERC shall notify each organization that it is on the NCR. The Registered Entity is responsible for compliance with all the Reliability Standards applicable to the functions for which it is registered from the time it receives the Registration notification from NERC."); See also, Appendix 5B, Summary, Pg. 1 (providing "NERC and Regional Entities will not monitor nor hold those not in the Compliance Registry responsible for compliance with the Reliability Standards.").

- Entity communication and evidence of Element(s) in service is required. If applicable the NERC Registration Notification Letter may be revised and redistributed to reflect the COD if the letter was sent before COD.

The effective registration date for a new BES transmission Element(s) that is added to an active registered Transmission Owner or Transmission Operator's portfolio shall be the date when the BES Element(s) is placed into service, after commissioning and testing has been completed. Upon the effective registration date, all BES transmission Elements are expected to be 100% compliant with all applicable Reliability Standards.

Effective Registration Date Associated with the Certification Program for Applicable Registration Functions

The effective registration date for a new BA, RC and/or TOP should be reflective of the ERO Certification Program's confirmed scheduled live date. This would be the date the entity would start performing said function and can be utilized as the date in the NERC Registration Notification Letter. If the NERC Registration Notification Letter is sent after the scheduled live date, the effective registration date will be the same date as the letter.

- Evidence of the live date is required and will be utilized to revise and redistribute the NERC Registration Notification Letter if the live date is different and the letter was sent in advance.

Chapter 2: Options for an Active Registered Entity⁶

The following programs are options that entities can use to meet their registration responsibilities. None of these options are mandatory and entities should consider whether the options are relevant and applicable.

Coordinated Functional Registration (CFR)

An entity may execute an agreement to register as a Lead Entity of a Coordinated Functional Registration (CFR) on behalf of one or more parties.

1. All parties meet functional criteria and are registered.
2. Lead entity takes full responsibility for one or more Reliability Standards for a particular function(s).
3. Lead entity submits agreement to region, informs region of agreement revisions, and maintains a matrix/list of one or more Reliability Standards and compliance responsibility for itself and all parties.

Details regarding the registration-related requirements and steps to be taken when an entity currently is or is considering becoming a party to a CFR can be found at the following:

- **Section 508 of the NERC ROP** describes provisions related to CFR agreements.
- The **Entity Registration CFR End User Guide** provides detailed instructions for entities to create and maintain CFRs using the ERO Portal CFR tool.
- Additionally, the CORES Video Library and the **CORES End User Guide** provide an overview of the CFR process.
- NERC maintains a **CFR Member Listing** on its website.

The applicable Regional Entity will accept the CFR within CORES once the Regional Entity receives all requested documentation, including a CFR matrix that clearly delineates compliance responsibility for each Standard/Requirement that is applicable to that function for that CFR. NERC or the Regional Entity may request clarification of any list submitted that identifies the compliance responsibilities of the CFR.

Once NERC receives notification from the Regional Entity that the CFR Matrix has been accepted in CORES, NERC creates a *Notice of Listing of a Coordinated Functional Registration on the NERC Compliance Registry* letter and provides it to the Regional Entity to confirm accuracy. Once confirmed by the Regional Entity, NERC sends an email with the letter to the Lead Registered Entity's point of contact (POC), Entity Participant's primary contacts, all participating entity Primary Compliance Contacts (PCC) including that of the lead entity, all regional users of the impacted Regional Entity, and NERC. The effective date of the CFR shall be the effective date that the registered entity parties to the CFR agreement specify in the CFR, provided that date is not earlier than the effective registration date for any of the parties to the agreement.

Joint Registration Organization (JRO)

An entity may execute an agreement to register as a Lead Entity of a Joint Registration Organization (JRO) on behalf of one or more parties.

- All parties must meet functional criteria.
- Lead entity takes full responsibility for a particular function(s) for itself and the agreement parties.
- Lead entity submits agreement to region and informs region of agreement revisions.

⁶ In some cases, these processes can also be applicable to an entity becoming a newly registered entity.

