

Standards, Compliance, and Enforcement Bulletin

February 8–15, 2021

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ACTIVE STANDARDS POSTINGS

Current and Upcoming Ballots (ballot periods close at 8:00 p.m. Eastern)

| Project | Action | Start Date | End Date |
|---|---|------------|----------|
| Project 2019-06 – Cold Weather EOP-011-2, IRO-010-4, TOP-003-5 | Initial Ballots and Non-Binding Polls | 03/03/21 | 03/12/21 |
| Project 2016-02 – Modifications to CIP Standards Virtualization | Initial Ballots and Non-Binding Polls | 03/12/21 | 03/22/21 |

Join Ballot Pools

| Project | Action | Start Date | End Date |
|---|-----------------------------------|------------|----------|
| Project 2016-02 – Modifications to CIP Standards Virtualization | Join Ballot Pools | 01/22/21 | 02/19/21 |
| Project 2019-06 – Cold Weather EOP-011-2, IRO-010-4, TOP-003-5 | Join Ballot Pools | 01/27/21 | 02/25/21 |

Posted for Comment

| Project | Action | Start Date | End Date |
|---|--|------------|----------|
| Project 2019-04 – Modifications to PRC-005-6 SAR | Comment Period | 01/14/21 | 02/26/21 |
| Project 2019-06 – Cold Weather EOP-011-2, IRO-010-4, TOP-003-5 | Comment Period | 01/27/21 | 03/12/21 |
| Project 2016-02 – Modifications to CIP Standards Virtualization | Comment Period | 01/22/21 | 03/22/21 |
| OTHER ACTIVE COMMENT PERIODS | | | |
| Posted for Comment | | | |
| Posting | Action | Start Date | End Date |
| NEW Comment Period Open for Draft Reliability Guideline: Operating Reserve Management - Version 3: This reliability guideline is intended to provide recommended practices for the management of an appropriate mix of Operating Reserve as well as readiness to respond to loss of load events. It also provides guidance with respect to the management of Operating Reserve required to meet the NERC Reliability Standards. The guideline applies primarily to Balancing Authorities (BAs) or, as appropriate, contingency reserve sharing groups (RSGs), regulation RSGs, or frequency response sharing groups. For ease of reference, this guideline uses the common term “responsible entity” for these entities, and allows the readers to make the appropriate substitution applying to them when participating or not in various groups. | Please submit comments via email using the comment form . | 02/01/21 | 03/18/21 |
| NEW Comment Period Open for Draft Balancing and Frequency Control Reference Document: The NERC Resources Subcommittee (RS) drafted this reference document to cover balancing and frequency control concepts, issues, and recommendations. The document is intended to explain the concepts and issues of balancing and frequency control. The goal is to provide an understanding of the fundamentals. Nothing in this document is intended to be used for compliance purposes or to establish obligations. | Please submit comments via email by using the comment form . | 02/04/21 | 03/21/21 |

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|---|---|-----------------|-----------------|
| <p>NEW Comment Period Open for Proposed Revisions to Section 1003 of the NERC Rules of Procedure: NERC is proposing revisions to section 1003 of its Rules of Procedure (ROP) in accordance with the directive in the FERC Order on Compliance Filings related to NERC’s Five Year Performance Assessment. Section 1003 of the ROP describes NERC’s infrastructure security program, including, among other things, its operation of the Electricity Information Sharing and Analysis Center (E-ISAC). Consistent with FERC’s directive, the proposed revision modifies section 1003 to require NERC to share with FERC any All-Points Bulletins. NERC intends to submit these changes to the NERC Board of Trustees for approval at their May 2021 meeting.</p> | <p>Please submit comments electronically to ROPcomments@nerc.net.</p> | <p>02/05/21</p> | <p>03/22/21</p> |
|---|---|-----------------|-----------------|

STANDARDS NEWS

NEW Save the Dates for Project 2016-02 – Modification to CIP Standards Industry Webinars

The Project 2016-02 – Modifications to CIP Standards drafting team will be hosting a two-part industry webinar series. The first, on February 23, will provide a high level overview of the modifications made to CIP-002-CIP-011 and CIP-013, definitions, and other topics requiring additional information. A poll will be conducted at the end of the webinar to identify subjects to be expanded on during the second webinar, on March 3, which will address the most requested topics from the poll. A question and answer session will be held following each webinar presentation. Registration details will be available under [Upcoming Events](#).

