

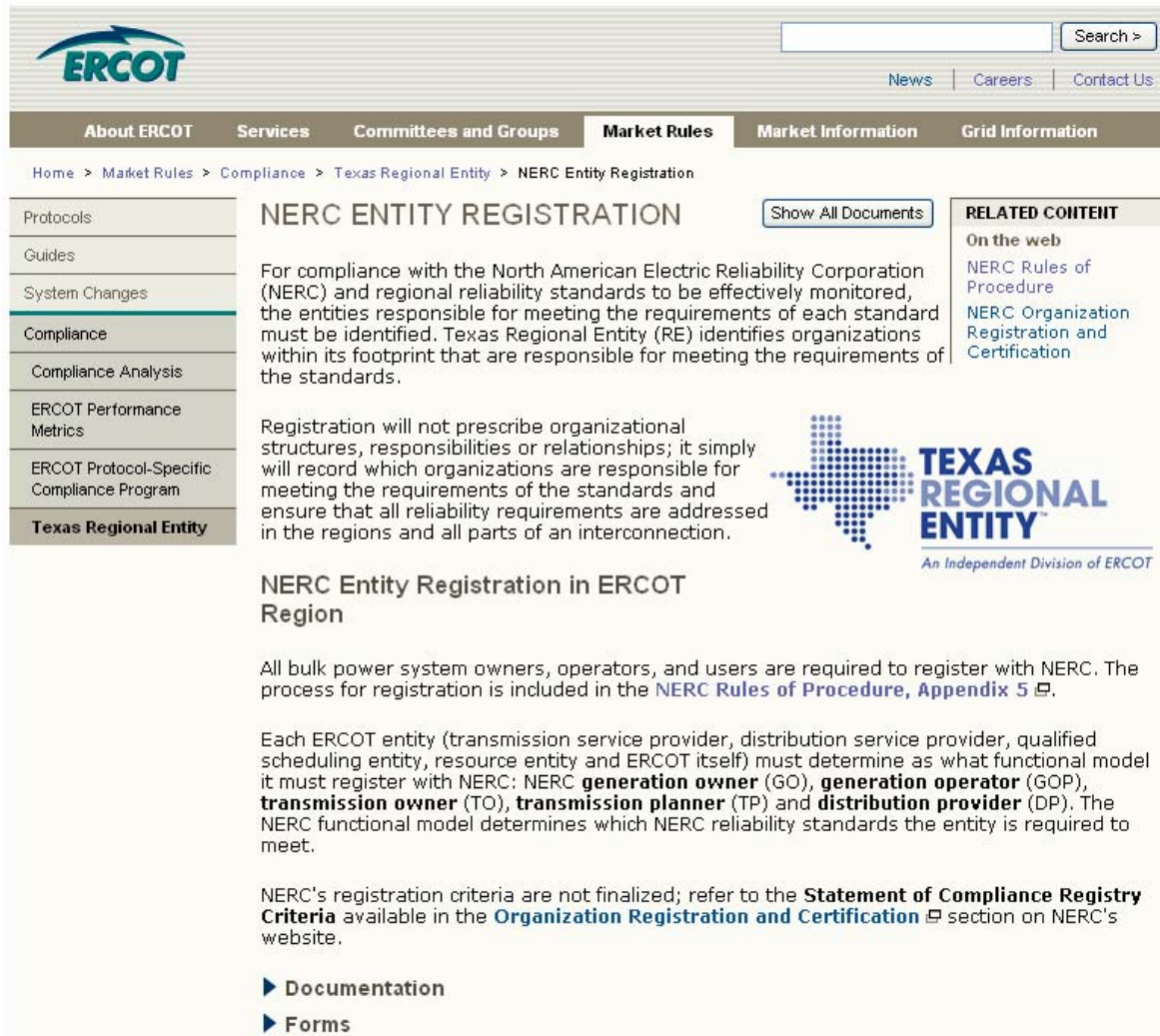
NERC Entity Registration and Certification

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Senior Compliance Engineer

Objectives

- NERC Registration Process and Rules
 - More clarification on DP and LSE functions
- Current Registration in ERCOT Region
- Appeals Process
- NERC Entity Certification Process
- Registration of Entities as Joint Registration Organizations (JRO)
- Overview of Forms (Registration, JRO ...)
- Critical Infrastructure Protection (CIP) Implementation Plan