Details regarding the registration-related requirements and steps to be taken when an entity currently is or is considering becoming a party to a JRO can be found at the following:

- **Section 507 of the NERC ROP** describes provisions related to JRO agreements.
- The CORES Video Library and the **Centralized Organization Registration ERO System (CORES) End User Guide** provide an overview of the JRO process.
- NERC maintains a **JRO Member Listing** on its website.

The applicable Regional Entity will accept the JRO within CORES once the Regional Entity receives all requested documentation, that includes a copy of the JRO agreement. The JRO agreement should clearly identify all parties that have entered into the JRO agreement. NERC or the Regional Entity may request clarification of any JRO submission.

Once the Regional Entity accepts the JRO agreement in CORES, NERC creates a letter titled "Notice of Listing of a Joint Registration Organization" and provides it to the Regional Entity to confirm accuracy. Once confirmed by the Regional Entity, NERC sends the letter to the JRO entity via email. The effective date of the JRO shall be the date that NERC notifies the JRO registered entity of its registration (or change in registration).

Third-Party Agreements

The Registration process will request information regarding third-party and/or delegation agreements. The registered entity should notify NERC and Regional Entities of any registrations that involve a third-party entity performing reliability tasks on its behalf for the ERO Enterprise's awareness.

A registered entity may delegate the performance of a task to another entity, including a non-registered party, using a third-party and/or delegation agreements (examples include but are not limited to consulting services, O&M services, Balance of Plant, compliance services, joint venture, etc.). The use of a third-party agreement does not delegate the registered entity's responsibility for ensuring a task is completed. Third-party written agreements are determined on a case-by-case basis between the registered entity and the third-party. It is important that the registered entity keep its registration records up to date and communicate any changes in agreements.

- Registered entities shall follow their Regional Entities processes to communicate any third-party/delegation agreement.
- Registered functions of GO and GOP shall populate and maintain its Asset Verification form to identify applicable agreements.
- A third-party/consultant staff member can be identified as the Primary Compliance Contact or Primary Compliance Officer for a Registered Entity however an entity organization staff member shall maintain an active Alternate Compliance Contact.

NERC and the Regional Entities have summarized obligations retained by the registered entity when entering third-party agreements as follows:

- 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.
- To maintain a reasonable understanding of compliance and transparency, the registered entity should put mechanisms in place that allow it to do the following:

- Ensure that non-registered entities performing reliability tasks comply with the applicable NERC Reliability Standard requirements.
- 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).
- Provide self-certifications, self-reports, or other information to the compliance enforcement authority, as required by the Compliance Monitoring and Enforcement Program in regard to tasks performed by non-registered entities.

Processes for Active Entity Registration Changes

The process for making changes to an active registration is similar to the initial registration process. Entities should contact their applicable Regional Entity before submitting any registration change requests in CORES. The effective date of a registration change will be specified in the registration notification to the entity.

Each Registered Entity is required to notify its applicable Regional Entity (or Regional Entities) and NERC of any changes that may impact its registration or responsibilities to comply with Reliability Standards⁷ and in advance of the desired effective registration date of such change. This is particularly helpful when a different entity is assuming responsibility for performing a function on behalf of a Registered Entity (for example, when a Generator Owner intends to switch its Generator Operator, or when a Transmission Owner intends to switch its Transmission Operator).

Deactivating a Function(s)

An existing registered entity may request the deactivation of a function(s) it is no longer performing or will not be performing in the near future.⁸ The Regional Entity will review the validity of the request, confirm the entity is no longer performing the function, and also ensure no Open Enforcement Actions (OEAs) applicable to the deactivating function exist before approving or rejecting the change.

- An entity seeking deactivation of RC, BA or TOP registration shall demonstrate to the satisfaction of the ERO Enterprise through the Certification review process that the duties and responsibilities required by the Reliability Standards have properly been transferred or the Area has ceased to operate.

Once these requirements have been satisfied the “Notice of Deactivation on the NERC Compliance Registry” letter is generated with the deactivation date listed as the date that triggered the deactivation and sent via email (with a copy to the Regional Entity) to the entity’s PCC.

