



Organization Certification

NPCC Compliance Committee Meeting

11/29/2012 – 11/30/2012

Montreal, Quebec



Organization Certification

- Purpose
 - Ensure entities have the tools, processes, training, and procedures to demonstrate their ability to perform the function(s) they apply for.

- Applicability
 - RC, BA, TOP

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



Organization Certification

- “Players” involved in Certification
 - Entity seeking Certification shall contact NPCC and provide all information and data requested by NPCC and/or NERC.
 - NPCC is responsible for certifying entities within NPCC footprint subject to NERC oversight.
 - NERC is responsible for issuing the Certification Certificate/Document.



Organization Certification

- Things we do in a Certification
 - On-site visits to the entity's facility.
 - Interview the operations and management personnel.
 - Inspect the facilities and equipment.
 - Review all necessary documents and data.
 - Review Certification documents and projected system operator work schedules
 - Review any additional documentation needed to support the completed questionnaire or inquiries arising during the site visit



Organization Certification

- Certification Report
 - Written report shall be prepared and provided by the Certification Team.



Organization Certification

- Provisional Certification
 - All Reliability Coordinators, Balancing Authorities, and/or Transmission Operators that were already registered and operating on June 18, 2007 become “NERC Certified” upon completion of (1) a NERC readiness evaluation (on site activities completed by the evaluation team); and (2) a CMEP Compliance Audit (on site activities completed by the Compliance Audit team) after June 18, 2007.
 - Recertification on a periodic basis of these Registered Entities will not be required. Demonstration of ongoing satisfactory performance of applicable RC, BA, and TOP functional Requirements shall be accomplished by completion of a CMEP Compliance Audit every three years per the requirements of the NERC Rules of Procedure.



Organization Certification

- Recertification
 - Changes to a Registered Entity's Footprint or operational challenges (i.e., TLRs) due to the changes
 - Organizational restructuring that could impact the Bulk Power System reliability
 - Relocation of the control center
 - Changes to Registered Entity ownership requiring major operating procedure changes
 - Significant changes to JRO / CFR assignments or agreements changes
 - Addition or removal of member JRO / CFR utilities or entities
 - Complete replacement of a SCADA/EMS system



Organization Certification

- Certification Duration
 - 9 months
- Certification Templates/Questionnaires
 - NPCC will distribute these questionnaires



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| | DOCUMENT |
|----|--|
| 1 | Certification Process Document Listing |
| 2 | ERO Certification Process Manual |
| 3 | Certification Application Form |
| 4 | Certification Project Checklist |
| 5 | CT Leader Training Record |
| 6 | CT Member Training Record |
| 7 | ERO Conflict of Interest Form |
| 8 | ERO Confidentially Agreement Form |
| 9 | CT Biography Sheet |
| 10 | CT Roster RC |
| 11 | CT Roster BA |
| 12 | CT Roster TOP |
| 13 | RE to entity for non-objection of CT Members |
| 14 | Questionnaire ICP |
| 15 | Questionnaire RC |
| 16 | Questionnaire BA |
| 17 | Questionnaire TOP |
| 18 | Questionnaire Neighboring Entity |

| | DOCUMENT |
|----|---|
| 19 | Sample Certification Master Matrix |
| 20 | Sample Certification Schedule |
| 21 | Sample On-site Agenda BA Certification |
| 22 | Presentation - Opening |
| 23 | Presentation Closing |
| 24 | On-site Attendance Sheet |
| 25 | Feedback Form - Entity |
| 26 | Feedback Form - CT Team Member |
| 27 | Final Report |
| 28 | RE Certification Approval.Recommendation Letter |
| 29 | NERC Certification Approval Letter |
| 30 | NERC Certification Certificate |
| 31 | Registered Entity Re-Certification Form |
| 32 | Registered Entity Re-Certification Attestation |
| 33 | Regional Review Recommendation Letter |
| 34 | Regional Review Recommendation Letter |
| 35 | Review Summary Report |



Organization Certification

- NERC Certification Process
 - Refer to ROP Section 500 and Appendix 5A.

Organization Certification

- Question?