NERC Entity Registration Information



The screenshot shows the ERCOT website's navigation structure. At the top is the ERCOT logo and a search bar. Below is a main navigation bar with links: About ERCOT, Services, Committees and Groups, Market Rules, Market Information, and Grid Information. A secondary navigation bar shows the breadcrumb path: Home > Market Rules > Compliance > Texas Regional Entity > NERC Entity Registration. On the left is a sidebar menu with links: Protocols, Guides, System Changes, Compliance (highlighted), Compliance Analysis, ERCOT Performance Metrics, ERCOT Protocol-Specific Compliance Program, and Texas Regional Entity. The main content area is titled "NERC ENTITY REGISTRATION" and includes a "Show All Documents" button. It contains text about NERC compliance requirements, a "RELATED CONTENT" section with links to "NERC Rules of Procedure" and "NERC Organization Registration and Certification", and a "TEXAS REGIONAL ENTITY" logo. Below the main text is a section titled "NERC Entity Registration in ERCOT Region" which explains the registration process for bulk power system owners, operators, and users, and lists documentation and forms.

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ERCOT Protocol-Specific Compliance Program

Texas Regional Entity

NERC ENTITY REGISTRATION

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RELATED CONTENT

On the web

[NERC Rules of Procedure](#)

[NERC Organization Registration and Certification](#)

TEXAS REGIONAL ENTITY
An Independent Division of ERCOT

NERC Entity Registration in ERCOT Region

All bulk power system owners, operators, and users are required to register with NERC. The process for registration is included in the [NERC Rules of Procedure, Appendix 5](#).

Each ERCOT entity (transmission service provider, distribution service provider, qualified scheduling entity, resource entity and ERCOT itself) must determine as what functional model it must register with NERC: NERC **generation owner** (GO), **generation operator** (GOP), **transmission owner** (TO), **transmission planner** (TP) and **distribution provider** (DP). The NERC functional model determines which NERC reliability standards the entity is required to meet.

NERC's registration criteria are not finalized; refer to the **Statement of Compliance Registry Criteria** available in the [Organization Registration and Certification](#) section on NERC's website.

► Documentation

► Forms

Locate information in **NERC Entity Registration**, in the Texas Regional Entity section, under Compliance.

Typical ERCOT Entity Registrations

NERC Function	ERCOT Entity Type
Generator Owner (GO)	Resource Entity (RE) with Generators
Generator Operator (GOP)	RE, Qualified Scheduling Entity (QSE) Level 3 and 4
Transmission Owner (TO)	Transmission and/or Distribution Service Provider (TDSP)
Transmission Planner (TP)	TDSP
Distribution Provider (DP)	TDSP
Purchasing-Selling Entity (PSE)	QSE Level 1 and 2 with DC Tie
Load Serving Entity (LSE)	TDSP?

These are typical, not absolute!

Registration Process

For all geographical or electrical areas of the bulk power system, the registration process shall ensure

- 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 (no gaps in the registration), and
- There is no duplication of such coverage or of required oversight of such coverage (no overlaps in the coverage).

Organization Registration and Certification

NERC Rules of Procedures, Section 500:

- NERC shall establish and maintain a compliance registry of the bulk power system owners, operators, and users that are subject to approved reliability standards for enhancing the reliability of the bulk power system.
- The purpose of the compliance registry is to clearly identify those entities that are responsible for compliance with reliability standards.

Locate the Rules of Procedure on the NERC Web site (under **Rules of Procedure**).

Who Is Registered in the ERCOT Region?

In ERCOT region, there are 195 entities with 281 functional responsibilities.*

- 93 Generator Owners (GO)
- 58 Generator Operators (GOP)
- 28 Transmission Owners (TO)
- 24 Transmission Planners (TP)
- 38 Distribution Providers (DP)
- 34 Purchasing Selling Entities (PSE)
- ?? Load Serving Entities (LSE)**

* As of April 11, 2008

**Qualified entities to be registered as LSEs in Summer 2008

ERCOT ISO's NERC Registration

ERCOT ISO has been registered as:

- Balancing Authority (BA)
- Interchange Authority (IA)
- Planning Authority (PA)
- Reliability Coordinator (RC)
- Resource Planner (RP)
- Transmission Operator (TOP)*
- Transmission Service Provider (TSP)

*The TOP standards may be met by the Joint Registration Organization (JRO) process with the ERCOT ISO and TOs.