Quick Links

- [Register in the SBS](#)
- [Projected Standards Posting Schedule](#)
- [Project Tracking Spreadsheet](#)
- [2019–2021 Reliability Standards Development Plan](#)
- [Quality Review Application](#)
- [One-Stop Shop \(Status, Purpose, Implementation Plans, FERC Orders, RSAWs\)](#)
- [CIP Standards Efficiency Review](#)
- [Submit Questions or Feedback](#)

GENERAL COMPLIANCE AND ENFORCEMENT NEWS

NEW Compliance Guidance Update

NERC has posted three new proposed Implementation Guidance documents to the Proposed Implementation Guidance section of the [NERC Compliance Guidance web page](#):

- [CIP-005-7 R3 Electronic Security Perimeters \(2019-03 SDT\)](#)
- [CIP-010-4 R1 Configuration Change Management and Vulnerability Assessments \(2019-03 SDT\)](#)
- [CIP-013-2 Supply Chain Risk Management Plans \(2019-03 SDT\)](#)

NEW Compliance Monitoring and Enforcement Annual Report Now Available

This annual report highlights key ERO Enterprise Compliance Monitoring and Enforcement Program (CMEP) activities that occurred in 2020, provides information and statistics regarding those activities, and identifies the ERO Enterprise's 2021 CMEP priorities. In 2020, CMEP activities throughout the ERO Enterprise reflected continuing implementation of a risk-based approach that has enabled the ERO Enterprise to focus resources on risks to the reliability of the BPS, risks specific to registered entities, and risks pertaining to serious noncompliance. In 2020, the ERO Enterprise:

- Worked with the Federal Energy Regulatory Commission (FERC), Canadian provincial authorities, and industry to maintain the reliability of the bulk power system during the novel coronavirus pandemic through activities such as:
 - Providing guidance to industry regarding regulatory discretion during the pandemic;
 - Posting frequently asked questions regarding the guidance;
 - Temporarily expanding the Self-Logging program to address minimal and moderate risk potential noncompliance related to registered entities' coronavirus response efforts;
 - Moving to off-site compliance monitoring engagements, implementing the use of technology to make those engagements successful, and documenting when on-site follow-up compliance monitoring engagements will be needed once conditions permit in order to resolve any remaining concerns; and
 - Conducting remote visits to evaluate changed conditions related to organization certification;
- Completed the roll-out of the Centralized Organization Registration ERO System (CORES) project;
- Prepared for the release of the Align and Secure Evidence Locker (SEL) tools in 2021;

Quick Links

- [Compliance Monitoring & Enforcement Program One-Stop Shop](#)
- [CIP V5 Transition Program](#)
- [ERO Enterprise Program Alignment Process](#)
- [Consistency Reporting Tool \(EthicsPoint\)](#)
- [Risk-Based Registration Initiative](#)
- [Reliability Standard Audit Worksheets](#)
- [Enforcement & Mitigation: Enforcement Actions](#)
- [Align Project \(formerly CMEP Technology Project\)](#)

- Implemented a new process for filing and submittal of CIP noncompliance information to FERC in which NERC requests that FERC treat the entire filing or submittal as Critical Energy/Electric Infrastructure Information (CEII) and does not publicly post redacted CIP noncompliance information;
- Addressed FERC directives in its order accepting NERC's Five-Year Performance Assessment through proposed revisions to the NERC Rules of Procedure and required compliance filings;
- Monitored RE implementation of Compliance Oversight Plans (COPs) for their registered entities;
- Promoted a focus on internal controls in all CMEP activities, ranging from compliance monitoring to mitigation of noncompliance;
- Placed significant emphasis on outreach to industry on topics ranging from common themes seen in significant Critical Infrastructure Protection violations, new and revised Reliability Standards impacting supply chain risk management and low impact Bulk Electric System (BES) Cyber Systems, and trends and best practices seen in higher risk violations of currently enforceable Reliability Standards such as cyber and physical security, Facility Ratings, and vegetation management;
- Endorsed Implementation Guidance and CMEP Practice Guides in areas addressing inverter-based resources, evaluation of Facility Ratings and System Operating Limits, generation segmentation, communications between control centers, and Real-Time Assessment quality of analysis;
- Collaborated with FERC and jointly published a Supply Chain white paper to help the electric sector identify vendors of components on their networks so that they can take any necessary action to mitigate potential risks to the bulk power system;
- In collaboration with National Institute of Standards and Technology (NIST), assessed and updated the NERC CIP Reliability Standards mapping to the NIST Cybersecurity Framework; and
- Continued to work on aligning programs across the ERO Enterprise to create greater consistency in its approach to CMEP activities.

