



Registration Standards Applicability List for Coordinated Functional Registration (CFR) JRO00084

(Formerly JRO Type 2)

Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Last Update 8/23/2010

Member Entities

Original CFR Effective Registration Date

NCR00683 - American Municipal Power Inc.	8/23/2010
NCR11015 - Kentucky Municipal Power Agency	8/23/2010



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: BAL-005-0.1b

Requirements:

R1. All generation, transmission, and load operating within an Interconnection must be included within the metered boundaries of a Balancing Authority Area.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Each Load-Serving Entity with load operating in an Interconnection shall ensure that those loads are included within the metered boundaries of a Balancing Authority Area.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-001-1

Requirements:

R1. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall have procedures for the recognition of and for making their operating personnel aware of sabotage events on its facilities and mult

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall have procedures for the communication of information concerning sabotage events to appropriate parties in the Interconnection.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall provide its operating personnel with sabotage response guidelines, including personnel to contact, for reporting disturbances due t

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-002-1

Requirements:

R1. Critical Asset Identification Method — The Responsible Entity shall identify and document a risk-based assessment methodology to use to identify its Critical Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. The Responsible Entity shall maintain documentation describing its risk-based assessment methodology that includes procedures and evaluation criteria.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. The risk-based assessment shall consider the following assets:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.1. Control centers and backup control centers performing the functions of the entities listed in the Applicability section of this standard.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.2. Transmission substations that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.3. Generation resources that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.4. Systems and facilities critical to system restoration, including blackstart generators and substations in the electrical path of transmission lines used for initial system restoration.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.5. Systems and facilities critical to automatic load shedding under a common control system capable of shedding 300 MW or more.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.6. Special Protection Systems that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-002-1

Requirements:

R1.2.7. Any additional assets that support the reliable operation of the Bulk Electric System that the Responsible Entity deems appropriate to include in its assessment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Critical Asset Identification - The Responsible Entity shall develop a list of its identified Critical Assets determined through an annual application of the risk-based assessment methodology required in R1. The Responsible Entity shall review this list a

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Critical Cyber Asset Identification - Using the list of Critical Assets developed pursuant to Requirement R2, the Responsible Entity shall develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset. Examples at con

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Cyber Asset uses a routable protocol to communicate outside the Electronic Security Perimeter; or,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Cyber Asset uses a routable protocol within a control center; or,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. The Cyber Asset is dial-up accessible.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Annual Approval - A senior manager or delegate(s) shall approve annually the list of Critical Assets and the list of Critical Cyber Assets. Based on Requirements R1, R2, and R3 the Responsible Entity may determine that it has no Critical Assets or Critica

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-002-2

Requirements:

R1. Critical Asset Identification Method — The Responsible Entity shall identify and document a risk-based assessment methodology to use to identify its Critical Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. The Responsible Entity shall maintain documentation describing its risk-based assessment methodology that includes procedures and evaluation criteria.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. The risk-based assessment shall consider the following assets:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.1. Control centers and backup control centers performing the functions of the entities listed in the Applicability section of this standard.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.2. Transmission substations that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.3. Generation resources that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.4. Systems and facilities critical to system restoration, including blackstart generators and substations in the electrical path of transmission lines used for initial system restoration.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.5. Systems and facilities critical to automatic load shedding under a common control system capable of shedding 300 MW or more.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2.6. Special Protection Systems that support the reliable operation of the Bulk Electric System.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-002-2

Requirements:

R1.2.7. Any additional assets that support the reliable operation of the Bulk Electric System that the Responsible Entity deems appropriate to include in its assessment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Critical Asset Identification — The Responsible Entity shall develop a list of its identified Critical Assets determined through an annual application of the risk-based assessment methodology required in R1. The Responsible Entity shall review this list a

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Critical Cyber Asset Identification — Using the list of Critical Assets developed pursuant to Requirement R2, the Responsible Entity shall develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset. Examples at con

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Cyber Asset uses a routable protocol to communicate outside the Electronic Security Perimeter; or,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Cyber Asset uses a routable protocol within a control center; or,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. The Cyber Asset is dial-up accessible.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Annual Approval — The senior manager or delegate(s) shall approve annually the risk-based assessment methodology, the list of Critical Assets and the list of Critical Cyber Assets. Based on Requirements R1, R2, and R3 the Responsible Entity may determine

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-1

Requirements:

R1. Cyber Security Policy - The Responsible Entity shall document and implement a cyber security policy that represents management's commitment and ability to secure its Critical Cyber Assets. The Responsible Entity shall, at minimum, ensure the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. The cyber security policy addresses the requirements in Standards CIP-002 through CIP-009, including provision for emergency situations.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. The cyber security policy is readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Annual review and approval of the cyber security policy by the senior manager assigned pursuant to R2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Leadership - The Responsible Entity shall assign a senior manager with overall responsibility for leading and managing the entity's implementation of, and adherence to, Standards CIP-002 through CIP-009

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. The senior manager shall be identified by name, title, business phone, business address, and date of designation.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. Changes to the senior manager must be documented within thirty calendar days of the effective date.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.3. The senior manager or delegate(s), shall authorize and document any exception from the requirements of the cyber security policy.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-1

Requirements:

R3. Exceptions - Instances where the Responsible Entity cannot conform to its cyber security policy must be documented as exceptions and authorized by the senior manager or delegate(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. Exceptions to the Responsible Entity's cyber security policy must be documented within thirty days of being approved by the senior manager or delegate(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. Documented exceptions to the cyber security policy must include an explanation as to why the exception is necessary and any compensating measures, or a statement accepting risk.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. Authorized exceptions to the cyber security policy must be reviewed and approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid. Such review and approval shall be documented.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Information Protection - The Responsible Entity shall implement and document a program to identify, classify, and protect information associated with Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Critical Cyber Asset information to be protected shall include, at a minimum and regardless of media type, operational procedures, lists as required in Standard CIP-002, network topology or similar diagrams, floor plans of computing centers that contain

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. The Responsible Entity shall classify information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. The Responsible Entity shall, at least annually, assess adherence to its Critical Cyber Asset information protection program, document the assessment results, and implement an action plan to remediate deficiencies identified during the assessment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-1

Requirements:

R5. Access Control — The Responsible Entity shall document and implement a program for managing access to protected Critical Cyber Asset information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1. The Responsible Entity shall maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.1. Personnel shall be identified by name, title, business phone and the information for which they are responsible for authorizing access.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.2. The list of personnel responsible for authorizing access to protected information shall be verified at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall review at least annually the access privileges to protected information to confirm that access privileges are correct and that they correspond with the Responsible Entity's needs and appropriate personnel roles and responsibilities.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3. The Responsible Entity shall assess and document at least annually the processes for controlling access privileges to protected information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Change Control and Configuration Management — The Responsible Entity shall establish and document a process of change control and configuration management for adding, modifying, replacing, or removing Critical Cyber Asset hardware or software, and implementing

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-2

Requirements:

R1. Cyber Security Policy — The Responsible Entity shall document and implement a cyber security policy that represents management's commitment and ability to secure its Critical Cyber Assets. The Responsible Entity shall, at minimum, ensure the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. The cyber security policy addresses the requirements in Standards CIP-002-2 through CIP-009-2, including provision for emergency situations.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. The cyber security policy is readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Annual review and approval of the cyber security policy by the senior manager assigned pursuant to R2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Leadership — The Responsible Entity shall assign a single senior manager with overall responsibility and authority for leading and managing the entity's implementation of, and adherence to, Standards CIP-002-2 through CIP-009-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. The senior manager shall be identified by name, title, and date of designation.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. Changes to the senior manager must be documented within thirty calendar days of the effective date.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.4. The senior manager or delegate(s), shall authorize and document any exception from the requirements of the cyber security policy.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-2

Requirements:

R3. Exceptions — Instances where the Responsible Entity cannot conform to its cyber security policy must be documented as exceptions and authorized by the senior manager or delegate(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. Exceptions to the Responsible Entity's cyber security policy must be documented within thirty days of being approved by the senior manager or delegate(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. Documented exceptions to the cyber security policy must include an explanation as to why the exception is necessary and any compensating measures.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. Authorized exceptions to the cyber security policy must be reviewed and approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid. Such review and approval shall be documented.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Information Protection — The Responsible Entity shall implement and document a program to identify, classify, and protect information associated with Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Critical Cyber Asset information to be protected shall include, at a minimum and regardless of media type, operational procedures, lists as required in Standard CIP-002-2, network topology or similar diagrams, floor plans of computing centers that con

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. The Responsible Entity shall classify information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. The Responsible Entity shall, at least annually, assess adherence to its Critical Cyber Asset information protection program, document the assessment results, and implement an action plan to remediate deficiencies identified during the assessment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-003-2

Requirements:

R5. Access Control — The Responsible Entity shall document and implement a program for managing access to protected Critical Cyber Asset information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1. The Responsible Entity shall maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.1. Personnel shall be identified by name, title, and the information for which they are responsible for authorizing access.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.2. The list of personnel responsible for authorizing access to protected information shall be verified at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall review at least annually the access privileges to protected information to confirm that access privileges are correct and that they correspond with the Responsible Entity's needs and appropriate personnel roles and responsibilities.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3. The Responsible Entity shall assess and document at least annually the processes for controlling access privileges to protected information.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Change Control and Configuration Management — The Responsible Entity shall establish and document a process of change control and configuration management for adding, modifying, replacing, or removing Critical Cyber Asset hardware or software, and implement

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-1

Requirements:

R1. Awareness — The Responsible Entity shall establish, maintain, and document a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access receive on-going reinforcement in sound security practices. The pr

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Training — The Responsible Entity shall establish, maintain, and document an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets, and review the program annually an

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. This program will ensure that all personnel having such access to Critical Cyber Assets, including contractors and service vendors, are trained within ninety calendar days of such authorization.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. Training shall cover the policies, access controls, and procedures as developed for the Critical Cyber Assets covered by CIP-004, and include, at a minimum, the following required items appropriate to personnel roles and responsibilities:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2.1. The proper use of Critical Cyber Assets;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2.2. Physical and electronic access controls to Critical Cyber Assets;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2.3. The proper handling of Critical Cyber Asset information; and,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2.4. Action plans and procedures to recover or re-establish Critical Cyber Assets and access thereto following a Cyber Security Incident.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-1

Requirements:

R2.3. The Responsible Entity shall maintain documentation that training is conducted at least annually, including the date the training was completed and attendance records.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Personnel Risk Assessment —The Responsible Entity shall have a documented personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to existing collective bargaining unit agreements, for personnel having

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Responsible Entity shall ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification in the U.S.) and seven-year criminal check. The Responsible Entity may conduct more detailed reviews, as

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Responsible Entity shall update each personnel risk assessment at least every seven years after the initial personnel risk assessment or for cause.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. The Responsible Entity shall document the results of personnel risk assessments of its personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets, and that personnel risk assessments of contractor and service vendor

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Access — The Responsible Entity shall maintain list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Responsible Entity shall review the list(s) of its personnel who have such access to Critical Cyber Assets quarterly, and update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, or any change

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-1

Requirements:

R4.2. The Responsible Entity shall revoke such access to Critical Cyber Assets within 24 hours for personnel terminated for cause and within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-2

Requirements:

- R1. Awareness — The Responsible Entity shall establish, document, implement, and maintain a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2. Training — The Responsible Entity shall establish, document, implement, and maintain an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets. The cyber security tra

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.1. This program will ensure that all personnel having such access to Critical Cyber Assets, including contractors and service vendors, are trained prior to their being granted such access except in specified circumstances such as an emergency.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2. Training shall cover the policies, access controls, and procedures as developed for the Critical Cyber Assets covered by CIP-004-2, and include, at a minimum, the following required items appropriate to personnel roles and responsibilities:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2.1. The proper use of Critical Cyber Assets;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2.2. Physical and electronic access controls to Critical Cyber Assets;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2.3. The proper handling of Critical Cyber Asset information; and,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2.4. Action plans and procedures to recover or re-establish Critical Cyber Assets and access thereto following a Cyber Security Incident.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-2

Requirements:

R2.3. The Responsible Entity shall maintain documentation that training is conducted at least annually, including the date the training was completed and attendance records.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Personnel Risk Assessment —The Responsible Entity shall have a documented personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to existing collective bargaining unit agreements, for personnel havin

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Responsible Entity shall ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification in the U.S.) and seven-year criminal check. The Responsible Entity may conduct more detailed reviews, as

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Responsible Entity shall update each personnel risk assessment at least every seven years after the initial personnel risk assessment or for cause.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.3. The Responsible Entity shall document the results of personnel risk assessments of its personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets, and that personnel risk assessments of contractor and service vendo

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Access — The Responsible Entity shall maintain list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Responsible Entity shall review the list(s) of its personnel who have such access to Critical Cyber Assets quarterly, and update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, or any change

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-004-2

Requirements:

R4.2. The Responsible Entity shall revoke such access to Critical Cyber Assets within 24 hours for personnel terminated for cause and within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-1

Requirements:

R1. Electronic Security Perimeter — The Responsible Entity shall ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. The Responsible Entity shall identify and document the Electronic Security Perimeter(s) and all access poi