NERC Compliance Entity Registration List

	A	B	C	D
1	 Generator Owner (GO) – 2008 NERC Compliance Entity Registration List			
2	Entity Name	NERC ID	Primary Compliance Contact	AEO Name
3	AES DEEPWATER INC	NCR04001	Bill Brod	Jennifer Didlo
4	AIR LIQUIDE LARGE INDUSTRIES U.S. LP	NCR10001	Bill Smith	Scott Guthrie
5	AIRTRICITY CHAMPION WIND FARM, LLC	NCR10173	John Franklin	Steve Trenholm
6	AIRTRICITY FOREST CREEK WIND FARM LLC	NCR04003	John Franklin	Steve Trenholm
7	AIRTRICITY ROSCOE WIND FARM, LLC	NCR10174	John Franklin	Steven Trenholm
8	AIRTRICITY SAND BLUFF WIND FARM LLC	NCR04004	John Franklin	Steve Trenholm
9	ALTURA COGEN, LLC	NCR10072	Larry Bryant	Hugh Smith
10	ALTURA POWER LP	NCR04005	George Faulkner	John Myers
11	AMERICAN ELECTRIC POWER SERVICE CORP as agent for AEP Texas North Co, AEP Texas Central Co and Public Service of Oklahoma	NCR04006	Thad K. Ness	Lonni Dieck
12	BARNEY M DAVIS LP (RES)	NCR04009	Dale Lebsack	Darren Stephens
13	BARNEY M DAVIS UNIT 1	NCR04010	Dale Lebsack	Darren Stephens
14	BASF CORP	NCR04011	Sunil Monga	Art Colwell
15	BASTROP ENERGY PARTNERS LP	NCR04012	Joel Firestone	Anthony Ligato

[NERC GO](#) /
 [NERC GOP](#) /
 [NERC TO](#) /
 [NERC TP](#) /
 [NERC DP](#) /
 [NERC PSE](#) /
 [ERCOT ISO](#)

Locate in **NERC Entity Registration**, under Documentation.

NERC Entity Registration Steps

The following organization registration activities are performed by Texas RE:

- An entity seeking registration should contact Texas RE to become registered and, if necessary, certified. However, Texas RE may register the entity on its behalf.
- Texas RE reviews the form submitted by the entity.
- Texas RE contacts the entity to get clarification or additional information, if needed.
- After the final review, Texas RE submits the entity's information to NERC.
- NERC notifies the entity through registered mail.

NERC Registration Form – New Entity

This form should be submitted as a .PDF file via e-mail to nercregistration@texasre.org

Registered Entity Information

Current Date and Time:	
NERC Registered Entity (Legal Name):	
DUNS Number:	

Registered Entity Address

Corporate Address:		Last Date & Time Updated:	
City, State, Zip:			
Plant Address: (GO's Only)		City, State, Zip:	
City, State, Zip:			
TSIN Acronym (if any):			



NERC Compliance Primary Contact Information

Name:		Title:	
Contact Address:		City, State, Zip:	
Telephone: () -		Fax: () -	
E-mail Address:			
Signature:			

NERC Compliance Authorized Entity Officer (AEO) Information

Name:		Title:	
AEO Address:		City, State, Zip:	
Telephone: () -		Fax: () -	
E-mail Address:			
Signature:			

Entity's Chief Executive Officer (CEO) or General Manager (GM, for some entities) Information

Name:		Title:	
CEO/GM Address:		City, State, Zip:	
Telephone: () -		Fax: () -	
E-mail Address:			

Seeking Registration as:

☐ Balancing Authority (BA)	☐ Purchasing-Selling Entity (PSE)
☐ Distribution Provider (DP)	☐ Reliability Coordinator (RC)
☐ Generator Operator (GOP)	☐ Resource Planner (RP)
☐ Generator Owner (GO)	☐ Transmission Operator (TOP)
☐ Interchange Authority (IA)	☐ Transmission Owner (TO)
☐ Load Serving Entity (LSE)	☐ Transmission Planner (TP)
☐ Planning Authority (PA)	☐ Transmission Service Provider (TSP)

General Information

Region Affiliation:	ERCOT
If operating across multiple regions, please list all:	
Comments pertinent to this registration:	

Located in
NERC Entity
Registration,
under Forms



Texas Regional Entity-NERC Registration

Some functions require more clarification in the ERCOT region:

- Distribution Provider (DP)*
 - Provides and operates the “wires” between the transmission system and the end-use customer (DP is not defined by a specific voltage....)
 - Peak load >25 MW
 - Owns, controls, or operates programs or systems such as Under-Frequency Load Shedding (UFLS), Under-Voltage Load Shedding (UVLS), Special Protection System, or Transmission Protection System

*A JRO agreement may apply as well.