Deregistration

An existing registered entity may request deregistration if it is no longer performing or will not be performing in the near future all of its prior registered functions. The Regional Entity will review the validity of the request, confirm the entity is no longer performing all of the registered functions, and also ensure no OEAs exist before approving or rejecting the change.

- The deregistration of an RC, BA and/or TOP requires Certification Program approval.

⁷ NERC Rules of Procedure, Section 501.1.3.5 and Appendix 5A, Section III.A.11.a.

⁸ For example, for GOs, repowering, rework, or extended maintenance of a generation facility is not a valid reason for deactivation of the GO function. If the work causes nameplate changes, the new nameplate should be sent to the Regional Entity for verification and next steps.

Once these requirements have been satisfied the “Notice of Deregistration on the NERC Compliance Registry” letter is generated with the deregistration date listed as the date that triggered the deregistration and sent via email (with a copy to the Regional Entity) to the entity’s PCC.

Name Change

NERC allows entity name change submissions for an active NCR ID. Proactive and early communication to the affected Regional Entities is recommended.

Once the name change submission and supporting data has been received and reviewed by the applicable Regional Entities, the “Notice of Entity Name Change on the NERC Compliance Registry” letter is generated and sent via email (with a copy to the Regional Entity) to the entity PCC.

Activation of New Function(s)

An existing entity is required to register for a new function type⁹ it will be performing in the near future. The Regional Entity will review the validity of the request. If the new function is RC, BA or TOP, NERC will confirm that this entity has been certified for the appropriate function. If the entity is not certified for the new function, NERC notifies the Regional Entity’s certification and registration contacts, advising that the certification process must be completed prior to registration.

Upon receiving registration data for the addition of a new Function(s) for an active registered entity (NCR ID), the notice of functional registration change on the NCR via the Registration Notification Letter is generated and sent by email (with a copy to the Regional Entity) to the entity PCC.

The effective registration date is either (1) the date that NERC sends the Registration Notification letter or (2) a future date specified in the Registration Notification letter. The effective registration date is the date that a registered entity is subject to mandatory compliance with applicable NERC Reliability Standards.

Consolidation of Registrations under Common NERC Compliance Registration (NCR)

Corporate entities with multiple existing registered entities under their governance may consolidate these NCRs under a single common NCR ID if desired. The entity will be requested to provide a list of all the registrations that will be consolidated under a common NCR. This list should include the following:

- The name of each registered entity
- Each NCR number
- The effective date of each registration and function
- Determination if there are any OEAs for each of the registrations.

If the registered entity desires to consolidate its assets under one common NCR ID, this may be done regardless of OEAs. However, any registrations with OEAs shall remain active on the NCR until the OEAs have been resolved. Once the OEAs have been resolved, the registrations can be processed to inactive with an effective date that reflects the date of the consolidation evidence. The effective date of the newly consolidated registration will be the earliest effective date for each applicable function of the consolidated registered entities.

⁹ Function types are referred to as “Entity Scopes” in CORES.

Appendix A: General Guidance for Ownership and Operational Changes in Responsibility for Existing Assets

Registered entities must be aware of registration and compliance responsibilities when engaging in asset transactions that involve the transfer of BPS assets from one entity (existing owner) to another entity (new owner). The change of ownership and/or control of such BPS assets must be identified to ensure coordination of registration changes and possible impact to a registered entity's compliance responsibilities with NERC Reliability Standards or the entity's registration on the NCR. Entities should contact their Regional Entity a minimum of 60 days prior to the planned transactions and/or agreed upon to sales date.

General Guidance for Ownership Changes of Existing Assets

Registry Changes

Pursuant to the NERC Rules of Procedure, each registered entity is required to notify all appropriate Regional Entities of changes that impact its registration or responsibilities with respect to the Reliability Standards. Registered entities should inform Regional Entities of upcoming changes as early as possible to determine the registration impact and any corresponding documentation requested to complete any applicable registration actions.

