



Member Company Confidentiality

Reference Guide

Document Information

Revision:	Rev. 1
Approval Date:	7/2/2019
Approved by:	Holly Hawkins
Document Title	Member Company Confidentiality
Document ID Number:	GUIDE-500-433
Information Security:	
Created:	
Department/Committee:	Legal
Author/Owner:	Legal
Last Edited:	7.2.2019
File Name:	Reference Guide – Confidentiality Tracking_7-2-2019.docx
Template:	

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1 Purpose

This reference document guides a Member Company through the process of signing the SERC Member Company Confidentiality Agreement (NDA) and managing the list of its employees who have a business need to access confidential information in their support of SERC activities. This document includes the procedure for implementing the SERC NDA, A Quick Reference Guide for the Confidentiality Tracking Designated Employee (CTDE), and a template for use by the Member Company for its employees to acknowledge in writing that they have read the NDA and understand its terms.

This document uses the following terms:

Member Company

SERC Reliability Corporation is a membership corporation. Entities that meet the eligibility requirements set forth in the SERC Bylaws and apply for membership in the Corporation are referred to individually as a "Member Company" (or Member) and collectively as "Member Companies."

Member Employee

A Member Employee is an employee of the Member Company who, by virtue of their involvement with SERC committees, subcommittees, working groups, or task forces, will be required to have access to confidential information in order to perform SERC Functions as set forth in Section 2 of the NDA.

SERC Member Company Confidentiality Agreement (NDA)

The SERC Member Company NDA is a contract between SERC and the Member Company, which contains obligations of both parties related to confidential information.

Confidentiality Tracking Designated Employee (CTDE)

The Member will designate an employee (Confidentiality Tracking Designated Employee, "CTDE") who will be responsible for ensuring that the Member complies with the NDA, especially Sections 2 and 3. The Member will advise the SERC office when this CTDE has been named. The Member Company may specify one additional contact as a backup CTDE.

Entity Administrator (EA)

An Entity Administrator (EA) is a contact that has full permissions for a given entity, and is responsible for creating and maintaining other contacts and user accounts within the SERC Member Portal.

2 Executing the SERC Member Company NDA

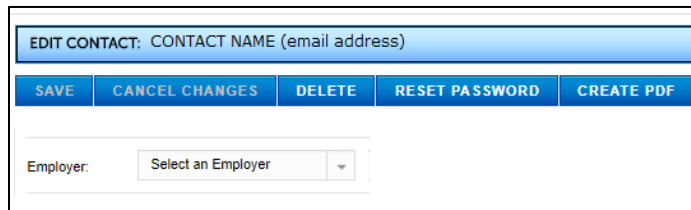
A SERC Member Executive (preferably its SERC Board of Directors member) will execute the NDA. SERC will countersign the NDA and return a fully executed copy to the Member.

3 Reporting Prerequisites

If the CTDE does not have a user ID for the SERC Compliance and Committee Portal (Portal), the EA for the Member Company will create a user ID for the CTDE.

The EA for the Member Company will assign the role “CTDE” for the CTDE in the Portal.

The EA will ensure that the Employer field on the Edit Contact screen is set to the Member Company for all Member Employees. If the Employer field does not match the selected Member Company in the portal, the contact does not appear on the signatory list.



EDIT CONTACT: CONTACT NAME (email address)

SAVE CANCEL CHANGES DELETE RESET PASSWORD CREATE PDF

Employer: Select an Employer

4 Reporting Requirements

In accordance with Section 3 of the NDA, the CTDE will develop and maintain a list of Member Employees who have been informed of the terms of the NDA, have been instructed that they are to comply with those terms, and have acknowledged in writing that they have read the NDA and understand its terms.

A suggested template for Member Employee acknowledgement is provided as Appendix A of this document. The Member Company is not required to use this template and may develop its own procedures for obtaining Member Employee acknowledgements. The Member Company shall maintain all signed acknowledgement forms. The Member Company should not submit the forms to SERC unless specifically requested to do so.

The CTDE will update the signatory list in the Portal as changes are made at the Member Company.

