



Organization Registration Procedure

1. Purpose

This procedure outlines the process for registering entities located in the ReliabilityFirst (RF) Region consistent with the NERC Rules of Procedure, Appendix 5A, Section III. The purpose of the NERC Compliance Registry is to identify those entities that are responsible for compliance to the NERC and RF Reliability Standards. NERC has delegated the implementation of the registration process to RF for those entities in the RF footprint.

The Procedure includes the registration process for Registered Entities, Joint Registration Organizations (JROs) and Coordinated Functional Registrations (CFRs). Organizations listed on the compliance registry will be responsible for knowing the content of and complying with the NERC and RF Reliability Standards.

2. Scope and Applicability

This policy applies to all ReliabilityFirst employees and staff, but specifically governs the actions of personnel performing registration functions (RF Registration Staff).

3. Entities Required to Register on the NERC Compliance Registry

RF shall register all applicable entities located within the Region's footprint in accordance with the current NERC Rules of Procedures, Appendix 5B, Statement of Compliance Registry Criteria. All entities that perform a reliability function located within the RF footprint that meet the criteria in the NERC Statement of Compliance Registry Criteria are required to register with RF in accordance with this procedure or will be placed on the registry by RF.

All entities performing functions, as defined in the NERC Rules of Procedure (RoP), Appendix 5B Statement of Compliance Registry Criteria and Appendix 5A, Organization Registration and Certification Manual, are to self-register using the Centralized Organization Registration ERO System (CORES) located in the ERO Portal. Bulk Power System owners, operators, and users are responsible to provide to RF the necessary information requested in CORES to complete their registration. NERC and RF have the obligation to identify and register all the entities that meet the criteria for inclusion in the NERC Compliance Registry, even if an entity elects not to self-register.

NERC shall establish and maintain the official compliance registry of the Bulk Power System owners, operators, and users that are subject to compliance to the approved Reliability Standards. RF shall oversee and maintain the integrity of the Organization Registration program information obtained from entities through registration and hold it as confidential.

4. Registration Frequency

The registration of a Registered Entity remains in effect until the Registered Entity requests a change or RF sees the need for a change. All changes that a Registered Entity requests are subject to RF approval. At any time, a Registered Entity may request, in writing, with supporting reasons, to the RF Registration Staff that an organization be added to or removed from the compliance registry or change functional responsibilities. The compliance registry is dynamic and will be revised, as necessary, to take into account changing circumstances. RF will take such requests, and other applicable information, under advisement, as it determines whether a Registered Entity may change its registration and/or be added or removed from the NERC Compliance Registry.

The following are the types of documentation RF would expect from Registered Entities for new registrations, changes to existing Registrations, Reactivations, Deactivations, or Deregistrations. This documentation includes but is not limited to:

- a. Documentation that demonstrates that the Registered Entity is no longer a user, owner or operator of the BPS due to:
 1. Going out of business
 2. Transferring of assets (selling its facility(ies) to another entity)
 3. Decommissioning or retirement of assets
- b. One-line diagrams that illustrate upgrades to a transmission system, or procedures which describe changes in operating practices resulting in a truly radial system configuration.
- c. Metering data which demonstrates a reduction in load below the required megawatt threshold.
- d. Documentation which demonstrates and justifies the deactivation or removal of a required underfrequency load shedding (UFLS), undervoltage load shedding (UVLS) or Special Protection System (SPS)/Remedial Action Scheme (RAS).
- e. Generator data which demonstrates a unit de-rate below the required megawatt threshold.
- f. Documentation which confirms the removal of a Blackstart Resource from a Transmission Operator's restoration plan.
- g. Documentation which demonstrates that a BES facility is not material or critical to the reliability of the BES.
- h. Documentation which demonstrates a "non-operable" break separating the generating unit from the Transmission System if a generator is being decommissioned or retired.

