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Annual Member Recertification Lessons Learned and Action Items Needed

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Background

We have made significant progress in reforming the Annual Membership Recertification process, but it still contains features that are unduly burdensome and need to improve.

1. Markets Officer Remove and Replace automation

2. Markets Officer Certification Procedure

Markets Officer Remove and Replace automation

- We have successfully automated the ability to replace principles for companies when the CEO, the CLO, the CFO, the CRO and the Markets Officer change, BUT
- The Markets Officer, Authorized Reps and Maintenance Managers are carved out for more onerous steps that currently are in a paper process that remains extremely burdensome.
 - When any of these individuals are changed, we all have to fill out paper forms to remove the individual [Medium Burden].
 - HOWEVER, to replace these people is also a paper process and that process involves obtaining signatures from the Officers as well as a notarized signature from the Corporate Secretary of our organizations. [High Burden].
 - At a minimum, this process should be automated; reexamination should also be considered.

Markets Officer Certification Procedure – DocuSign Link Problem

Many of us work with multiple PJM members to complete the Markets Officer certification.

It has been a great improvement to have designees identified to prepare the certification on the Officer's behalf.

HOWEVER, once prepared, there needs to be time between when the certification is prepared, and the link is sent to the officer before the link expires. In most instances, the direct reports to the Officer need time to brief the Officer, explain what is happening and review what is being signed.

PJM intends for the link to stay open 120 days but numerous reported incidents of the link closing much sooner.

- PROBLEM 1: The links do not stay open long enough for the types of reviews required to properly complete the Annual Membership Renewal activities.
- PROBLEM 2: Sometimes the links seem to break and don't even allow members to move to the next screen. Instead, it ping-pongs back to the first screen.
- PROBLEM 3: When the links are open, this year, we had officers try multiple times to initial and sign where designated with the process allowing them to initial but failing to provide ability to actually sign the certification. We tried once, we tried twice. And by try, I mean getting PJM to reopen the Membership Management Community portal so we could re-do the certification and then Operating Company teams rescheduling times with their officers to do it all over again.

It should be much simpler than it is.

Markets Officer Certification Procedure – DocuSign Initialing Problem

In past years, the Officer would sign and initial the docuSign after the Maintenance Manager reviews with the Officer's SME team.

PROBLEM: This year, with no instruction, the docuSign required the Maintenance Manager to initial the Certification, not the Officer.

Never intended for the Maintenance Manager to be initialing the Officer's Certification.

There should be an ability for the Maintenance Manager designee to work with people within the Officers organization, fill out the certification, send the certification to the officer and the officer should just be able to review the near final PDF of the Certification with his/her team, click initials, click a signature box and be done.

Maintenance Managers, who are not within the Operating Company, not the SMEs, not the Officer and not fully authorized by the Operating Company to sign compliance in this manner should not be initialing the Officer's Certification.

That wasn't how this workflow was supposed to be set up.

It should hopefully be feasible to adjust the workflow to accomplish the intent of allowing Maintenance Managers to coordinate with Operating Company employees reporting to the Officer, working together to fill out the form and present to the Officer for initialing and signature.



Thank you