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Access points to the Electronic Security Perimeter(s) shall include any externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. For a dial-up accessible Critical Cyber Asset that uses a non-routable protocol, the Responsible Entity shall define an Electronic Security Perimeter for that single access point at the dial-up device.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Communication links connecting discrete Electronic Security Perimeters shall not be considered part of the Electronic Security Perimeter. However, end points of these communication links within the Electronic Security Perimeter(s) shall be considered acce

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Any non-critical Cyber Asset within a defined Electronic Security Perimeter shall be identified and protected pursuant to the requirements of Standard CIP-005.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Cyber Assets used in the access control and monitoring of the Electronic Security Perimeter(s) shall be afforded the protective measures as a specified in Standard CIP-003, Standard CIP-004 Requirement R3, Standard CIP-005 Requirements R2 and R3, Standard

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. The Responsible Entity shall maintain documentation of Electronic Security Perimeter(s), all interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), all electronic access points to the Electronic Security Perimet

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-1

Requirements:

R2. Electronic Access Controls — The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. These processes and mechanisms shall use an access control model that denies access by default, such that explicit access permissions must be specified.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. At all access points to the Electronic Security Perimeter(s), the Responsible Entity shall enable only ports and services required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and shall document, individually or

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.3. The Responsible Entity shall maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.4. Where external interactive access into the Electronic Security Perimeter has been enabled, the Responsible Entity shall implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5. The required documentation shall, at least, identify and describe:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.1. The processes for access request and authorization.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.2. The authentication methods.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-1

Requirements:

R2.5.3. The review process for authorization rights, in accordance with Standard CIP-004 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.4. The controls used to secure dial-up accessible connections.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.6. Appropriate Use Banner — Where technically feasible, electronic access control devices shall display an appropriate use banner on the user screen upon all interactive access attempts. The Responsible Entity shall maintain a document identifying the content

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Monitoring Electronic Access — The Responsible Entity shall implement and document an electronic or manual process(es) for monitoring and logging access at access points to the Electronic Security Perimeter(s) twenty-four hours a day, seven days a week.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. For dial-up accessible Critical Cyber Assets that use non-routable protocols, the Responsible Entity shall implement and document monitoring process(es) at each access point to the dial-up device, where technically feasible.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. Where technically feasible, the security monitoring process(es) shall detect and alert for attempts at or actual unauthorized accesses. These alerts shall provide for appropriate notification to designated response personnel. Where alerting is not technic

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of the electronic access points to the Electronic Security Perimeter(s) at least annually. The vulnerability assessment shall include, at a minimum, the

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. A document identifying the vulnerability assessment process;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-1

Requirements:

R4.2. A review to verify that only ports and services required for operations at these access points are enabled;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. The discovery of all access points to the Electronic Security Perimeter;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.4. A review of controls for default accounts, passwords, and network management community strings; and,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.5. Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Documentation Review and Maintenance — The Responsible Entity shall review, update, and maintain all documentation to support compliance with the requirements of Standard CIP-005.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1. The Responsible Entity shall ensure that all documentation required by Standard CIP-005 reflect current configurations and processes and shall review the documents and procedures referenced in Standard CIP-005 at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3. The Responsible Entity shall retain electronic access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-2

Requirements:

R1. Electronic Security Perimeter — The Responsible Entity shall ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. The Responsible Entity shall identify and document the Electronic Security Perimeter(s) and all access poi

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Access points to the Electronic Security Perimeter(s) shall include any externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. For a dial-up accessible Critical Cyber Asset that uses a non-routable protocol, the Responsible Entity shall define an Electronic Security Perimeter for that single access point at the dial-up device.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Communication links connecting discrete Electronic Security Perimeters shall not be considered part of the Electronic Security Perimeter. However, end points of these communication links within the Electronic Security Perimeter(s) shall be considered acce

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Any non-critical Cyber Asset within a defined Electronic Security Perimeter shall be identified and protected pursuant to the requirements of Standard CIP-005-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall be afforded the protective measures as a specified in Standard CIP-003-2; Standard CIP-004-2 Requirement R3; Standard CIP-005-2 Requirements R2 and R3;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. The Responsible Entity shall maintain documentation of Electronic Security Perimeter(s), all interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), all electronic access points to the Electronic Security Perimet

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-2

Requirements:

R2. Electronic Access Controls — The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. These processes and mechanisms shall use an access control model that denies access by default, such that explicit access permissions must be specified.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. At all access points to the Electronic Security Perimeter(s), the Responsible Entity shall enable only ports and services required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and shall document, individually or