5. New Entity Organization Registration

- 5.1. Entities seeking to register should visit the RF [website](#) on the Registration sub-page to obtain or be directed to the following documents:
 - *ERO Entity Registration Form (optional)*
 - *Generator Owner/Generator Operator Asset Verification Form* (Required for entities registering for the Generator Owner and/or Generator Operator functions).
- 5.2. Entities should consult the [NERC Rules of Procedure](#) for the following:
 - [Appendix 5A Organization Registration and Certification Manual](#)
 - [Appendix 5B Statement of Compliance Registry Criteria](#)

- 5.3. Entities should consult and be familiar with the current NERC definition of the Bulk Electric System (BES).
- 5.4. Entities should review the above documentation and complete the applicable form(s). The completed forms are to be uploaded into the CORES system when submitting a new registration. If an entity has any questions concerning the Registration Process, contact information for RF Registration Staff is included on the forms or email RF Registration Staff directly at compliance@rfirst.org.
- 5.5. Entity representatives who are responsible for submitting an Entity Registration Request in CORES must have an active and verified ERO Portal account with Multi-factor Authentication enabled.
 - [ERO Portal User Guide and Instructions](#)
- 5.6. Entities who are requesting to be registered for the first time, or are currently registered or previously registered entities for which registration changes are sought, must log-in to the ERO Portal /CORES to complete and submit a request for new Entity Registration, or request a change to the current registration.
 - [CORES/ERO Portal](#)
- 5.7. The RF Staff assigned to registration will retrieve registration documents from CORES. RF will provide for redundancy in the review and processing of registration requests, so that a submitted registration request is never overlooked.
- 5.8. The CORES system will generate a notification confirming the receipt of the request for a new registration or changes to existing registrations.
- 5.9. RF Registration Staff will review the request for registration in CORES and verify that the entity is properly registered in accordance with the NERC Appendix 5B Statement of Compliance Registry Criteria.
- 5.10. RF Registration Staff or NERC will coordinate the functional registration of a new entity that is also registering for the same function(s) with multiple Regional Entities with the other Regional Entities as appropriate.
- 5.11. For entities that are applying for the RC, TOP, and BA functions, Certification and Registration processes should be initiated concurrently using the applicable processes set forth in Appendix 5A. The entity should initiate the Certification process per Section IV of Appendix 5A. RF Registration Staff will notify the Entity Engagement team responsible for Certification when it learns about any potential new TOPs or BAs being registered in the RF footprint.
- 5.12. If there are any deficiencies in an entity's registration request, RF Registration Staff will contact the entity and have them revise it as necessary to supply all necessary information to comply with the current version of the NERC Appendix 5B Statement of Compliance Registry Criteria. Any revisions made by the entity will then be re-submitted to RF for additional review.
- 5.13. If the RF Registration Staff and registering entity do not agree on the functions the entity is registering to perform, the RF Registration Staff may conduct a secondary review of the application using

additional RF Subject Matter Experts. RF may also ask NERC to review the Registration and help make a decision, if necessary.

1. RF Registration Staff will make the determination of the function(s) the entity is responsible for and proceed with the registration process.
- 5.14.If the RF Registration staff and registering entity agree after the determination has been rendered, RF Registration Staff will notify the entity by e-mail of the functions for which the entity is being registered for and the supporting basis for the decision.
- 5.15.If the RF Registration Staff and registering entity continue to disagree after the determination has been rendered, and if the Registration determination involves any of the following, the entity may request NERC to convene a NERC-led review panel in accordance with Appendix 5A, Organization Registration and Organization Certification Manual, Section III.D.
- a. A materiality test set forth in Appendix 5B, Statement of Compliance Registry Criteria;
 - b. A sub-set list of Reliability Standards (which specifies Requirements and may specify sub-Requirements); or
 - c. A dispute by an entity whose registration status is at issue regarding RF’s application of Appendix 5B, Statement of Compliance Registry Criteria.
- 5.16.RF Registration Staff will review and verify for accuracy the functional mapping the new Registered Entity submitted in CORES during the initial request for registration.
- 5.17.The following are the steps of the Registration approval process:
- a. RF will approve the new registration in CORES
 - b. NERC will then approve the new registration in CORES and send RF a draft “Notice of Listing on the NERC Compliance Registry (NCR)” letter to review and approve before sending to the Registered Entity.
 - c. A new NERC Compliance Registry (NCR) number is issued.
 - d. Once approved by RF, a final “Notice of Listing on the NERC Compliance Registry (NCR)” letter will be sent by NERC to the Registered Entity confirming its registration. This registration letter also serves as notification that Registered Entity has 21 calendar days of receipt of the letter to appeal the decision.
- 5.18.RF Registration Staff will notify appropriate RF internal departments via email whenever changes are made to entity functional registrations in the NCR.
- 5.19.Any correspondence and documents related to the new or existing registration(s) will be placed and maintained on the RF secure file server.