In 2021, the ERO Enterprise plans to continue its focus on effective program alignment and harmonization in risk-based compliance monitoring and enforcements. Specific priorities for 2021 include evaluating and filling any gaps created by coronavirus-related limitations on compliance monitoring, enforcement, registration, and certification; delivering the Align and SEL tools; continuing to embed internal control activities within the compliance monitoring program; working as an ERO Enterprise with stakeholder feedback to evaluate compliance monitoring and enforcement processes for efficiency; and harmonizing processes where appropriate. The full report is currently available in as [Agenda Item 5](#) in the BOTCC agenda package.

OTHER NEWS

NEW NERC, EPRI, NATF, and NAGF to Host Informational Webinar on IEEE P2800 Activities

NERC, in coordination with the Electric Power Research Institute, the North American Transmission Forum, and the North American Generator Forum, are jointly holding an informational webinar on February 18 to provide an update on ballot of IEEE P2800, *Draft Standard for Interconnection and Interoperability of Inverter-Based Resources (IBRs) Interconnecting with Associated Transmission and Sub-Transmission Electric Power Systems*. NERC and its Inverter-Based Resource Performance Working Group (IRPWG) have been supporting the developments of this draft standard in an effort to support minimum technical requirements for interconnection of bulk power system-connected inverter-based resources such as wind, solar photovoltaic, energy storage systems, and hybrid power plants. Establishing standardized equipment capabilities, performance, and interoperability of these resources through IEEE P2800 will support the reliability, resilience, and security of the bulk power system across North America.

The IEEE P2800 working group has recently approved a draft to move towards IEEE balloting and the ballot pool is expected to be formed in February. This informational webinar will review the purpose and scope of the draft standard along with selected draft requirements, and provide step-by-step instructions for how to join the IEEE ballot group. More information on IEEE P2800 is available on the [IEEE Standards Association](#) website. Registration details are available under [Upcoming Events](#).

NEW NERC News Posted

NERC News, NERC's monthly newsletter is now available for [January](#). Highlights in this edition include:

- ERO Executive Spotlight features Mark Lauby, Senior Vice President and Chief Engineer
- Reliability Leadership Summit Focuses on Wide-Ranging Known and Potential Risks to Reliability and Security
- Statement on Appointment of New FERC Chair
- ERO Enterprise Further Extends Self-Logging Program Expansion and Deferment of On-Site Activities through Mid-2021
- Request for Volunteers: NERC Electromagnetic Pulse Working Group
- Upcoming Events

STANDARDS SUBJECT TO FUTURE ENFORCEMENT

Please refer to the [U.S. Effective Dates page](#) for the most up-to-date information on effective dates and for more detail on the below.

U.S. Effective Dates for Reliability Standards

| U.S. Effective Date | Standard(s) |
|--|--|
| April 1, 2021 | FAC-002-3 – Facility Interconnection Studies |
| | INT-006-5 – Evaluation of Interchange Transactions |
| | INT-009-3 – Implementation of Interchange |
| | IRO-002-7 – Reliability Coordination – Monitoring and Analysis |
| | IRO-010-3 – Reliability Coordinator Data Specification and Collection |
| | MOD-031-3 – Demand and Energy Data |
| | MOD-033-2 – Steady-State and Dynamic System Model Validation |
| | NUC-001-4 – Nuclear Plant Interface Coordination |
| | PER-006-1 – Specific Training for Personnel |
| | PRC-004-6 – Protection System Misoperation Identification and Correction |
| | PRC-006-4 – Automatic Underfrequency Load Shedding |
| PRC-027-1 – Coordination of Protection Systems for Performance During Faults | |
| TOP-001-5 – Transmission Operations | |
| TOP-003-4 – Operational Reliability Data | |
| July 1, 2021 | TPL-007-4 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements R12 and R13) |
| January 1, 2022 | PRC-012-2 – Remedial Action Schemes (Requirement R9) |
| | TPL-007-4 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements R6, 6.1–6.4, R10, 10.1–10.4) |
| July 1, 2022 | CIP-012-1 – Cyber Security – Communications between Control Centers |
| | PRC-002-2 – Disturbance Monitoring and Reporting Requirements (100% compliance for Requirements R2–R4, R6–R11) |
| October 1, 2022 | PRC-024-3 – Frequency and Voltage Protection Settings for Generating Resources |
| January 1, 2023 | TPL-007-4 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements R3, R4, 4.1, 4.1.1–4.1.2, 4.2, 4.3, 4.3.1, R8, 8.1, 8.1.1–8.1.2, 8.2, 8.3, 8.3.1) |
| July 1, 2023 | TPL-001-5.1 – Transmission System Planning Performance Requirements Implementation Plan |

