




2021 Member Recertification Feedback Session

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Knowledge Management Center

Stakeholder Process Forum
July 26, 2021

- Introduction
- Review of 2020 Annual Member Recertification Process
- Summary of Feedback
- Additional Feedback
 - Stakeholders will have the opportunity to provide additional feedback on the process and tools
- Next Steps

Know Your Customer (KYC) Procedures



Membership Application Enhancements



Evaluation of Market Participant



Credit and Risk Due Diligence Procedures



Evolving Processes and Enhancements

Annual Member Recertification

Data gathered informs Membership, Credit & Risk Procedures

Annual Member Recertification

- Full Members required to validate the following information annually
 - Sector Selection
 - Affiliate Disclosure Information
 - Related Party Information (Electric Distributor sector only)
 - Contact Managers
 - Company Account Manager (CAMs)
- Must be completed by a designated Officer, Authorized Representative, or Maintenance Manager
- Process defined in [Manual 33](#), Section 3

Market Participant Requirements

- Market Participants required to provide the following information
 - Annual Officer Certification Form
 - Must be completed by an Officer
 - Required each calendar year between January 1 and April 30
 - Principals
 - Utilized for Know Your Customer (KYC) processes (on-going)
- Per compliance with PJM Tariff, Attachment Q

2021 Recertification Tasks and Timeline

Required Tasks	Tool	Open Date	Due Date	Must be completed by
<ul style="list-style-type: none"> • Sector Selection • Affiliate Disclosure • Related Parties • Contact Managers • CAMs • Principals* 	Membership Management Community	March 1	April 15	<ul style="list-style-type: none"> • Officer • Authorized Representative • Maintenance Manager
Officer Certification Form*	<ul style="list-style-type: none"> • eCredit (prior to March 1st) • Membership Management Community (after March 1st) 	Jan 1	April 30	<ul style="list-style-type: none"> • DocuSign form initiated by Officer, Auth Rep, or Maintenance Manager • Officer must initial and sign form

* Market Participants only

Officer Certification Form - Feedback

Feedback	Potential Enhancements
<ul style="list-style-type: none">Ability to route DocuSign form to multiple individuals.	<ul style="list-style-type: none">Investigating DocuSign options.Officer is required to initial and sign.
<ul style="list-style-type: none">Issue with company names being remembered in browser when the form is initiated for more than one company.	<ul style="list-style-type: none">Investigating ability to prepopulate Officer Name and Company name to eliminate confusion.
<ul style="list-style-type: none">Ability to obtain a copy of the form once complete.	<ul style="list-style-type: none">Investigating options to send final form to Auth Rep/Maintenance Mgr in addition to Officer.
<ul style="list-style-type: none">Officer Certification Form submitted date is blank in Membership Management Community.	<ul style="list-style-type: none">Enhance tool to include this information.
<ul style="list-style-type: none">Availability of information from prior years' forms.	TBD
<ul style="list-style-type: none">Process for resubmitting the Officer Certification Form if incorrect or incomplete is not clear.	TBD

Principals - Feedback

Feedback	Potential Enhancements
<ul style="list-style-type: none">• Ability to edit company for an existing contact.	<ul style="list-style-type: none">• Community Enhancement in progress.
<ul style="list-style-type: none">• Data not retained for individuals that are Principals for multiple Members.	<ul style="list-style-type: none">• Community Enhancement in progress.
<ul style="list-style-type: none">• List of all previous companies for which the person held the role of principal could be lengthy.	<ul style="list-style-type: none">• If more than 10 companies, add ability to upload a file containing supporting information.
<ul style="list-style-type: none">• Concerns with Data of Birth being PII data and confidentiality of data.	<ul style="list-style-type: none">• Principal information will remain confidential and only be available to PJM employees that require the information.

Miscellaneous – Other Feedback

Item	Potential Enhancements
<ul style="list-style-type: none">• Access to Contact Management feature	<ul style="list-style-type: none">• Provide access to Officers, Auth. Reps, and Maintenance Managers – requires update to Manual 33.• Optional ability to designate Contact Managers.
<ul style="list-style-type: none">• Contact Management Roles	<ul style="list-style-type: none">• Remove Officer Certification Form role.• Clearly communicate use of roles in PJM supporting documentation.
<ul style="list-style-type: none">• Form of Secretary Certificate<ul style="list-style-type: none">• Difficult to get signatures for all individuals.• Difficult to get form signed by Corporate Secretary, Managing Member, or Managing Partner.	TBD

Miscellaneous – Other Feedback

Item	Potential Enhancements
<ul style="list-style-type: none">Roles and Responsibilities of Authorized Representatives/Officers/Maintenance Managers	<ul style="list-style-type: none">Clear communication of roles and responsibilities as outlined in Manual 33.PJM will actively communicate to these individuals prior to the member recertification period.
<ul style="list-style-type: none">Annual Member Recertification Timeline	<ul style="list-style-type: none">Targeting an early January open date for the 2022 annual member recertification.

Additional Stakeholder Feedback

- What additional features/options could make the processes and tools better?
 - What would make the process easier for your company?
 - What, if any, features are we missing?
- What were the pain points during the process?

- PJM will review feedback and finalize the following items:
 - Enhancement priorities
 - Enhancement implementation schedule
 - 2022 Annual Member Recertification timeline
- Additional communications will be provided at the Tech Change Forum and MC Webinar.
- Contact PJM at membershipforms@pjm.com if you would like to participate as a pilot user to test new functionality.

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