Texas Regional Entity-NERC Registration (cont.)

- Load Serving Entity (LSE)*
 - Secures energy and transmission service (and related interconnected operations services) to serve the electrical demand and energy requirements of its end-use customers
 - Peak load >25 MW
 - Responsible for UFLS or UVLS programs

Note: NERC is modifying LSE registry criteria to include DPs as LSEs.

*A JRO agreement may apply as well.

Texas Regional Entity-NERC Registration (cont.)

- Purchasing-Selling Entity (PSE):
 - Is on the OATI (Open Access Technology International, Inc.) list, at the ERCOT Operations Desk
 - Is on the OATI active DC tie scheduling QSE list with a TSIN name (Transmission Service Information Network)
 - Does DC tie transactions
 - Operates as a QSE in the ERCOT market

Registration Changes

- Each entity identified in the registry shall notify Texas RE of any changes in ownership, corporate structure, or similar matters that affect the entity's responsibilities with respect to the reliability standards.
- Failure to notify will not relieve the entity from any responsibility to comply with the reliability standards or shield it from any penalties or sanctions associated with failing to comply with such standards.
- Please send *any* changes for your entity by the end of each month to the Texas RE.

NERC Entity Registration Form – Revisions to Entity's Current Registration

This form should be submitted as a .PDF file via e-mail to nercregistration@texasre.org

Current Date and Time:	
NERC Registered Entity (Legal Name) for Revisions below:	
DUNS Number:	
NERC ID Number:	

Located in
NERC Entity
Registration,
under Forms.

☐ Revised Registered Entity Address

Corporate Address:		Last Date and Time Updated:	
City, State, Zip:			
Plant Address: (GOs Only)		City, State, Zip:	
TSIN Acronym (if any):			

☐ Revised NERC Compliance Primary Contact (PC) Information

Name:		Title:	
Contact Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
Signature:			

☐ NERC Compliance Authorized Entity Officer (AEO) Information

Name:		Title:	
AEO Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
Signature:			

☐ Revised Entity's Chief Executive Officer (CEO) or General Manager (GM, for some entities) Information

Name:		Title:	
CEO/GM Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			

NERC Entity Registration Form – Revisions to Entity's Current Registration (cont.)

☐ Remove Current Registration as:

☐ Balancing Authority (BA)	☐ Reliability Coordinator (RC)
☐ Distribution Provider (DP)	☐ Resource Planner (RP)
☐ Generator Operator (GOP)	☐ Transmission Operator (TOP)
☐ Generator Owner (GO)	☐ Transmission Owner (TO)
☐ Interchange Authority (IA)	☐ Transmission Planner (TP)
☐ Load Serving Entity (LSE)	☐ Transmission Service Provider (TSP)
☐ Planning Authority (PA)	☐ Not Applicable
☐ Purchasing-Selling Entity (PSE)	

☐ Add to Current Registration as:

☐ Balancing Authority (BA)	☐ Reliability Coordinator (RC)
☐ Distribution Provider (DP)	☐ Resource Planner (RP)
☐ Generator Operator (GOP)	☐ Transmission Operator (TOP)
☐ Generator Owner (GO)	☐ Transmission Owner (TO)
☐ Interchange Authority (IA)	☐ Transmission Planner (TP)
☐ Load Serving Entity (LSE)	☐ Transmission Service Provider (TSP)
☐ Planning Authority (PA)	☐ Not Applicable
☐ Purchasing-Selling Entity (PSE)	

☐ Please recap your entire registration in this section (e.g., Our Company is now a GO, GOP, TO, TP and a DP)

☐ Balancing Authority (BA)	☐ Reliability Coordinator (RC)
☐ Distribution Provider (DP)	☐ Resource Planner (RP)
☐ Generator Operator (GOP)	☐ Transmission Operator (TOP)
☐ Generator Owner (GO)	☐ Transmission Owner (TO)
☐ Interchange Authority (IA)	☐ Transmission Planner (TP)
☐ Load Serving Entity (LSE)	☐ Transmission Service Provider (TSP)
☐ Planning Authority (PA)	☐ Not Applicable
☐ Purchasing-Selling Entity (PSE)	

General Information

Region Affiliation:	ERCOT
If operating across multiple regions, please list all:	
Comments pertinent to this registration:	

Note 1:

Changes/revisions must be authorized by the NERC Primary Contact or Authorized Entity Officer.

