**Certification Notification & Preliminary Questionnaire**

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

|  |  |
| --- | --- |
| Date Submitted |  |
| Entity Legal Name |  |
| Entity Acronym |  |
| NCR Number |  |
| Entity Address |  |
| Primary Compliance Contact (PCC) Information  (Title, Phone No., Email) |  |
| Authorizing Officer (AO) Information  (Title, Phone No., Email) |  |
| Applicable Registered Function(s): | Balancing Authority (BA)  Transmission Operator (TOP)  Reliability Coordinator (RC)  Transmission Owner (TO) with a Local Control Center (LCC) that performs TOP Tasks  (Check all that apply.) |
| Region; Or more than one for Multi Regional Registered Entity (MRRE): | MRO  NPCC  RF  SERC  Texas RE  WECC |
| MRRE ‘Coordinated Oversight’ Group Name & Number: |  |
| Regional Transmission Organization (RTO) |  |
| Reliability Coordinator (RC) |  |
| Balancing Authority |  |
| Adjacent BA(s) and TOP(s) |  |
| Additional information (optional)  Triggering Event[[1]](#footnote-2) (Check all the apply):  New Registration (Balancing Authority (BA), Transmission Operator (TOP) and/or Reliability Coordinator (RC))  Changes to Registered Entity’s footprint8 (including de-certification changes to existing JRO/CFR assignments or sub-set list of requirements): i. The review of changes to an already registered and operational entity’s footprint is primarily concerned with ensuring the gaining functional entity has the tools, training, and security in place to reliably operate with new responsibilities. Changes to an entity’s footprint can be characterized by new metered boundaries associated with the integration or dis-association of existing electrical areas of the BPS (Reliability Coordinator Area, Transmission Operator Area, or Balancing Authority Area).  8  This includes changes in ownership of BPS facilities, changes in the applicability of the BES definition to a Facility, and newly installed BPS facilities.  Relocation of the Control Center:   1. Fundamental to the reliable operation of the interconnected transmission network are the control centers that continuously monitor, assess, and control the generation and transmission power flows on the BES. Of interest are impacts to the functionality provided within these facilities for continued reliable operations of the BES that affect:  * Tools and applications that System Operators use for situational awareness of the BES * Data exchange capabilities * Interpersonal (and alternate) Communications capabilities * Power source(s) * Physical and cyber security  1. The impact of the relocation of the Control Center on the entity’s ability to perform the functions for which the entity is registered under normal and emergency conditions should be explored and documented to understand the manner in which the Control Center continues to support the reliable operations of the BES.   Modification of the Energy Management System (EMS) which is expected to materially affect CIP security perimeters or the System Operator’s: 1) situational awareness tools, 2) functionality, or 3) machine interfaces.  Other (Please describe):  Click here to enter text. | |

**In order to determine the scope and type of Certification engagement that may be needed, please provide answers to the General Questions and the additional questions based upon the ‘triggering event’.**

**For all ‘triggering’ events, please provide answers to the following General Questions:**

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

Click here to enter text.

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

Click here to enter text.

1. Please provide a general project timeline including major milestones and tentative completion dates (This includes any parallel operations time periods, testing, and go-live dates).

Click here to enter text.

1. Is there a need for training of System Operators, Cyber Security Professionals or other impacted personnel resulting from the ‘triggering event’?

Click here to enter text.

1. Are there other entity specific or unique factors that you believe should be considered in determining the need for a Certification Review? You can also include “fact sheets”, etc. to explain further.

Click here to enter text.

**In addition to the General Questions, if the ‘triggering event’ is a *‘Change to the Registered Entity’s footprint’*, please provide answers to the following:**

1. Describe the changes to your ‘footprint’.

Click here to enter text.

1. Will the changes to your ‘footprint’ result in any modifications/updates to the Energy Management System (EMS) in relation to:
   1. Tools and applications that System Operators use for situational awareness of the BES, and/or
   2. Data exchange capabilities.

Click here to enter text.

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

Click here to enter text.

**In addition to the General Questions, if the ‘triggering event’ is a *‘Construction and/or relocation of the control center (Primary and/or Back-Up)’*, please provide answers to the following:**

1. Describe how your entity currently achieves Primary and Backup Control Center functionality.

Click here to enter text.

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

Click here to enter text.

1. Describe the changes for the current Primary Control Center or Backup Control Center when the new Control Center is operable.

Click here to enter text.

1. Please describe whether this change will include upgrades or new system installation of any BES cyber systems, assets or storage areas.

Click here to enter text.

1. Has the construction and/or relocation of the control center (Primary and/or Back-Up) impacted the Physical Security Perimeter (PSP) or Electronic Security Perimeter (ESP) of existing or new facilities, including related access procedures (both logical and physical), physical security plan, the addition of card key readers, fencing, alarms or cameras?

Click here to enter text.

**In addition to the General Questions, if the ‘triggering event’ is a *‘Modification of the Energy Management System (EMS)’*, please provide answers to the following:**

1. Please describe the Energy Management System (EMS) (software and/or hardware) replacement, upgrade and/or virtualization.
   1. Please be specific in describing the specific hardware components being replaced, if applicable.
   2. Please include whether the change will include a change in Vendor.
   3. Please provide the Vendor ‘Release Notes’ for the EMS and/or Platform software updates.

Click here to enter text.

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

Click here to enter text.

1. Will the modification of the EMS impact existing Technical Feasible Exceptions (TFEs)?

Click here to enter text.

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

Click here to enter text.

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

Click here to enter text.

**Note:** Once a review of your changes begins, we will create a secure site to store documentation needed for the review.

**Please submit this form to** [**entityengagement@rfirst.org**](mailto:entityengagement@rfirst.org)

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1. NERC Rules of Procedure, Appendix 5A Organization Registration and Certification Manual (Effective Date: January 19, 2021), Section V, Overview section, Parts a - c. [↑](#footnote-ref-2)