6. Changes to Entity Registration

Organization registrations may change due to a number of reasons including, but not limited to: (1) a Registered Entity changing ownership, (2) entity asset re-organizations and acquisitions (footprint changes), (3) a Registered Entity adding/removing existing functions, (4) a Registered Entity changing names/addresses, or (5) consolidations of existing registrations. In any of these circumstances, Registered Entities shall submit any changes to their current registration in CORES pursuant to the instructions set forth below.

6.1. Registered Entity Asset Re-organizations

If Bulk Electric System (BES) facilities, such as a generator, have been sold to another unregistered entity, the purchasing entity must request a new registration in CORES (Section D). The selling entity must request a change to their current registration to request the deactivation (Section G) of the function(s) applicable to the selling entity. If either entity remains an owner and/or operator of other BES facilities, then the entity is not required to make a change in CORES. In this situation, each entity needs to submit a revised *Generator Owner/Generator Operator Asset Verification Form* in CORES to add/remove the generator asset from their portfolio.

6.2. Registered Entity Adding/Removing Functions (known as “Scopes” in CORES)

This type of change involves either a Deactivation, Deregistration (Section G) or Reactivation (Section H) request.

6.3. Registered Entity Changing Names/Addresses

When there is a name and/or address change of a Registered Entity that does not result from a change in ownership as previously discussed, the Registered Entity must submit the changes on the Basic Information page in CORES (My Entity). The Registered Entity must notify the region as to the specific nature of change being requested and any other relevant information needed to update the NCR appropriately.

6.4. Consolidation of Existing Registrations

When an existing Registered Entity(s) wishes to consolidate multiple registrations under a new single NERC NCR number, the Registered Entity(s) wishing to consolidate under a new NCR will deregister (Section G) and the new consolidated entity will register (Section D) as a new Registered Entity in CORES. If a consolidation involves Open Enforcement Actions (OEA), functions not associated with an OEA will be deactivated from these Registered Entities' NCRs. As each OEA is closed, the associated function will be removed from each Registered Entity's NCR until all functions have been deactivated. In the instance of a GO/GOP consolidation, a *Generator Owner/Generator Operator Asset Verification Form* must be updated and uploaded to CORES.

6.5. Notification of Changes

Each Registered Entity shall notify RF and/or NERC of any corrections, revisions, deletions, changes in ownership, changes in corporate structure, or similar matters that affect the Registered Entity's responsibilities with respect to the Reliability Standards. This includes changes in ownership of BES Facilities, changes in the applicability of the BES Definition to a Facility, and newly installed BES Facilities. Failure to notify will not relieve the Registered Entity from any responsibility to comply with the Reliability Standards or shield it from any Penalties or sanctions associated with failing to comply with the Reliability Standards.

7. **Deactivation and Deregistrations**

7.1. A Registered Entity that is eligible to be removed from the NCR for a specific functional scope will be deactivated. RF requires that all Registered Entities ensure that all outstanding Open Enforcement Actions (OEAs) associated with the registered function(s) are closed prior to the function being deactivated from the NCR.

7.2. A Registered Entity that is eligible to deactivate all of its registered functions from the NCR will be deregistered. RF requires all Registered Entities requesting to be deregistered need to ensure that all

outstanding Periodic Data Submittals, Self-Certifications, and OEAs have been properly completed and/or closed prior to Deregistration.