Note 2:

If the form is not signed by the Primary Contact or Authorized Entity Officer, the changes will not be approved by Texas RE.

Texas RE-NERC Entity Registration Appeal Process

- Texas RE or the entity registers the entity for a NERC function.
- NERC notifies each organization of its registration through registered mail.
- An organization receiving such a notice may challenge NERC's decision on the function(s) for which it has been registered. It should contact Texas RE and file its written objection with NERC's director of compliance within 21 days stating the reasons it believes it should not be considered a bulk power system (BPS) owner, operator, or user.

Texas RE-NERC Entity Registration Appeal Process (cont.)

- Texas RE works with the entity to resolve the issue. If no agreement is reached, Texas RE contacts NERC with the findings.
- NERC places the Texas RE's findings on the agenda for review.
- The Board of Trustees Compliance Committee (BOTCC) promptly issues a written decision on the challenge, including the reasons for the decision.
- The decision of the BOTCC shall be final unless, within 21 days, the organization appeals the decision to the applicable governmental authority (FERC).

NERC Entity Certification in ERCOT Region

NERC/Texas RE shall provide processes for certification of any entity with primary reliability responsibilities requiring certification as established in the NERC reliability standards.

Entities expected to be certified include

- Reliability Coordinator (RC),
- Transmission Operator (TOP), and
- Balancing Authority (BA).

NERC Entity Certification in ERCOT Region (cont.)

The NERC Certification program shall

- Evaluate and certify the competency of entities performing reliability functions through the Readiness Evaluation and Compliance Audit process;
- Certify each entity's ability to meet the minimum requirements established by the NERC reliability standards for each function;
- Maintain process documentation; and
- Maintain records of currently certified entities.

NERC Certification Form – New Entity

This form should be submitted as a **.PDF file** via e-mail to nerccertification@texasre.org

Certified Entity Information

Current Date and Time:	
NERC Registered Entity (Legal Name):	
DUNS Number:	
NERC ID Number:	

Certified Entity Address

Corporate Address:		Last Date & Time Updated:	
City, State, Zip:			

NERC Compliance Primary Contact Information

Name:		Title:	
Contact Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
Signature:			

NERC Compliance Authorized Entity Officer (AEO) Information

Name:		Title:	
AEO Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
Signature:			

Entity's Chief Executive Officer (CEO) or General Manager (GM, for some entities) Information

Name:		Title:	
CEO/GM Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			

Located in
**NERC Entity
Registration,**
under Forms.

NERC Certification Form – New Entity (cont.)

Seeking Certification as:

☐	Balancing Authority (BA)
☐	Reliability Coordinator (RC)
☐	Transmission Operator (TOP)

Identify the following as applicable:

If certifying as an RC, name adjacent RCs:	
If certifying as a BA, name adjacent BAs:	
If certifying as a TOP, name adjacent TOPs:	

General Information

Region Affiliation:	ERCOT
If operating across multiple regions, please list all:	
Comments pertinent to this certification:	

Primary Joint Registration Organization

Primary JRO is responsible for its own function(s), and the function(s) (DP, LSE, GOP, etc.) that it has agreed to perform on the behalf of one or more of its members or related entities, including any and all requirements for the function(s) identified in the NERC reliability standards that would otherwise be the responsibility of each of the JRO members or related entities.

NERC Reliability Standards Responsibility Certification – Primary JRO Application

[Each entity with an ownership or operating interest in the below-referenced Resource/Generation Facilities must execute this Certification.]

The undersigned hereby acknowledge and certify that the following entity has:

- (i) The responsibility for compliance with; and
- (ii) Liability for failure to comply with

The reliability standards promulgated by:

- (i) North American Electric Reliability Corporation (NERC) acting pursuant to designation as the Electric Reliability Organization (ERO) or
- (ii) Federal Energy Regulatory Commission (FERC)

Pursuant to the Federal Power Act.¹ Each of the undersigned acknowledges and certifies that it will be responsible for **all** reliability standards applicable to the NERC Function Type set forth in each reliability standard.

Located in
**NERC Entity
Registration,**
under Forms.

Submit
application to
[nercregistration
@texasre.org](mailto:nercregistration@texasre.org).

NERC Reliability Standards Responsibility Certification – Primary JRO Application (cont.)