Existing Owner

An existing owner is strongly encouraged to coordinate with its applicable Regional Entities so that the new owner is properly registered as of the intended date of the transfer. The existing owner will remain responsible for compliance with relevant standards that may relate to the particular asset until it is deactivated from the NCR for the applicable function(s). The existing owner will remain on the NCR until any OEAs associated with the asset(s) in question are resolved.

New Owner

The new owner is strongly encouraged to coordinate with its applicable Regional Entity early to be properly registered as of the finalized sales date and/or date of assuming operational control. When a transfer of asset(s) occurs and the new owner is registered, the new owner becomes responsible for compliance with all applicable standards relevant to the asset. The new owner may:

- add the newly acquired assets to the scope of its existing registration,
- keep the existing entity's NCR ID given there are no OEAs and all assets under the NCR ID were acquired; or
- request a new NCR ID for the purchased assets.

New owners should contact its applicable Regional Entity for guidance and instructions on how to accomplish the necessary changes and tasks in CORES.

JRO/CFR

New owners and existing owners must make the applicable and necessary changes to any existing JRO or CFR agreements or enter into a new JRO or CFR that incorporates the transferred asset(s).

For more information relating to compliance implications of outstanding OEAs related to the assets being purchased or consolidated, contact the appropriate Regional Entity.

General Guidance for Operational Changes in Responsibility of Existing Assets

Registered entities must be aware of registration and compliance responsibilities when changing contractual obligations that involve the transition of operational responsibilities from one entity to another. In situations where a registered entity is changing the entity responsible for operations of assets owned by the registered entity (such as the transition to a new GOP or TOP provider), each registered entity involved should inform the appropriate Regional Entity (or Regional Entities) of upcoming changes as early as possible.

Existing Owner

When a registered entity is the owner of BPS assets and intends to change the operator of those assets (such as the transition to a new GOP or TOP provider), the registered entity should inform the appropriate Regional Entity (or Regional Entities) in advance of the upcoming change at least 60 days before in order to ensure timely registration changes as appropriate and an orderly transition of compliance responsibilities.

Existing Operator

When a registered entity is the operator of BPS assets and learns that the owner intends to change the operator of those assets, the registered entity operator should inform the appropriate Regional Entity (or Regional Entities) in advance of the upcoming change at least 60 days before in order to ensure timely registration changes as appropriate and an orderly transition of compliance responsibilities.

New Operator

When a registered entity learns that the owner of BPS assets intends to enter into an agreement for operating services of such assets, the registered entity should inform the appropriate Regional Entity (or Regional Entities) in advance of the upcoming operations change at least 60 days before in order to ensure timely registration changes as appropriate and an orderly transition of compliance responsibilities.

Appendix B: NERC-led Registration Review Panel

If an entity does not agree with a registration determination, it may request a NERC-led registration review panel evaluation in accordance with Section III (D) of Appendix 5A. Entities should seek a determination from the NERC-led registration review panel prior to making an appeal in accordance with NERC ROP Section 500 and Section VI of Appendix 5A.

For more information on the NERC-led registration review panel, refer to Section III (D) of Appendix 5A. For more information on the registration appeals process, refer to Section VI of Appendix 5A.

Determination of Material Impact

The criteria for the determination of material impact on the BPS, as described in Appendix 5B, is a non-exclusive list of factors referred to as the “materiality test.”

There are additional factors that may be considered when determining material impact, including, but not limited to, the following:

- Does the registered entity have unique characteristics in relation to the electrical characteristics of the system, the system topology, critical Loads or facilities, or facilities associated with a major metropolitan area (e.g., New York City, Washington D.C., etc.) that could potentially have an adverse reliability impact resulting from intentional or inadvertent operations, misoperations, or malicious use on the entity’s assets?
- Does the entity have real-time authoritative control of BPS Elements?
- Will the aggregate effect of eliminating functional registrations and/or reducing the compliance obligations (i.e., subset list of Standards/Requirements) for an entity within a portion of the BPS result in a potential adverse reliability impact to that portion of the BPS (e.g., where multiple entities considered individually are not necessary for the reliable operation of the system, but in aggregate the entities are material)?
- Will the aggregate effect of eliminating functional registrations and/or reducing the compliance obligations (i.e., subset list of standards/requirements) for an entity across the BPS result in a potential adverse reliability impact to the BPS (e.g., where all or many of a particular functional entity type would affect the reliable operation of the system during a wide-area disturbance)?
- Is the registered entity a participant in any of the following:
 - JRO agreement
 - CFR agreement
 - Operating, delegation, or third-party agreements
- Is the registered entity currently registered under other functional registrations?
- Has the submitting entity received and provided supporting letters/data (agreement or disagreement) from the applicable Regional Entities, RC, BA, Planning Authority/Planning Coordinator, 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?

Appendix C: Functional Mapping in CORES

The CORES application has an area called functional mapping that is used to track the functional relationships between registered entities. The ERO Enterprise has identified functional relationships located in the NERC ROP, certain Reliability Standards, and important entity relationships. A list of functional mapping relationships that should be tracked in CORES was developed. This list is not all-inclusive of all functional relationships. This request for mapping functional relationships is not intended to establish new requirements but to document existing relationships that are inherent to the geographical or electrical areas of the BPS.

The table below represents the functional mapping data the ERO Enterprise is asking to be populated and maintained in CORES. For example, a TOP will submit mapping data in CORES indicating their BA and RC. In addition, a TOP will validate data entered from GOs, TOs, DPs and GOPs. There is also a color key that shows the purpose of the functional mapping requirement.

		Entities required to validate functional mapping data							Color Key
		BA	GOP	PC	RC	TO	TOP	TP	
Entities that are required to submit data for functional mapping	BA				X				ROP
	DP	X		X	X		X		NERC Standards
	DPUF			X					Important Relationships
	GO	X	X	X	X	X	X	X	
	GOP	X			X		X		
	PC				X				
	TO			X	X		X	X	
	TOP	X			X				
	TP			X	X				

Functional Mapping Identified in the ROP

The ROP requires all BAs and TOPs to be under the responsibility of one RC. Therefore, BAs and TOPs are asked to identify their RC.

The ROP requires all transmission facilities be under the responsibility of one Transmission Planner (TP), Planning Coordinator (PC), and TOP. Therefore, TOs are asked to identify their respective TP, PC, and TOP.

The ROP requires all Loads and generators be under the responsibility of one BA. Therefore, Distribution Providers (DPs) representing loads and Generator Owners representing generators are asked to identify their associated BA.

Functional Mapping Identified through Reliability Standards

As described below, there are certain relationships in the NERC Standards between functional entities that are important for BPS reliability. However, these relationships do not establish requirements for registration.

DP – PC, DP UFLS - PC

PCs are required by NERC Standard PRC-006 to develop an underfrequency load shedding (UFLS) plan and notify UFLS entities (DPs and TOs) of their obligations. TOs are already asked to map to their PCs per the ROP requirements. Therefore, DPs and DP-UFLS are the only entities asked to identify their PC per NERC Standard PRC-006.

GO –TOP, DP - TOP

TOPs are required by TOP-003 to maintain a reliability data specification and distribute the specification to certain entities, including DPs and Generation Owners (GOs), who are required to satisfy the obligations of the TOP's data specification. Therefore, GOs and DPs are requested to identify their TOP.

TP – PC, GO - TP

The NERC definition of a TP correlates to long-term planning responsibility for a specific electric/geographical Area. TPs are required by NERC Reliability Standard TPL-001 to maintain system models and coordinate planning assessments with their PC. Therefore, the TP is asked to identify their PC. Also, the TP is required by NERC Reliability Standard MOD-032 to establish modeling data requirements and reporting procedures for applicable entities, such as GOs. Therefore, all GOs are asked to identify their TP. Note that this does not require the GO to enter a contract with another entity, including its TP or a consultant, to perform any planning service on its behalf. The GO to TP relationship in the NERC standards is essentially for the benefit of the TP and PC to ensure there is a mechanism for the orderly collections of modeling data from the GO (and others) within their areas.