- 7.3. A Registered Entity that intends to deactivate a function or deregister because they are decommissioning a Generation Facility must be able to demonstrate that the units have been permanently disconnected from the Transmission system prior to requesting a functional change in CORES. The following activities are required to be completed by the Registered Entity prior to the removal of facilities from the NCR.
 - The Registered Entity must establish a “non-operable” break separating the generating unit from the Transmission System. Creating this “non-operable” break provides assurances to RF and NERC that the generating unit will not be placed back in service without prior notification.
 - The Registered Entity must be able to show and explain in writing what was done to the facility to create the “non-operable” break required. RF requests that the Registered Entity also provide a revised one-line identifying location of “non-operable” break and photos of the “non-operable” break.
- 7.4. The Registered Entity will submit a request for functional scope changes and upload any supporting evidence to support the Deactivation into CORES.
- 7.5. If RF requires additional information, RF shall request any additional information from the Registered Entity within 10 Days of receipt of the request for Deactivation, and the Registered Entity shall provide the additional information to RF within 20 Days of its request for Deactivation.
- 7.6. RF will issue a decision within 50 Days of the date of receipt of all requested information from the Registered Entity.
- 7.7. If the Registered Entity’s request for Deactivation is approved,
 - RF will approve the deactivation of the specific registered function(s) within the CORES system for the Registered Entity, within five (5) business days of the issuance of the decision.
 - NERC will then approve the deactivation(s) in CORES send RF a draft “Notice of Deregistration on the NERC Compliance Registry (NCR)” letter to review and approve before sending to the Registered Entity.
 - Once approved by RF, a final “Notice of Deregistration on the NERC Compliance Registry (NCR)” letter will be sent by NERC to the Registered Entity confirming its registration.
- 7.8. RF Registration Staff will notify appropriate RF internal departments via email whenever changes are made to entity functional registrations in the NCR.
- 7.9. If RF or NERC does not agree with the request for Deactivation or Deregistration, the Registered Entity may seek a review by the NERC-led review panel in accordance with the procedures outlined in the NERC Rules of Procedures, Appendix 5A, Organization Registration and Organization Certification Manual, Section III.D.
 - a. If the Deactivation determination involves (i) the materiality test set forth in the notes in Appendix 5B, Statement of Compliance Registry Criteria; (ii) a determination that a sub-set list of Reliability Standards (which will specify Reliability Standards and may specify Requirements/sub-Requirements) should apply as an alternative to Deactivation; or (iii) the Registered Entity disagrees with the Regional Entity determination, the determination will

be submitted to the NERC-led review panel process in Appendix 5A, Organization Registration and Organization Certification Manual, Section III.D within 30 Days after issuance of the determination.

- 7.10. RF shall retain all records of registration history for any entity that has been deregistered from the NCR in RF secure servers for up to six (6) years per the RF Records Retention policy.
- 7.11. If a Registered Entity's request for Deactivation or Deregistration is denied, the Registered Entity can submit an appeal (Section K).

8. Reactivations

- 8.1. NERC, RF or a Registered Entity (with respect to such Registered Entity's own functional categories or sub-set list of Reliability Standards) may initiate a reactivation to the NCR for a specific functional category. Pursuant to the NERC ROP Section 500 and Appendices 5A and 5B, reactivation refers to re-registration 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 sub-set list of Reliability Standards (which specifies Reliability Standards and may specify Requirements/sub-Requirements) that has been granted to an entity.
- 8.2. The entity will submit a change to registration in CORES along with any supporting evidence to support the Reactivation, and RF will process the Reactivation in accordance with Section D as appropriate.
- 8.3. As a result of Reactivation, and consistent with the implementation plan to be developed by the Registered Entity, the Registered Entity shall prospectively comply with all Reliability Standards applicable to that functional category, or with the sub-set list of Reliability Standards and Requirements specified in the Reactivation determination, unless otherwise notified.
- 8.4. Within 30 days of a final Reactivation determination, the Registered Entity shall submit a proposed implementation plan to RF detailing the schedule for complying with any Reliability Standards applicable to the Reactivation. RF shall notify NERC via the Registration email address, found on the Registration and Certification page of the NERC website, of the disagreement, and shall provide statements of the Regional Entity's and the Registered Entity's positions, and NERC shall specify a reasonable implementation schedule.