5 Quick Reference Guide

This section offers an overview of the process for updating the signatory list in the Portal. View the detailed [portal user guide](#) posted on the SERC public website for complete instructions.

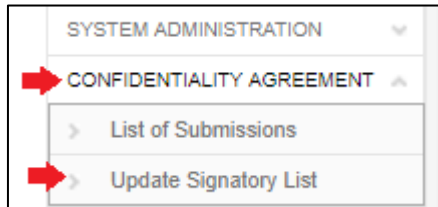
5.1 Access the Signatory List for Updates

The CTDE completes these steps.

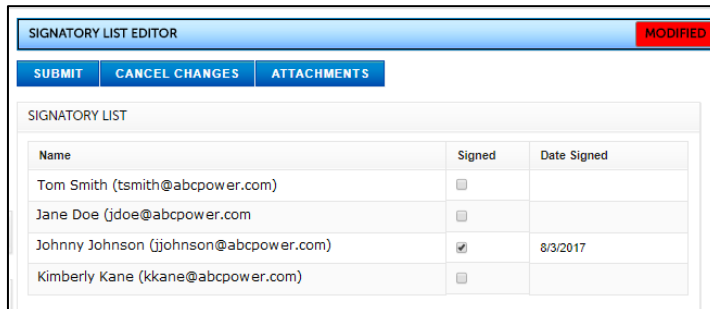
1. Log in to the Portal (<https://portal.serc1.org/>).
2. Select the Member Company from the dropdown list in the upper right-hand corner of the screen.



3. Select **CONFIDENTIALITY AGREEMENT > Update Signatory List** from the left menu.



4. Update the Signatory List. You can make any of the following updates to the list:
 - Add a Date Signed for an employee. (See section 5.1.1.)
 - Remove a Date Signed for an employee. (See section 5.1.2.)
 - Add an attachment to the list. (See section 5.1.3.)
5. After completing all updates, click **SUBMIT** in the ribbon menu.



5.1.1 Add a Date Signed for an Employee

1. Locate the employee name.
If the list does not include the employee name, contact the EA. Either the contact does not have a portal ID, or the Member Company is not specified as the Employer for the contact. The EA can either create a portal ID for the contact or can specify the contact's Employer.
2. Check the box in the **Signed** column.
3. In the **Date Signed** column, add the date the contact signed the NDA acknowledgement.

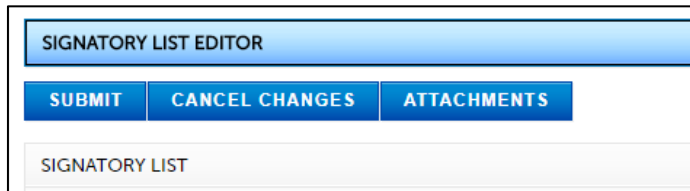
5.1.2 Remove a Date Signed for an Employee

1. Locate the employee name.

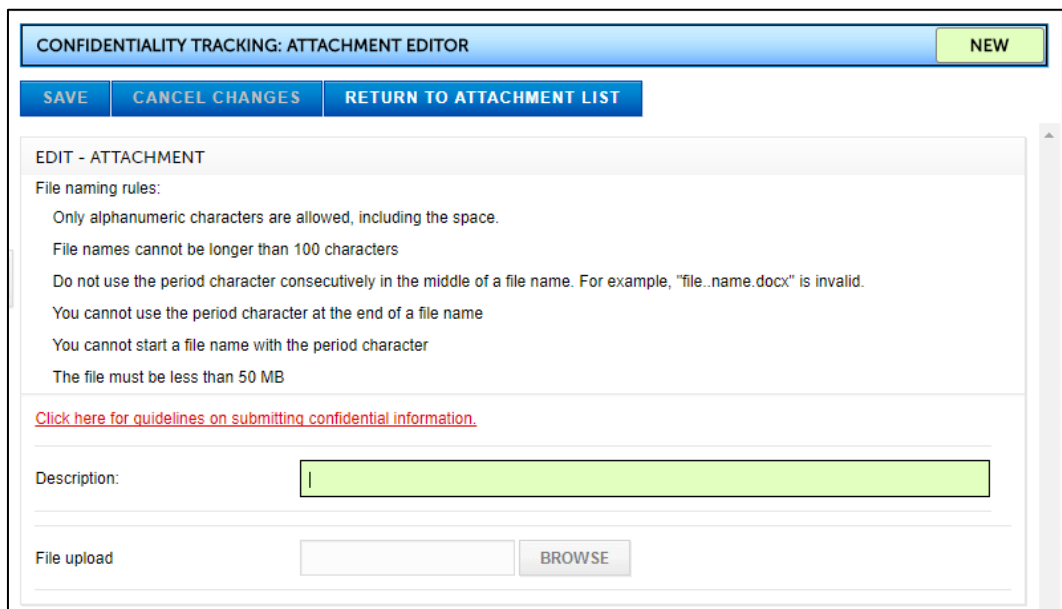
2. Uncheck the box in the **Signed** column.