GO–TO

Every Generator has an interconnection with the Transmission System owned by the TO. To establish the interconnection, the GO must go through the interconnection agreement process and establish the relationship with the TO to ensure the facility ratings, Protection System Settings, and operating procedures are established in coordination and continue to be coordinated after any changes. In the absence of this relationship, coordination could be affected, leading to potential reliability and security issues within the interconnection.

There are several NERC Reliability Standards that require the relationship between GO and TO to be established, including FAC-008 which requires each GO to provide Facility Ratings to its associated TO.

GO–PC

A Planning Coordinator is responsible for coordinating and integrating transmission facilities and service plans, resource plans, and Protection Systems. To perform its function, a PC requires modeling and planning data from the GOs. In the absence of this information, the PC may use old data or no data, which can cause gaps in planned system behaviors from actual system behaviors. This can lead to reliability and security issues, specifically in the operating horizons and in short-term planning horizons.

There are several NERC Reliability Standards that require the relationship between GO and PC to be established. FAC-002 requires PCs to study the impact of interconnecting new generation and requires the GO to coordinate and cooperate on studies with its PC. FAC-008 requires the GO to provide Facility Ratings to its associated PC. MOD-032 requires GOs to provide modeling data to PCs. PRC-002 and PRC-023 also require GOs to provide data to PCs.

GOP-BA

A BA is responsible for resource plans ahead of time, maintains load-interchange-generation balance within its area, and supports Interconnection Frequency in real-time. To perform this function effectively, a BA is

required to communicate with the GOPs. It is important for a BA to identify and have a communication channel established with all GOPs within its Balancing Area for communicating during emergencies.

There are several NERC Reliability Standards that require the relationship between GOP and BA to be established. COM-001 requires GOPs to have Interpersonal Communications capability with their BAs. TOP-001 requires GOPs to coordinate with Operating Instructions from the BA.

GOP-TOP

A GOP is responsible for operating the generating Facility(ies) and supplying energy and Interconnected Operations Services. Similarly, a TOP is responsible for the reliability of its local transmission system and operates or directs the operations of the transmission Facilities. Since the Generation and Transmission Facilities are interconnected, it is important for these two functions to collaborate to maintain system voltage and ensure the BES Elements are appropriately operated. There are several instances (e.g., voltage schedule, operating instructions, blackstart operations) in which a TOP and GOP are required to establish communication.

There are several NERC Reliability Standards that require the relationship between GOP and TOP to be established. GOPs are required to coordinate with TOPs on Operating Instructions under TOP-001 and Voltage Schedules under VAR-001.

RC – GO/TO/TP/PC/DP/GOP

The RC is the highest level of authority that is responsible for the reliable operation of the BES, has the wide-area view of the BES, and has the authority to prevent or mitigate emergency operating situations in both next-day analysis and real-time operations. To perform this function, the RC must know the functions that entities are performing so it can ensure the appropriate data is collected and that a communication channel is established for mitigating emergencies and maintaining its wide-area view. The RC must also enable the calculations of Interconnection Reliability Operating Limits (IROL) considering the operating parameters of the transmission system. To do that, it must have data from TPs and PCs.

There are several NERC Reliability Standards that require the relationships between the RC and the above functions to be established.

- **GO-RC**
Under PRC-002 R11, PRC-023 R3, R4 and FAC-008, a GO is required to provide data directly to the RC either upon change or as requested by the RC for reliability reasons.
- **TO-RC**
EOP-004 requires TOs to have an event reporting plan for reporting to the RC. FAC-008 requires a TO to provide requested information to its RC. Under PRC-012, TOs that own a RAS must provide information to the RC where the RAS is located, and under PRC-023, TOs must provide relay information to the RC.
- **TP-RC**
FAC-014 requires TPs to provide System Operating Limits (SOL) to their RC. IRO-017 requires each TP to provide Planning Assessments to impacted RCs. Under TPL-007, TPs coordinate with PCs to provide data to the RC.
- **PC-RC**
MOD-033 requires each RC to provide actual system behavior to the PC for performing data validation. FAC-014 requires each RC to provide its SOLs to adjacent RCs and RCs who indicate a reliability-related need for those limits, and to the TOPs, TPs, TSPs, and PCs within its RC area.