9. Registration Steps for a Joint Registration Organization (JRO)

Section 507 of the NERC Rules of Procedure states that in addition to registering as the entity responsible for all function type(s) that it performs itself, an entity may execute an agreement to register as a Lead Entity of a JRO on behalf of one or more parties to the agreement for one or more function type(s) for which parties would otherwise be required to register. The Lead Entity thereby, accepts on behalf of such parties all compliance responsibility for the function types(s) covered by the JRO registration, including all reporting requirements.

- 9.1. The Lead Entity of a JRO must execute a written agreement with the parties on whose behalf it registers that: (1) governs the relationship between the parties; (2) addresses the function type(s) described within Appendix 5B for which the Lead Entity is registering for and taking responsibility, and which would otherwise be the responsibility of one or more of the other parties to the JRO.; (3) identifies which entity is the Lead Entity and a point of contact within the Lead Entity; and (4)

identifies a point of contact for each of the parties to the JRO.

9.2. Any Registered Entity seeking to register as a JRO for any or all functional categories that would otherwise be the responsibility of one or more Entities shall submit a request for JRO registration to RF in CORES.

9.3. RF will use the following steps to address JRO registration in the RF footprint:

- a. The entities participating in a JRO shall clearly document which function(s) are covered by the JRO and which Registered Entity is responsible for compliance. The document must indicate that the entities agree on the division of responsibilities.
- b. The JRO and its parties must have a separate, formal written agreement that clearly specifies their respective responsibilities, which shall be submitted to RF as part of the joint registration.
- c. RF shall confirm that the joint registration will ensure that: (1) no areas are lacking in the performance of the duties and tasks identified and required by the applicable Reliability Standards, and (2) no unnecessary duplication of coverage of areas by entities to perform the duties and tasks identified in and required by the Reliability Standards or of required oversight of such coverage.
- d. The Registered Entity JRO point of contact shall inform RF of any changes to an existing JRO and make the appropriate changes in CORES. NERC and other applicable Regional Entities will be notified by the CORES system of each such revision.
- e. RF shall maintain a list of all JROs, the Lead Entities, the JRO parties, and the function type(s) for which the Lead Entity of the JRO is has registered for each party. It is the responsibility of the Lead Entity of the JRO to provide the Regional Entity with this information as well as the applicable JRO agreement(s).
- f. Any and all correspondence and documents related to JRO's will be filed and maintained by the JRO Lead Registered Entity in the CORES system.

10. Registration Steps for a Coordinated Functional Registration (CFR)

Section 508 of the NERC Rules of Procedure states that in addition to registering as an entity responsible for all functions that it performs itself, multiple entities using a CFR must register for the function associated with the CFR.

- 10.1. The CFR submission to the Regional Entity must include a written agreement that: (1) governs itself; (2) specifies the entities' respective compliance responsibilities; (3) identifies which entity is the Lead Entity, a point of contact within the Lead Entity, and a point of contact for each of the parties to the CFR.
- 10.2. The Lead Entity identified for each CFR is responsible for providing the written agreement between the parties, including submitting updates for currently active CFRs to the Regional Entity related to the CFR Registration; and (4) lists one or more Reliability Standard(s) and/or for one or more Requirements/sub-Requirements within particular Reliability Standard(s) applicable to a specific function type.

