PJM System Operator Certification Program
Dispute Resolution Procedure

Introduction
The intent of this procedure is to insure that all challenges to the PJM RTO System Operator Certification Program are resolved through a mutually acceptable resolution mechanism. It is appropriate for PJM to serve as a part of this mechanism by helping to resolve challenges and disputes to the System Operator Certification Program including but not limited to challenges made by individual Candidates regarding the certification exam, exam administration and exam results. The PJM Certification Oversight Group (COG) will be advised of all challenges filed with the administrator and will provide guidance as appropriate to insure fair, confidential and unbiased treatment of all challenges.

Any dispute arising under the PJM System Operator Certification Program shall be subject to this non-binding PJM System Operator Certification Dispute Resolution Procedure. This procedure is accessible to anyone required to be PJM-certified.

The objectives of this Procedure are:
• To ensure fairness to each Candidate during and after a challenge.
• To effectively manage disputes that arise.
• To limit legal liability and other costs.
• To allow parties to retain control over resolution of the challenge or dispute.
• To promptlly arrive at a fair resolution.
• To maintain confidentiality.

Procedure for Examination Candidates
It is the responsibility of the Candidate to initiate any challenge to the PJM System Operator Certification Program regarding individual questions on the examination, exam administration or his/her examination score.

It is recommended that when completing the Post-Examination Exit Survey, the Candidate identifies any exam items which the Candidate intends to challenge, or any conditions which interfered with the Candidate’s capability to give full attention to completing the examination.

All challenges will be made in writing to the Administrator of the PJM System Operator Certification Program at PJM (hereafter Administrator).

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Role of Post-Examination Survey for Candidates Challenging Examination Questions or Exam Administration

At the time and date of the examination, Prometric, part of the Thomson Corporation, (hereafter Prometric) will conduct a Post-Examination Exit Survey.

**Items:** While completing the Survey, the Candidate should identify his/her disagreement with any exam question which the Candidate intends to challenge. Since the order of the questions is randomized, the Candidate needs to identify the content of the item and/or the answer which is of concern, and what the concern is.

**Exam Administration:** While completing the survey, the Candidate should identify any conditions experienced during the examination experience that lead to difficulties in giving full attention to completing the exam.

After Leaving the Prometric Testing Center

Within fourteen (14) days of the examination appointment, the Candidate must send a letter (via fax, mail, or electronically) to the PJM Certification Program Administrator.

- The Letter must include
  - The name, address and telephone number of the person making the challenge.
  - The Candidate’s Authorization number (issued by NERC).
  - The date of taking the Certification Examination.
  - The examination name (Generation or Transmission)
  - A statement of Basis of the complaint:
    - Exam Items: The Candidate will identify the item(s) or principal(s) being challenged.
    - Exam Administration: The Candidate will identify the conditions that lead to difficulties in giving full attention to completing the exam.

Procedures for Resolving Challenges to: Questions, Exam Administration, and/or Exam Results

1) Challenging Individual Examination Questions.
   a) During the Candidate’s Post-Examination Exit Survey, the Candidate should notify Prometric of any challenges to individual questions by entering a comment(s) in the COMMENT SECTION of the survey. Questions can be marked during the examination to help the candidate identify the content and answers for any question(s) he/she wishes to challenge. PJM receives a monthly report of Candidate Post-Examination Exit Surveys including comments made by Candidates which include any area of concern which may be identified by a Candidate.

   b) A Candidate must then submit a formal challenge in writing to the Administrator. The written challenge must be made within 14 days following the Candidate’s Certification Examination date.

   c) Upon receipt of the challenge, the Administrator will notify the Certification Exam Work Group (EWG) that a challenge has been made. The Administrator will not disclose the name of the Candidate making the challenge.

   d) The EWG will obtain for review from Applied Measurement Professionals (AMP) the question(s) containing the content and/or answers being challenged.
e) The EWG will review each question being challenged using 1) the standards used for development of exam items; 2) Versions of applicable PJM Manuals referenced by the challenged item(s); 3) Other applicable reference material used in exam development.
f) The EWG may also utilize the services of Applied Measurement Professionals, Inc. (AMP) in determining the validity of any question relative to the standards that were used in developing exam items.
g) The EWG will determine if a challenged question(s) is valid or not.
h) If the challenged question(s) is/are found not to be valid, the EWG will rewrite the question(s) in a valid format or have Prometric remove the item from the PJM Certification Examination question bank.
i) The EWG will inform the Administrator of their findings.
j) The Administrator will within seven (7) days notify the Candidate of the EWG’s decision.

2) Challenging the Administration of the Examination
a) While completing the Candidate’s Post-Examination Exit Survey, the Candidate should notify Prometric of any conditions experienced during the administration of the exam which prevented the Candidate from devoting full attention to completing the exam.
b) A Candidate must then, in writing, submit a formal challenge to the Administrator. The written challenge must be made within fourteen (14) days following the Candidate’s Certification Examination date.
c) Upon receipt of the challenge, within seven (7) days the Administrator will advise Prometric regarding a Candidate’s challenge of the exam administration experience. The Administrator will collect any relevant information from Prometric.
d) The Administrator will within seven (7) days advise the Certification Oversight Group (COG) of the submission of a challenge based on exam administration together with any relevant information submitted by Prometric.
e) The COG will review the challenge and information from NERC and Prometric to determine the merits of the challenge. If necessary, the COG may utilize the services of Applied Measurement Professionals, Inc. (AMP).
f) The COG will within thirty (30) days arrive at a determination of the merits of the challenge. The Administrator will within seven (7) Days advise the Candidate of the COG’s decision. If a Candidate failed the exam, the COG may allow the candidate to re-take the exam without additional charge. The COG may recommend revisions to the exam administration process which will be presented to Prometric and NERC for implementation.

3) Challenging the Examination Results Score
a) Upon notification of his/her Examination Score, a Candidate has fourteen (14) days to file, in writing, a formal challenge to his/her Score.
b) Challenges will be made, in writing, to the Administrator.
c) The Administrator will receive the challenge to determine on what grounds the challenge is being made.
d) The Administrator will within seven (7) days inform the COG of the challenge.
e) Together, the Administrator and the COG will review the challenge. If a review of the actual examination version taken is required, the EWG will do it, using AMP as needed.
f) The EWG will determine if the challenged examination questions are valid or not, with the assistance AMP if necessary. The EWG’s finding will be reported to the COG.
g) Within sixty (60) days the COG will rule on each challenge.
h) Within seven (7) days the Candidate will be notified in writing of the decision regarding his/her challenge.

Challenges on All Other Matters
a) An individual or entity challenging any aspect of the PJM System Operator Certification Program will submit the challenge in writing to the Administrator detailing the basis of the challenge and any supporting documentation related to the challenge.
b) The Administrator will within seven (7) days forward the challenge to the COG.
c) The COG will within thirty (30) days review the challenge and supporting documentation together with any other relevant information related to the challenge. The COG may invite the challenger and/or others to meet with the COG to make a presentation of the challenge.
d) Following the review of the challenge, the COG will within fourteen (14) days decide on the merits of the challenge together with any follow-up actions to be taken. The administrator will within seven (7) days advise the challenger of the COG’s decision and any recommendations.
e) If the challenger does not agree with the COG’s decision, the challenger may choose to submit the challenge to the PJM Alternate Dispute Resolution Committee as detailed in Schedule 5. of the PJM Operating Agreement.