Under PRC-002, the RC is required to identify BES Elements for which Disturbance Data Recorder (DDR) data is required from generating resources and specific BES Elements.

- **DP–RC**
EOP-004 requires DPs to have an event reporting plan for reporting to the RC. IRO-001 requires DPs to comply with the RC’s Operating Instructions and, if applicable, inform the RC of its inability to perform the Operating Instruction issued.
- **GOP–RC**
The RC is required to issue Operating Instructions to the GOP, and the GOP is required to follow these Operating Instructions per IRO-001 R2 and R3.

Functional Mapping: Important Relationships

Entities registered for multiple functions are asked to map to the functions they are registered to perform. For example, an entity registered for both the GO and GOP functions are asked to provide functional mapping from the GO to GOP function.

GOs not registered as GOPs under the same NCR ID are asked to map to the GOP. This relationship is not identified through the ROP or reliability standards; however, this is a critical relationship in maintaining the reliability of the BPS.

Appendix D: Glossary of Terms

This section contains a glossary of terms used in the NERC registration process.

Activation

Adding a new registered entity on the NCR or adding additional functions to an existing registered entity's NCR ID 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) for all applicable functions.

Alternate Compliance Contact (ACC)

Employee identified by the registered entity who will be copied on all electronic compliance communication between the ERO Enterprise and the registered entity.

Centralized Organization Registration ERO System (CORES)

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

Commercial Operations Date (COD)

The COD is defined as the date after which all initial testing and commissioning has been completed and is the initiation date on which the Generator Owner and Generation Operators can start producing electricity for sale. This excludes the sale of test power during initial testing.

Coordinated Functional Registration (CFR)

CFR means 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).

Deactivation

Deactivation, as used in Appendix 5A with respect to the registration processes, refers to removal of an entity from the NCR for a specific functional category. As a result of deactivation, the entity is no longer subject to any prospective compliance obligations with respect to Reliability Standards applicable to that functional category. The entity will still be obligated to the respective Reliability Standards for their remaining active functions.

Deregistration

A deregistration from the NCR indicates that an entity is no longer subject to mandatory compliance for all of its registered functions.

ERO Portal

An ERO Portal account is necessary to access certain NERC applications, such as CORES. In order to access the ERO Portal, users must first register for a portal account with NERC. New users can request an account for the ERO Portal and set up the multi-factor authentication required for access. NERC provides additional guidance on using the ERO Portal in the ERO Portal End User Guide: Portal Users.

Effective Registration Date

The date that a registered entity is subject to mandatory compliance with the applicable NERC Reliability Standards. An entity will have an effective registration date for each function for which it is registered.

Joint Registration Organization (JRO)

JRO means when two or more entities (parties) agree in writing upon a division of compliance responsibility where an entity registers in the Compliance Registry for one or more function type(s) for itself and on behalf of one or more other parties to such agreement for function type(s) for which such parties would otherwise be required to register.

Multi-Region Registered Entity (MRRE)

A registered entity—or two or more registered entities that are corporate affiliates—that is registered in two or more Regional Entities.¹⁰

NERC Compliance Registry (NCR)

The NERC Compliance Registry, or NCR, is a list maintained by NERC pursuant to Section 500 of the NERC ROP and Appendix 5B, the NERC Statement of Compliance Registry Criteria. The NCR includes the owners, operators, and users of the BPS, or the entities registered as their designees, that perform one or more functions in support of reliability of the BPS and that are required to comply with one or more requirements of Reliability Standards.

NERC Identification Number (NCR ID)

NERC Identification Number or NCR ID means a number given to NERC registered entities that will be used to identify the entity for certain NERC activities.