10.3. RF will use the following steps to address CFR registration in the RF footprint:

- a. The Lead Entity in a CFR shall clearly document which Standards and requirements/sub-requirements are covered by the CFR and how compliance responsibility is defined among all parties to the CFR. The document must indicate that the parties agree on the division of responsibilities. The Lead Entity shall use the CORES CFR portal to create, submit and update all CFRs.
- b. Each party to a CFR shall have compliance responsibility for those Reliability Standards and/or Requirements/sub-Requirements for which it has registered pursuant to the CFR.
- c. RF shall confirm that this coordination of functions will ensure that: (1) no areas are lacking in the performance of the duties and tasks identified and required by the applicable Reliability Standards, and (2) no unnecessary duplication of coverage of areas by Registered Entities to perform the duties and tasks identified in and required by the Reliability Standards or of required oversight of such coverage.
- d. RF will notify NERC (via the CORES CFR portal) of each CFR that has been accepted in accordance with the registration procedure. The CFR Registration data must include all Registration data, as needed by the Regional Entity to complete the Registration process and to perform assessments of compliance, as it relates to the CFR. All Compliance Monitoring and Enforcement related communications shall be directed to the Primary Compliance Contact(s) identified for each party of the CFR.
- e. The Lead Entity of the CFR shall inform RF of any changes being made to an existing CFR using the CORES CFR portal. RF will promptly notify NERC and other applicable Regional Entities of each such revision.
- f. Any and all correspondence and documents related to the CFR will be filed and maintained in the CORES CFR Portal.

11. Appeal of an Organizational Registration

Any Registered Entity can appeal an organization registration decision issued as a result of the registration and verification actions of RF. Any Registered Entity receiving a notice from RF that it is being included on the NERC Compliance Registry (NCR) can appeal this decision by filing a written objection with NERC at any time.

RF will take the following steps to address an Appeal of Organization Registration in the RF Region.

- 11.1. Registered Entities must send a formal appeal via registered mail to NERC within 21 days of the Registered Entity's receipt of the NERC registration notification letter.
- 11.2. The Registered Entity must describe in its appeal why the Registered Entity believes it should not be registered or should be deactivated based on the NERC RoP and the NERC Statement of Compliance

Registry Criteria, or why its compliance obligations should be limited only to a sub-set list of otherwise applicable Reliability Standards.

- 11.3. Upon receipt of the appeal, NERC will acknowledge receipt of the appeal to both the Registered Entity and RF.
- 11.4. At any time throughout the appeals process, a Registered Entity may agree with the decision and/or agree to close the appeal. In this case NERC shall notify the involved parties and the NERC BOTCC that the appeal is resolved and RF will update the NCR as applicable.
- 11.5. The Registered Entity has 30 days from the date NERC receives the appeal to resolve the appeal with RF, if possible. NERC may extend such deadline in its sole discretion. The appeal shall state the reasons the Registered Entity believes it should not be considered a bulk power system owner, operator, or user for the function(s) in dispute and provide any supporting documentation for their position. The RF Registration Staff will make an initial determination on the registration appeal.
- 11.6. If the appeal is resolved satisfactorily, RF will notify NERC with the details of the resolution and NERC will close the appeal.
- 11.7. If the Registered Entity does not accept the position of RF, RF will notify NERC and the Registered Entity in writing or by transmittal of an electronic document of the initial determination and the supporting basis for the decision. At this point the Registered Entity may proceed with the appeal to NERC as identified in the Section V of the NERC Rules of Procedures, Appendix 5A. NERC will be notified that the parties were unable to resolve the appeal and the appeal will be sent back to NERC for further action.
- 11.8. NERC will send a notification letter to the Registered Entity and RF regarding the appeal that will outline the following expectations and timelines for the appeals process:
 - a. The Registered Entity must provide NERC and RF any supporting data to demonstrate why they should not be registered within 10 Days of the date of the NERC appeal notification letter.
 - b. RF will provide a copy of its assessment directly to the Registered Entity and NERC, within 20 Days of the date of the NERC appeal notification letter describing why the Registered Entity should be registered.
 - c. The Registered Entity may submit a response to the RF assessment, with copies to RF and NERC, within 30 Days of the date of the NERC appeal notification.
 - d. To ensure there is no confusion with respect to the rights and responsibilities of the Registered Entity during the appeal process, the notification letter will confirm whether the Registered Entity will remain on the NERC Compliance Registry and will be responsible for compliance with approved Reliability Standards applicable to the function under appeal during the appeal.
 - e. At any time during the appeals process, a Registered Entity may agree with the decision and/or agree to close the appeal. NERC shall notify the parties involved and the BOTCC that the appeal is resolved and instruct RF to update the NCR as applicable.