5.1.3 Add an attachment to the list

1. Click **ATTACHMENTS** in the ribbon menu.



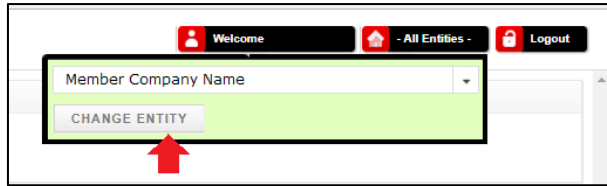
2. On the **Confidentiality Tracking: Attachments Search** screen, click **NEW ATTACHMENT** in the ribbon menu.



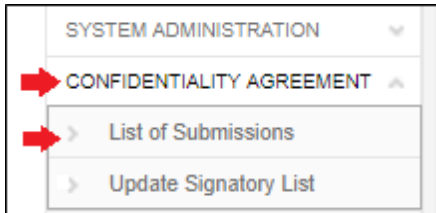
3. Enter a description, if desired, in the text field labeled Description, and then click **BROWSE**. Select the attachment document from the Windows Explorer dialog box.
4. Click **SAVE** in the ribbon menu.

5.2 View all Submissions

1. Log in to the Portal (<https://portal.serc1.org/>).
2. Select the Member Company from the dropdown list in the upper right-hand corner of the screen.



3. Select **CONFIDENTIALITY AGREEMENT**, then **List of Submissions** from the left menu.



4. The last submission displays on the CONFIDENTIALITY AGREEMENT TRACKING SEARCH screen. To view previous submissions, select **DISPLAY ALL** or **PREVIOUS 180 DAYS** in the menu ribbon.

CONFIDENTIALITY AGREEMENT TRACKING SEARCH

DISPLAY ALL
PREVIOUS 180 DAYS
CURRENT SUBMISSION
SIGNATORY LIST REPORT
UPDATE LOG REPORT

CONFIDENTIALITY AGREEMENT SEARCH RESULTS

	Entity	Submitted Date	Submitted By	Attachments
View	Member Company Name	11/29/2017	CTDE Contact Name	

RPP: Showing 1 to 1 of 1 entries

FIRST
PREVIOUS
1
NEXT
LAST

6 SERC Staff Contacts

If you have a question about the NDA or maintaining your signatory list, email support@serc1.org or contact the SERC office at (704) 357-7372.

Appendix A **Member Employee Acknowledgement
Template**

**SERC Confidentiality Agreement
Member Employee Acknowledgement**

The SERC Reliability Corporation and _____ (“Member Company”) have entered into the Confidentiality Agreement (the “Agreement”), dated _____. All capitalized terms contained in this acknowledgement shall have the meaning provided in the Agreement.

The Agreement addresses the treatment of Confidential Information by Member Parties and Member Employees. Section 3 of the Agreement requires that Member Employees “acknowledge in writing that they have read the Agreement and understand its terms prior to receiving access to any Confidential Information.”

I, _____, a Member Employee of “Member Company” hereby acknowledge in writing that I have read the Agreement and understand its terms.

By: _____
Signature

Title: _____

Date: _____

Document Revision Information

Revision	Date	Revised by	Comments
0.0	December 13, 2017	Teresa Glaze	Original Issue
1	7/2/2019	Teresa Glaze and Rebecca Poulsen	Annual Review