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.3. The Responsible Entity shall implement and maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.4. Where external interactive access into the Electronic Security Perimeter has been enabled, the Responsible Entity shall implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5. The required documentation shall, at least, identify and describe:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.1. The processes for access request and authorization.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.2. The authentication methods.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-2

Requirements:

R2.5.3. The review process for authorization rights, in accordance with Standard CIP-004-2 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.5.4. The controls used to secure dial-up accessible connections.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.6. Appropriate Use Banner — Where technically feasible, electronic access control devices shall display an appropriate use banner on the user screen upon all interactive access attempts. The Responsible Entity shall maintain a document identifying the content

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Monitoring Electronic Access — The Responsible Entity shall implement and document an electronic or manual process(es) for monitoring and logging access at access points to the Electronic Security Perimeter(s) twenty-four hours a day, seven days a week.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. For dial-up accessible Critical Cyber Assets that use non-routable protocols, the Responsible Entity shall implement and document monitoring process(es) at each access point to the dial-up device, where technically feasible.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. Where technically feasible, the security monitoring process(es) shall detect and alert for attempts at or actual unauthorized accesses. These alerts shall provide for appropriate notification to designated response personnel. Where alerting is not technically

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of the electronic access points to the Electronic Security Perimeter(s) at least annually. The vulnerability assessment shall include, at a minimum, the

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. A document identifying the vulnerability assessment process;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-005-2

Requirements:

R4.2. A review to verify that only ports and services required for operations at these access points are enabled;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. The discovery of all access points to the Electronic Security Perimeter;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.4. A review of controls for default accounts, passwords, and network management community strings;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.5. Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Documentation Review and Maintenance — The Responsible Entity shall review, update, and maintain all documentation to support compliance with the requirements of Standard CIP-005-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1. The Responsible Entity shall ensure that all documentation required by Standard CIP-005-2 reflect current configurations and processes and shall review the documents and procedures referenced in Standard CIP-005-2 at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3. The Responsible Entity shall retain electronic access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-1

Requirements:

R1. Physical Security Plan — The Responsible Entity shall create and maintain a physical security plan, approved by a senior manager or delegate(s) that shall address, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Processes to ensure and document that all Cyber Assets within an Electronic Security Perimeter also reside within an identified Physical Security Perimeter. Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity shall

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Processes to identify all access points through each Physical Security Perimeter and measures to control entry at those access points.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Processes, tools, and procedures to monitor physical access to the perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Procedures for the appropriate use of physical access controls as described in Requirement R3 including visitor pass management, response to loss, and prohibition of inappropriate use of physical access controls.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Procedures for reviewing access authorization requests and revocation of access authorization, in accordance with CIP-004 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. Procedures for escorted access within the physical security perimeter of personnel not authorized for unescorted access.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.7. Process for updating the physical security plan within ninety calendar days of any physical security system redesign or reconfiguration, including, but not limited to, addition or removal of access points through the physical security perimeter, physical

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-1

Requirements:

R1.8. Cyber Assets used in the access control and monitoring of the Physical Security Perimeter(s) shall be afforded the protective measures specified in Standard CIP-003, Standard CIP-004 Requirement R3, Standard CIP-005 Requirements R2 and R3, Standard CIP-00

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.9. Process for ensuring that the physical security plan is reviewed at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Physical Access Controls — The Responsible Entity shall document and implement the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. The Res

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.3. Security Personnel: Personnel responsible for controlling physical access who may reside on-site or at a monitoring station.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.4. Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Monitoring Physical Access — The Responsible Entity shall document and implement the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. Un

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-1

Requirements:

R3.1. Alarm Systems: Systems that alarm to indicate a door, gate or window has been pene without authorization. These alarms must provide for immediate notificationto personnel responsible for response.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. Human Observation of Access Points: Monitoring of physical access points by authorized personnel as specified in Requirement R2.3.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Logging Physical Access — Logging shall record sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week. The Responsible Entity shall implement and document the technical and procedural mech

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. Computerized Logging: Electronic logs produced by the Responsible Entity's selected access control and monitoring method.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. Video Recording: Electronic capture of video images of sufficient quality to determine identity.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R2.3.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Access Log Retention — The Responsible Entity shall retain physical access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Maintenance and Testing — The Responsible Entity shall implement a maintenance and testing program to ensure that all physical security systems under Requirements R2, R3, and R4 function properly. The program must include, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-1

Requirements:

R6.1. Testing and maintenance of all physical security mechanisms on a cycle no longer than three years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.2. Retention of testing and maintenance records for the cycle determined by the Responsible Entity in Requirement R6.1.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.3. Retention of outage records regarding access controls, logging, and monitoring for a minimum of one calendar year.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-2