Resource/Generation Facility's Legal Name:			
NERC ID Number:			
Generator Owner: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer of Generator Owner)			
Printed Name:			
Its: (Title)		Date:	

Generator Operator: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer Responsible Entity)			
Its: Printed Name:			
Title:		Date:	

NERC Registration Form – Primary JRO Application (cont.)

¹Single Function (BA, RC, TOP, GO, GOP, DP, TO, TP, etc):

Date and Time:

JRO – Organization (Primary JRO Entity)

Entity Legal Name:			
NERC ID Number:			
Primary Compliance Contact (PCC) Name:		Title:	
PCC Contact Address:		City, State, Zip:	
Telephone:	-	Fax:	-
E-mail Address:			
Registered Function(s) (GO, GOP, DP, TO, TP, TOP etc):			
Signature:		Date:	

JRO – Organization (Member Entity)

Entity Legal Name:			
Compliance Contact (CC) Name:		Title:	
Contact Address:		City, State, Zip:	
Telephone:	-	Fax:	-
E-mail Address:			
Registered Function(s) (GO, GOP, DP, TO, TP, TOP etc):			
Signature:		Date:	

Comments pertinent to this JRO registration:

Comments:		
Attachment(s)	Yes ☐	No ☐

Co-Registrant Joint Registration Organization

Co-registrant JRO is responsible for the responsibilities for a particular function as divided among the registered parties, including the responsibilities for that function as required by NERC reliability standard(s).

Co-registrant JRO members or related entities must meet their respective responsibilities as agreed to by all members or related entities in a written agreement.

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application

[Each entity with an ownership interest or operating role in the below-referenced Resource/Generation Facilities must execute this Certification.]

Located in
**NERC Entity
Registration,
under Forms.**

1. Each registered entity undersigned below hereby acknowledges and certifies that for the NERC Function Type(s) set forth below, each has:
 - (a) The responsibility for ensuring compliance with; and
 - (b) Liability for failure to comply withReliability standards promulgated by:
 - (a) North American Electric Reliability Corporation (NERC) acting pursuant to designation as the Electric Reliability Organization (ERO);
 - (b) Texas Regional Entity (Texas RE), under the Amended and Restated Delegation Agreement between NERC and Texas RE and approved by Federal Energy Regulatory Commission (FERC); or
 - (c) FERC;Pursuant to the Federal Power Act.¹ Each of the undersigned acknowledges and certifies that it will be responsible for the reliability standards applicable to the NERC Function Type set forth in each reliability standard.
2. The undersigned acknowledge and certify that they have designated individual responsibility for each NERC Reliability Standard and requirement as set forth in Attachment A.

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

3. The undersigned further agree that when NERC, FERC, or the Texas RE approves amended or additional reliability standards or requirements, the undersigned will:
 - (a) Undertake to confer regarding which of them should be named responsible for the amended or additional reliability standards or requirements; and
 - (b) Execute an amendment to this Long Form designating the responsible entity or responsible entities for the amended or additional reliability standards or requirements and deliver the fully executed Long Form to Texas RE at least ten (10) business days before the effective date of the amended or additional reliability standards or requirements.

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

4. The undersigned further agree that to the extent that NERC, FERC, or Texas RE approve additional or amended reliability standards or requirements, but the undersigned fail to execute and deliver to Texas RE an amendment to this Long Form reflecting responsibility for the additional or amended reliability standards or requirements, they shall be:
- (a) Jointly responsible for ensuring compliance with the additional reliability standards or requirements;
 - (b) Jointly responsible for performing any Remedial Action Directive that may result from a failure of compliance;
 - (c) Jointly responsible for proposing and performing any mitigation plan that may be required; and
 - (d) Jointly and severally liable for any penalties resulting from the failure to comply;

Until such time as the undersigned provide Texas RE with an amended Long Form assigning responsibility for all additional or amended reliability standards or requirements, and Texas RE submits the revised registration to NERC for entry in the NERC Compliance Registry.