NERC Notification Letter

This is a letter sent electronically that provides notice to the entity in accordance with Section 500 of the NERC ROP and confirms an entity's registration status upon initial registration and any subsequent changes to the entity's registration. The effective registration date for each applicable function is included in this letter.

Open Enforcement Action (OEA)

This is any outstanding noncompliance currently undergoing review by the applicable Compliance Enforcement Authority and has not been resolved or completed mitigation. Deactivation and deregistration requests will not be approved until any OEAs are resolved.

Primary Compliance Contact (PCC)

This is an employee identified by the registered entity who will be used for all compliance communication between the ERO Enterprise and the registered entity.

Primary Compliance Officer (PCO)

This refers to an employee identified by the registered entity at the officer level responsible for Reliability Standards compliance activity within the organization. This contact will receive key compliance communications from the ERO Enterprise. Examples are Notices of Alleged Violation, Notice of Regional Confirmation of Violation, and escalated requests from the ERO Enterprise 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 ROP).

Reactivation

Reactivation refers to reregistration 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 subset list of

¹⁰ Refer to the [ERO Enterprise Guide for the Multi-Region Registered Entity Coordinated Oversight Program](#) for more information about becoming a MRRE and the Coordinated Oversight Program.

Reliability Standards (which specifies Reliability Standards and Appendix 2 to the NERC ROP 18 Effective: January 19, 2021 may specify Requirements/sub-Requirements) that has been granted to an entity. Reactivation may be initiated by NERC, a Regional Entity or an entity with respect to such entity's own functional categories or subset list of Reliability Standards (which specifies Reliability Standards and may specify requirements/sub-requirements).

Registered Entity

Registered entity means an owner, operator, or user of the BPS, or the entity registered as its designee for the purpose of compliance that is included in the NCR.

Registration

Registration or organization registration means the processes undertaken by NERC and Regional Entities to identify which entities are responsible for reliability functions within the Regional Entity's areas and subject to compliance with applicable Reliability Standards. Registration is complete when an entity is added to the NCR for one or more functions.

Reliability Standard

Reliability Standard means a requirement, approved by the United States Federal Energy Regulatory Commission under Section 215 of the Federal Power Act, or approved or recognized by an applicable governmental authority in other jurisdictions, to provide for Reliable Operation of the Bulk Power System. The term includes requirements for the operation of existing Bulk Power System facilities, including cybersecurity protection, and the design of planned additions or modifications to such facilities to the extent necessary to provide for Reliable Operation of the Bulk Power System, but the term does not include any requirement to enlarge such facilities or to construct new transmission capacity or generation capacity. (In certain contexts, this term may also refer to a "Reliability Standard" that is in the process of being developed or not yet approved or recognized by FERC or an applicable governmental authority in other jurisdictions.)

Requirement

Requirement means an explicit statement in a Reliability Standard that identifies the functional entity responsible, the action or outcome that must be achieved, any conditions achieving the action or outcome, and the reliability-related benefit of the action or outcome. Each Requirement shall be a statement with which compliance is mandatory.

Appendix E: Revision History

Revision Table		
Revision Number	Date	Description
0	7/17/2013	Original Date
1	2/4/2014	Included additional wording for JRO and CFR registration processes.
2	5/12/2014	Added Revision Table
3	5/19/2014	Format Change and review content to ensure current process is reflected.
4	6/6/2014	Included language to describe processes laid out in ROP
5	6/17/2014	Replaced replace “Director of Compliance Operations” with “Senior Director of Compliance Analysis and Certification” in procedure and flowchart
6	12/14/2015	Updated Registration Group titles and incorporated Risk-Based Registration changes
7	11/5/2021	Updated to incorporate a variety of previously issued materials into a single document and to conform to revised ROP
8	2/3/2022	Revised Appendix C, Functional Mapping Requirements to include additional functional mapping
9	06/1/2026	Moved procedure to new template, clarified effective registration date rules and made other updates, and moved Glossary of Terms to end of document.