Requirements:

R1. Physical Security Plan — The Responsible Entity shall document, implement, and maintain a physical security plan, approved by the senior manager or delegate(s) that shall address, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. All Cyber Assets within an Electronic Security Perimeter shall reside within an identified Physical Security Perimeter. Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity shall deploy and document alternative me

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Identification of all physical access points through each Physical Security Perimeter and measures to control entry at those access points.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Processes, tools, and procedures to monitor physical access to the perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Appropriate use of physical access controls as described in Requirement R4 including visitor pass management, response to loss, and prohibition of inappropriate use of physical access controls.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Review of access authorization requests and revocation of access authorization, in accordance with CIP-004-2 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. Continuous escorted access within the Physical Security Perimeter of personnel not authorized for unescorted access.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.7. Update of the physical security plan within thirty calendar days of the completion of any physical security system redesign or reconfiguration, including, but not limited to, addition or removal of access points through the Physical Security Perimeter, ph

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-2

Requirements:

R1.8. Annual review of the physical security plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Protection of Physical Access Control Systems — Cyber Assets that authorize and/or log access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.1. Be protected from unauthorized physical access.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2.2. Be afforded the protective measures specified in Standard CIP-003-2; Standard CIP-004-2 Requirement R3; Standard CIP-005-2 Requirements R2 and R3; Standard CIP-006-2 Requirements R4 and R5; Standard CIP-007-2; Standard CIP-008-2; and Standard CIP-009-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Protection of Electronic Access Control Systems — Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall reside within an identified Physical Security Perimeter.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Physical Access Controls — The Responsible Entity shall document and implement the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. The Re

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Monitoring Physical Access — The Responsible Entity shall document and implement the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. U

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-006-2

Requirements:

R6. Logging Physical Access — Logging shall record sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week. The Responsible Entity shall implement and document the technical and procedural mec

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7. Access Log Retention — The responsible entity shall retain physical access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8. Maintenance and Testing — The Responsible Entity shall implement a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly. The program must include, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.1. Testing and maintenance of all physical security mechanisms on a cycle no longer than three years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.2. Retention of testing and maintenance records for the cycle determined by the Responsible Entity in Requirement R8.1.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.3. Retention of outage records regarding access controls, logging, and monitoring for a minimum of one calendar year.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

- R1. Test Procedures — The Responsible Entity shall ensure that new Cyber Assets and significant changes to existing Cyber Assets within the Electronic Security Perimeter do not adversely affect existing cyber security controls. For purposes of Standard CIP-00

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1. The Responsible Entity shall create, implement, and maintain cyber security test procedures in a manner that minimizes adverse effects on the production system or its operation.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.2. The Responsible Entity shall document that testing is performed in a manner that reflects the production environment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.3. The Responsible Entity shall document test results.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2. Ports and Services — The Responsible Entity shall establish and document a process to ensure that only those ports and services required for normal and emergency operations are enabled.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.1. The Responsible Entity shall enable only those ports and services required for normal and emergency operations.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2. The Responsible Entity shall disable other ports and services, including those used for testing purposes, prior to production use of all Cyber Assets inside the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.3. In the case where unused ports and services cannot be disabled due to technical limitations, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure or an acceptance of risk.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

R3. Security Patch Management — The Responsible Entity, either separately or as a component of the documented configuration management process specified in CIP-003 Requirement R6, shall establish and document a security patch management program for tracking,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Responsible Entity shall document the assessment of security patches and security upgrades for applicability within thirty calendar days of availability of the patches or upgrades.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Responsible Entity shall document the implementation of security patches. In any case where the patch is not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure or an acceptance of risk.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Malicious Software Prevention — The Responsible Entity shall use anti-virus software and other malicious software (“malware”) prevention tools, where technically feasible, to detect, prevent, deter, and mitigate the introduction, exposure, and propagation

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Responsible Entity shall document and implement anti-virus and malware prevention tools. In the case where anti-virus software and malware prevention tools are not installed, the Responsible Entity shall document compensating measure(s) applied to mit

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. The Responsible Entity shall document and implement a process for the update of anti-virus and malware prevention “signatures.” The process must address testing and installing the signatures.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Account Management — The Responsible Entity shall establish, implement, and document technical and procedural controls that enforce access authentication of, and accountability for, all user activity, and that minimize the risk of unauthorized system acce