5. This Certification may be signed in multiple counter-parts.

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Generator Operator (GOP) and Generator Owner (GO)

Generator Operator (GOP):	
NERC ID Number:	
Generator Owner (GO):	
NERC ID Number:	

Responsible Entity 1: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer Responsible Entity)			
Printed Name			
Its: (Title)		Date:	

Responsible Entity 2: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer Responsible Entity)			
Printed Name			
Its: (Title)		Date:	

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Generator Operator (GOP) and Generator Owner (GO)

Part 1	Generator Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Generator Operators (See Attached spreadsheet)	

Part 1	Generation Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Generation Operators (See Attached spreadsheet)	

Part 2	Generator Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Generator Operators (See Attached spreadsheet)	

Part 2	Generation Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Generation Operators (See Attached spreadsheet)	

NERC Registration Form – JRO Co-Registrant Application

NERC Generator Operator (GOP) and Generator Owner (GO)

¹Single Function (BA, RC, TOP, GO, GOP, DP, TO, TP, etc):

Date and Time:

JRO – Organization (Related Entity^{**})

Entity Legal Name:			
NERC ID Number:			
Entity Primary Compliance Contact (PCC)		Title:	
PCC Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
List Requirements/Standards Responsible for:			
Primary Compliance Contact Signature:		Date:	
Authorized Entity Officer (AEO) Name & Signature:		Date:	
CEO/GM Name (only):		Date:	

****A related entity is an entity whose operations in relation to the operation of the JRO make it feasible for the JRO to accept responsibility for reliability functions for which the related entity would otherwise be responsible.**

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Generator Operator (GOP) JRO Co-Registrant Mandatory Standards



Updated last on May 6, 2008

NERC Long Form for JRO Co-Registrant- GOP/GO*			
JRO – Organization (Related Entity**) name	Standard Number	Requirement or Sub-requirement Number	GOP
	BAL-005-0	R1.	GOP
	BAL-005-0	R1.1.	GOP
	CIP-001-1	R1.	GOP
	CIP-001-1	R2.	GOP
	CIP-001-1	R3.	GOP
	CIP-001-1	R4.	GOP
	CIP-002-1	R1.	GOP
	CIP-002-1	R1.1.	GOP
	CIP-002-1	R1.2.	GOP
	CIP-002-1	R1.2.1.	GOP

▶▶ \ GOP Mandatory Standards /

Attach this form to NERC Reliability Standards Responsibility Certification – GOP/GO.

Locate in **NERC Entity Registration,** under Forms.

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Transmission Operator (TOP) and Transmission Owner (TO)

Transmission Operator (TOP):	
NERC ID Number:	
Transmission Owner (TO):	
NERC ID Number:	

Responsible Entity 1: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer Responsible Entity)			
Printed Name			
Its: (Title)		Date:	

Responsible Entity 2: (Entity's Legal Name)			
NERC ID Number:			
By: (Signature of Officer Responsible Entity)			
Printed Name			
Its: (Title)		Date:	

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Transmission Operator (TOP) and Transmission Owner (TO)

Part 1	Transmission Owner
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Transmission Owners (See Attached spreadsheet)	

Part 1	Transmission Owner
b)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Transmission Owners (See Attached spreadsheet)	

Part 2	Transmission Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Transmission Operators (See Attached spreadsheet)	

Part 2	Transmission Operator
a)	[Entity Name]
responsible for compliance with and is liable for failure to comply with the following reliability standards applicable to Transmission Operators (See Attached spreadsheet)	

NERC Registration Form – JRO Co-Registrant Application

NERC Transmission Operator (TOP) and Transmission Owner (TO)

¹Single Function (BA, RC, TOP, GO, GOP, DP, TO, TP, etc):

Date and Time:

JRO – Organization (Related Entity^{**})

Entity Legal Name:			
NERC ID Number:			
Entity Primary Compliance Contact (PCC)		Title:	
PCC Address:		City, State, Zip:	
Telephone:	() -	Fax:	() -
E-mail Address:			
List Requirements/Standards Responsible for:			
Primary Compliance Contact Signature:		Date:	
Authorized Entity Officer (AEO) Name & Signature:		Date:	
CEO/GM Name (only):		Date:	

****A related entity is an entity whose operations in relation to the operation of the JRO make it feasible for the JRO to accept responsibility for reliability functions for which the related entity would otherwise be responsible.**

NERC Reliability Standards Responsibility Certification – JRO Co-Registrant Application (cont.)

NERC Transmission Operator (TOP) JRO Co-Registrant Mandatory Standards



Updated last on May 6, 2008

NERC Long Form for JRO Co-Registrant- TOP/TO*

JRO – Organization (Related Entity**) name	Standard Number	Requirement or Sub-requirement Number	TOP
	BAL-005-0	R1.	TOP
	BAL-005-0	R1.2.	TOP
	CIP-001-1	R1.	TOP
	CIP-001-1	R2.	TOP
	CIP-001-1	R3.	TOP
	CIP-001-1	R4.	TOP
	CIP-002-1	R1.	TOP
	CIP-002-1	R1.1.	TOP
	CIP-002-1	R1.2.	TOP
	CIP-002-1	R1.2.1.	TOP

▶▶ \GOP Mandatory Standards/



Attach this form to NERC Reliability Standards Responsibility Certification – TOP/TO.