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| January 1, 2024 | TPL-007-4 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements R7, 7.1–7.3, 7.3.1–7.3.2, 7.4, 7.4.1–7.4.3, 7.5, 7.5.1, R11, 11.1–11.3, 11.3.1–11.3.2, 11.4, 11.4.1–11.4.3, 11.5, and 11.5.1) |
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BOARD OF TRUSTEES AND FERC ACTION

NEW Board Welcomes New Trustees, New Chair; Recognizes Outgoing Chair Thilly and Trustee Schori

NERC’s first Board of Trustees meeting of 2021 welcomed two new Board members, reflected on 2020 achievements and focused on current supply chain efforts. The Board acted on two reliability proceedings and accepted the framework to address known and emerging reliability and security risks.

Ken DeFontes and Robert Clarke presided over the meeting as the Board’s new chair and vice chair, respectively. DeFontes takes over from Roy Thilly, who served as the Board chair from Feb. 2017–Feb. 2021 and will continue as a trustee. Outgoing Board member Jan Schori was honored with a resolution in recognition of her contributions to NERC and the industry. The Board welcomed returning trustees George Hawkins and Rob Manning as well as two new trustees: Larry Irving and Sue Kelly. Irving is president and chief executive officer (CEO) of the Irving Group, providing strategic advice and assistance to international telecommunications and information technology companies. Kelly served as president and CEO of the American Public Power Association, the national trade association representing public power utilities, from 2014 to 2019. The full announcement is available [here](#).

NEW NERC Filings

On February 5, 2021, NERC submitted to FERC a [notice of withdrawal](#) for proposed Reliability Standard CIP-002-6. You can find all NERC filings for 2021 [here](#).

On February 3, 2021, NERC filed the [Fourth Quarter 2020 Application for Approval of Reliability Standards](#) with the Nova Scotia Utility and Review Board. NERC’s Canadian Filings (Nova Scotia) are available [here](#).

UPCOMING EVENTS

For information about other NERC events, such as meetings and conference calls for other standing committees, subcommittees, task forces, and working groups, please refer to the [NERC calendar](#).

Workshops and Conferences

There are no workshops or conferences currently scheduled.

Webinars

- **NEW** Project 2019-04 – Modifications to PRC-005-6 Webinar – 1:30–3:00 p.m. Eastern, February 4, 2021 | [Register](#)
- **NEW** Update on IEEE P2800 Activities – 1:00–2:00 p.m. Eastern, February 18, 2021 | [Register](#)
- **NEW** Project 2016-02 – Modification to CIP Standards Industry Webinar Part 1 – 1:00–3:00 p.m. Eastern, February 23, 2021 | **Registration Details Coming Soon**
- **NEW** Project 2016-02 – Modification to CIP Standards Industry Webinar Part 2 – 3:00–5:00 p.m. Eastern, March 3, 2021 | **Registration Details Coming Soon**

Standing Committee Meetings and Conference Calls

- Personnel Certification Governance Committee Meeting – February 8–10, 2021 | [Register](#) | [Agenda](#)
- Standards Committee Meeting – 1:00–3:00 p.m. Eastern, February 17, 2021 | [Register](#)

Standard Drafting Team Meetings and Conference Calls

The [Standards calendar](#) provides dial-in information for the in-person meetings below. The calendar also provides information about conference calls that drafting teams may hold in addition to in-person meetings.

There are no standard drafting team meetings currently scheduled.

ABOUT THE STANDARDS, COMPLIANCE, AND ENFORCEMENT BULLETIN

This weekly bulletin compiles a list of standards, compliance, and enforcement projects with actionable deadlines, as well as upcoming events, recently posted resources, other NERC documents posted for comment, and other relevant news and information. Please email [Amy Klagholz](mailto:amy.klagholz@nerc.gov) with feedback on this bulletin. The current bulletin and old bulletins are available under “Program News” on both the [Standards home page](#) and the [Compliance & Enforcement home page](#).

If you would like to receive this bulletin or be added to the distribution list for a particular project, please submit a ticket through the [Help Desk](#). Select the “NERC Email Distribution List” option under the “Applications” menu. In the Description Box, please specify which lists you would like your email address to be added to or note which announcements you would like to receive. This bulletin is distributed to several lists, including the Standards distro list (Standards-specific announcements) and the NERC-info distro list (most NERC announcements).