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

R5.1. The Responsible Entity shall ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to know” with respect to work functions performed.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.1. The Responsible Entity shall ensure that user accounts are implemented as approved by designated personnel. Refer to Standard CIP-003 Requirement R5.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.2. The Responsible Entity shall establish methods, processes, and procedures that generate logs of sufficient detail to create historical audit trails of individual user account access activity for a minimum of ninety days.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.3. The Responsible Entity shall review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003 Requirement R5 and Standard CIP-004 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall implement a policy to minimize and manage the scope and acceptable use of administrator, shared, and other generic account privileges including factory default accounts.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.1. The policy shall include the removal, disabling, or renaming of such accounts where possible. For such accounts that must remain enabled, passwords shall be changed prior to putting any system into service.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.2. The Responsible Entity shall identify those individuals with access to shared accounts.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.3. Where such accounts must be shared, the Responsible Entity shall have a policy for managing the use of such accounts that limits access to only those with authorization, an audit trail of the account use (automated or manual), and steps for securing the a

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

R5.3. At a minimum, the Responsible Entity shall require and use passwords, subject to the following, as technically feasible:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.1. Each password shall be a minimum of six characters.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.2. Each password shall consist of a combination of alpha, numeric, and “special” characters.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.3. Each password shall be changed at least annually, or more frequently based on risk.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Security Status Monitoring — The Responsible Entity shall ensure that all Cyber Assets within the Electronic Security Perimeter, as technically feasible, implement automated tools or organizational process controls to monitor system events that are relate

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.1. The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.2. The security monitoring controls shall issue automated or manual alerts for detected Cyber Security Incidents.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.3. The Responsible Entity shall maintain logs of system events related to cyber security, where technically feasible, to support incident response as required in Standard CIP-008.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.4. The Responsible Entity shall retain all logs specified in Requirement R6 for ninety calendar days.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

R6.5. The Responsible Entity shall review logs of system events related to cyber security and maintain records documenting review of logs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7. Disposal or Redeployment — The Responsible Entity shall establish formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.1. Prior to the disposal of such assets, the Responsible Entity shall destroy or erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.2. Prior to redeployment of such assets, the Responsible Entity shall, at a minimum, erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.3. The Responsible Entity shall maintain records that such assets were disposed of or redeployed in accordance with documented procedures.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8. Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of all Cyber Assets within the Electronic Security Perimeter at least annually. The vulnerability assessment shall include, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.1. A document identifying the vulnerability assessment process;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.2. A review to verify that only ports and services required for operation of the Cyber Assets within the Electronic Security Perimeter are enabled;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-1

Requirements:

R8.3. A review of controls for default accounts; and,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.4. Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9. Documentation Review and Maintenance — The Responsible Entity shall review and update the documentation specified in Standard CIP-007 at least annually. Changes resulting from modifications to the systems or controls shall be documented within ninety days.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

- R1. Test Procedures — The Responsible Entity shall ensure that new Cyber Assets and significant changes to existing Cyber Assets within the Electronic Security Perimeter do not adversely affect existing cyber security controls. For purposes of Standard CIP-0

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1. The Responsible Entity shall create, implement, and maintain cyber security test procedures in a manner that minimizes adverse effects on the production system or its operation.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.2. The Responsible Entity shall document that testing is performed in a manner that reflects the production environment.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.3. The Responsible Entity shall document test results.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2. Ports and Services — The Responsible Entity shall establish, document and implement a process to ensure that only those ports and services required for normal and emergency operations are enabled.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.1. The Responsible Entity shall enable only those ports and services required for normal and emergency operations.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.2. The Responsible Entity shall disable other ports and services, including those used for testing purposes, prior to production use of all Cyber Assets inside the Electronic Security Perimeter(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2.3. In the case where unused ports and services cannot be disabled due to technical limitations, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

R3. Security Patch Management — The Responsible Entity, either separately or as a component of the documented configuration management process specified in CIP-003-2 Requirement R6, shall establish, document and implement a security patch management program

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.1. The Responsible Entity shall document the assessment of security patches and security upgrades for applicability within thirty calendar days of availability of the patches or upgrades.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3.2. The Responsible Entity shall document the implementation of security patches. In any case where the patch is not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Malicious Software Prevention — The Responsible Entity shall use anti-virus software and other malicious software (“malware”) prevention tools, where technically feasible, to detect, prevent, deter, and mitigate the introduction, exposure, and propagation

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. The Responsible Entity shall document and implement anti-virus and malware prevention tools. In the case where anti-virus software and malware prevention tools are not installed, the Responsible Entity shall document compensating measure(s) applied to mi