Locate in **NERC Entity Registration**, under Forms.



Joint Registration Organization Process

- Texas RE or NERC may request clarification of any list or forms submitted or additional information on the joint registration.
- Texas RE notifies NERC of each joint registration that it accepts.
- NERC maintains and posts on its Web site a JRO registry of all joint registrations that have been accepted by NERC or Texas RE with the reliability standards and requirements associated to each JRO entity.
- Annually, the JRO shall submit
 - any changes from prior year (e.g., the contact information), and
 - The functions for which the entities have registered

Joint Registration Organizations – NERC Violations

In the event of a violation, the JRO or its member or related entity identified in the JRO registry as responsible for such reliability standard or requirement shall be identified in the notice of alleged violation and shall be assessed the sanction or penalty for the violation.

Texas RE will follow the NERC Sanctions Guidelines for a violation that is attributable to a member or related entity that is registered under the joint registration.

Critical Infrastructure Protection Implementation Plan

Texas RE has received several inquiries on when Critical Infrastructure Protection (CIP) standard requirements will be in effect.

The compliance schedule for CIP 002-009 requirements is based on the entity's NERC registration date(s).

Critical Infrastructure Protection Implementation Plan (cont.)

NERC NORTH AMERICAN ELECTRIC RELIABILITY CORPORATION			
Reliability Standards			
Regulatory Approved Standards Standards Under Development			
Reliability Standards - BOT Approved			
Standard Number	Title	Effective Date	Development History
Resource and Demand Balancing			
BAL-001-0a	Real Power Balancing Control Performance Interpretation (Archive)	10/23/07	Archive
BAL-002-0	Disturbance Control Performance	04/01/05	
BAL-003-0a	Frequency Response and Bias Interpretation (Archive)	10/23/07	
BAL-004-1	Time Error Correction	First day of first quarter after applicable regulatory approval or, in those jurisdictions where regulatory approval is not required, upon Board of Trustees approval.	Archive
BAL-005-0a	Automatic Generation Control Interpretation (Archive)	05/02/07	Archive
BAL-006-1	Inadvertent Interchange	05/01/06	Archive
Critical Infrastructure Protection			
CIP-001-1	Sabotage Reporting	01/01/07	Archive
CIP-002-1	Critical Cyber Asset Identification	06/01/06	Archive Implementation Plan
CIP-003-1	Security Management Controls	06/01/06	
CIP-004-1	Personnel & Training	06/01/06	
CIP-005-1	Electronic Security Perimeter(s)	06/01/06	
CIP-006-1	Physical Security of Critical Cyber Assets	06/01/06	
CIP-007-1	Systems Security Management	06/01/06	
CIP-008-1	Incident Reporting and Response Planning	06/01/06	
CIP-009-1	Recovery Plans for Critical Cyber Assets	06/01/06	

Phased-in Implementation:

Please see Implementation Plan for complete list of dates for compliance with the requirements.

Locate on the NERC Web site – **BOT-Approved Standards**, in the main Standards section.

Find the **Implementation Plan** in the Critical Infrastructure Protection section.

http://www.nerc.com/~filez/standards/Reliability_Standards.html

Critical Infrastructure Protection Implementation Plan (cont.)

Table 4
Compliance Schedule for Standards CIP-002-1 through CIP-009-1
For Entities Registering in 2007 and Thereafter.

	Upon Registration	Registration + 12 months	Registration + 24 months	Registration + 36 months
Requirement	All Facilities	All Facilities	All Facilities	All Facilities
Standard CIP-002-1 — Critical Cyber Assets				
R1	BW	SC	C	AC
R2	BW	SC	C	AC
R3	BW	SC	C	AC
R4	BW	SC	C	AC
Standard CIP-003-1 — Security Management Controls				
R1	BW	SC	C	AC
R2	SC	C	AC	AC
R3	BW	SC	C	AC
R4	BW	SC	C	AC
R5	BW	SC	C	AC
R6	BW	SC	C	AC
Standard CIP-004-1 — Personnel & Training				

Locate Table 4 –
**Compliance
Schedule for
Entities Registering
in 2007 and
Thereafter.**

Questions?



You may also submit questions to information@texasre.org