Organization Certification Appeals Process Procedures
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Effective Date: April 25, 2011
I. **Revision History**

The revision history of the SPP RE Organization Certification Appeals Process Procedures is set forth below.

<table>
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<tr>
<th>Revision</th>
<th>Section(s) Revised</th>
<th>Reason for Change</th>
<th>Approved by</th>
<th>Effective Date</th>
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<td>0</td>
<td>N/A</td>
<td>Initial Adoption</td>
<td>SPP RE Trustees</td>
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II. References
NERC Rules of Procedure, Section 500, January 1, 2011.


Amended and Restated Delegation Agreement between NERC and SPP, Inc, January 1, 2011.

Southwest Power Pool Governing Documents Tariff (Bylaws), Section 9.0, January 10, 2011.
III. Organization Certification Appeals Process

1. Overview

All entities registered in the NERC Compliance Registry for the Reliability Coordinator (RC), Transmission Operator (TOP), and/or Balancing Authority (BA) functions shall be certified. The organization certification program scope and requirements are delineated in the NERC Rules of Procedures (NERC ROP), Section 500 and the process used for certifying an entity as an RC, TOP, and/or BA is defined in the NERC ROP, Appendix 5A.

In accordance with Appendix 5A, Section IV, 19a, for organizations that intend to operate solely in the SPP RE region, the Certification Team (CT) shall make a certification recommendation to the SPP Region. The SPP RE Staff shall make a determination on the organization’s certification application (Recommendation to Approve the Organization’s Request for Certification or Recommendation to Disapprove the Organization’s Request for Certification) based on its review of the CT’s report and other pertinent information. The SPP RE’s Staff shall notify the organization, the SPP RE Trustees, and NERC of its certification recommendation.

2. Appeal Procedures

a. General

Any entity can appeal the SPP RE Staff’s determination on the organization’s certification application. In accordance with the NERC Rules of Procedures, Section 504.2., the SPP RE Trustees will issue a ruling on appeals of the determination on the organization’s certification made by the SPP RE Staff.

An entity that disagrees with the SPP RE Trustees decision may further appeal to NERC in accordance with the NERC Organization Registration and Certification Manual, Section VI, of Appendix 5 to the NERC ROP.

b. Process Steps

i. The SPP RE Trustee Secretary\(^1\) will be the point of contact for all parties in the appeal process, i.e., the parties should submit documents that they wish to be included in the appeal record to the SPP RE Trustee Secretary. All documents containing confidential information should be appropriately marked as such.

ii. The appeals process begins when an entity notifies the SPP RE Trustee Secretary, in writing, that it is appealing the SPP RE Staff’s determination of the organization’s certification. (An email message is an acceptable form of service)

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\(^1\) The SPP RE Staff’s notice to the organization, the SPP RE Trustees, and NERC of its certification recommendation shall provide the contact information to whom an entity’s notice of appeal should be directed, i.e., the contact information for the SPP RE Trustee Secretary.
An entity’s written notice of appeal must be received by the SPP RE Trustee Secretary within fifteen calendar days of the date the SPP RE notifies the entity, in writing, of the SPP RE’s determination on the organization’s certification application. If the appeal is not received by the SPP RE Trustee Secretary within fifteen calendar days of the date the SPP RE notifies the entity, in writing, of the SPP RE’s determination on the organization’s certification application, the entity’s notice of appeal will be rejected.

An entity may withdraw its appeal at any time during the appeal process.

iii. Upon receipt of an entity’s notice of appeal, the SPP RE Trustee Secretary shall provide a copy of the appeal to the RE Trustees and the SPP RE Staff.

iv. The SPP RE Trustee Secretary shall develop a proposed procedural schedule for RE Trustees’ consideration. The proposed procedural schedule shall include at minimum, dates for the submission by the parties of their 1) Statements of Position & Initial Comments, 2) Reply Comments, and 3) a meeting for the parties to present their respective positions to the SPP RE Trustees. (Because of the likelihood that confidential, non public information will be discussed, the meeting will not be open to the public.)

SPP RE Trustees will establish a procedural schedule. The SPP RE Trustee Secretary shall notify the parties, in writing, of the procedural schedule established by the SPP RE Trustees. The parties may submit a request to modify the procedural schedule. However, the decision of whether to grant such a request is at the sole discretion of the SPP RE Trustees.

v. Within 30 days following the meeting, the SPP RE Trustees will issue their ruling on the entity’s appeal. The SPP RE Trustee Secretary will provide a copy of the SPP RE Trustees’ ruling to the parties.

vi. Each party in the SPP RE Certification Appeals Process shall pay its own expenses incurred during the appeal process.

vii. Upon request, upon their own motion, the SPP RE Trustees, may waive and/or modify these procedures for good cause.