- f. NERC may extend the timelines for good cause shown. Requests should be sent to the NERC Senior Director of Compliance Analysis and Certification. NERC shall notify the Registered Entity and RF of such time extensions.

11.9. All denied appeals for registration are forwarded to the BOTCC for resolution. The BOTCC resolves registration disputes on behalf of NERC in accordance with Section V of the NERC Rules of Procedures, Appendix 5A.

12. Functional Mapping

Section 501 of the NERC Rules of Procedure states that for all geographical or electrical areas of the Bulk Power System, the Registration process shall ensure that: (1) no areas are lacking any Registered Entities to perform the duties and tasks identified in and required by the Reliability Standards to the fullest extent practical, and (2) there is no unnecessary duplication of such coverage or of required oversight of such coverage.

12.1. The RF Registered Entity functional mapping process shall:

- a. Ensure that all areas are under the oversight of one and only one Reliability Coordinator.
- b. Ensure that all Balancing Authorities and Transmission Operator entities are under the responsibility of one and only one Reliability Coordinator.
- c. Ensure that all transmission Facilities of the Bulk Power System are the responsibility and under the control of one and only one Transmission Planner, Planning Authority, and Transmission Operator.
- d. Ensure that all Loads and generators are under the responsibility and control of one and only one Balancing Authority.

12.2. RF will use the following steps listed below when mapping Registered Entities to their appropriate functional relationships:

- a. The ERO has developed a worksheet that depicts required functional mapping relationships. The Functional Mapping Worksheet will be used as a tool by the Registered Entities to designate appropriate, verified functional relationships within the CORES Functional Mapping section.
- b. The Registered Entities will be required to input and maintain their functional mapping in CORES that illustrates all registered functional relationships between Registered Entities as described in Section 501 of the RoP.
 1. Registered Entities will be added to and removed from the CORES as they are added or removed from the NCR following routine Registration procedures (Sections D, G and H).
 2. The following resources may be used to help establish the functional mapping relationships of Registered Entities.
 - Registered Entity Registration forms
 - GO and GOP asset verification forms
 - Single-line diagrams
 - Other sources
 3. Registered Entities are responsible for the maintenance and accuracy of the functional mapping relationships in the CORES system.

13. Data Management

RF Registration Staff is responsible for ensuring that all information pertaining to Registered Entity registration activities is maintained and stored in accordance with the following data retention periods:

Type of Registration Documentation	Data Retention Period	Justification for Data Retention Period
Documentation Used to Substantiate the Conclusions of RF/NERC regarding Registration Decisions	At least 6 years	NERC Rules of Procedure, Section 502

14. Enforcement

Any personnel found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

15. Revision History

Policy Owner	Registration (RAM Group)	
Policy Reviewers	Registration Manager, Regulatory Affairs, Legal, Vice President Reliability & Risk	
Revision	Reason for Change/ Prepared by	Effective Date
0	Organization Registration	January 27, 2009
1	Updates to accommodate NERC Audit Registration AUPs – Functional Verification section	April 28,2010

	added – Gary Campbell, Norb. Mizwicki, Renata Fellmeth	
2	Updates to reflect NERC Rules of Procedure dated 1-1-2011 and its Appendix 5A, Organization Registration and Certification Manual, in addition to existing NERC Statement of Compliance Registry. Derek Kassimer	April 1, 2011
3	Annual Review	April 09, 2013
4	Annual Review	January, 6, 2014
5	Updated to reflect changes made to the NERC Rules of Procedures dated 3-19-2015, Appendix 5A Organization Registration and Certification Manual and Appendix 5B NERC Statement of Compliance Registry Criteria.	May 13, 2016
6	Annual review and updated to add reference to the new CFR and ERO Portal in regards to CFR processing.	January 22, 2018
7	Annual review and updated to add reference to the new CORES tool and RoP changes	January 29, 2021
8	Updated to remove references to NERC bulletin and to functional mapping document on RF website	December 3, 2021
9	Annual review – minor misc. edits.	September 22, 2022

As directed by the Vice President, Reliability and Risk on December 3, 2021.