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. The Responsible Entity shall document and implement a process for the update of anti-virus and malware prevention “signatures.” The process must address testing and installing the signatures.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Account Management — The Responsible Entity shall establish, implement, and document technical and procedural controls that enforce access authentication of, and accountability for, all user activity, and that minimize the risk of unauthorized system acce

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

R5.1. The Responsible Entity shall ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to know” with respect to work functions performed.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.1. The Responsible Entity shall ensure that user accounts are implemented as approved by designated personnel. Refer to Standard CIP-003-2 Requirement R5.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.2. The Responsible Entity shall establish methods, processes, and procedures that generate logs of sufficient detail to create historical audit trails of individual user account access activity for a minimum of ninety days.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.1.3. The Responsible Entity shall review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003-2 Requirement R5 and Standard CIP-004-2 Requirement R4.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2. The Responsible Entity shall implement a policy to minimize and manage the scope and acceptable use of administrator, shared, and other generic account privileges including factory default accounts.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.1. The policy shall include the removal, disabling, or renaming of such accounts where possible. For such accounts that must remain enabled, passwords shall be changed prior to putting any system into service.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.2. The Responsible Entity shall identify those individuals with access to shared accounts.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.2.3. Where such accounts must be shared, the Responsible Entity shall have a policy for managing the use of such accounts that limits access to only those with authorization, an audit trail of the account use (automated or manual), and steps for securing the a

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

R5.3. At a minimum, the Responsible Entity shall require and use passwords, subject to the following, as technically feasible:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.1. Each password shall be a minimum of six characters.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.2. Each password shall consist of a combination of alpha, numeric, and “special” characters.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5.3.3. Each password shall be changed at least annually, or more frequently based on risk.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Security Status Monitoring — The Responsible Entity shall ensure that all Cyber Assets within the Electronic Security Perimeter, as technically feasible, implement automated tools or organizational process controls to monitor system events that are relate

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.1. The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.2. The security monitoring controls shall issue automated or manual alerts for detected Cyber Security Incidents.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.3. The Responsible Entity shall maintain logs of system events related to cyber security, where technically feasible, to support incident response as required in Standard CIP-008-2.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6.4. The Responsible Entity shall retain all logs specified in Requirement R6 for ninety calendar days.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

R6.5. The Responsible Entity shall review logs of system events related to cyber security and maintain records documenting review of logs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7. Disposal or Redeployment — The Responsible Entity shall establish and implement formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.1. Prior to the disposal of such assets, the Responsible Entity shall destroy or erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.2. Prior to redeployment of such assets, the Responsible Entity shall, at a minimum, erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R7.3. The Responsible Entity shall maintain records that such assets were disposed of or redeployed in accordance with documented procedures.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8. Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of all Cyber Assets within the Electronic Security Perimeter at least annually. The vulnerability assessment shall include, at a minimum, the following

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.1. A document identifying the vulnerability assessment process;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.2. A review to verify that only ports and services required for operation of the Cyber Assets within the Electronic Security Perimeter are enabled;

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-007-2

Requirements:

R8.3. A review of controls for default accounts; and,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8.4. Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9. Documentation Review and Maintenance — The Responsible Entity shall review and update the documentation specified in Standard CIP-007-2 at least annually. Changes resulting from modifications to the systems or controls shall be documented within thirty c

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-008-1

Requirements:

R1. Cyber Security Incident Response Plan — The Responsible Entity shall develop and maintain a Cyber Security Incident response plan. The Cyber Security Incident Response plan shall address, at a minimum, the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Procedures to characterize and classify events as reportable Cyber Security Incidents.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Response actions, including roles and responsibilities of incident response teams, incident handling procedures, and communication plans.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Process for reporting Cyber Security Incidents to the Electricity Sector Information Sharing and Analysis Center (ES ISAC). The Responsible Entity must ensure that all reportable Cyber Security Incidents are reported to the ES ISAC either directly or thro

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Process for updating the Cyber Security Incident response plan within ninety calendar days of any changes.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Process for ensuring that the Cyber Security Incident response plan is reviewed at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. Process for ensuring the Cyber Security Incident response plan is tested at least annually. A test of the incident response plan can range from a paper drill, to a full operational exercise, to the response to an actual incident.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Cyber Security Incident Documentation — The Responsible Entity shall keep relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for three calendar years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-008-2

Requirements:

R1. Cyber Security Incident Response Plan — The Responsible Entity shall develop and maintain a Cyber Security Incident response plan and implement the plan in response to Cyber Security Incidents. The Cyber Security Incident response plan shall address, at

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Procedures to characterize and classify events as reportable Cyber Security Incidents.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Response actions, including roles and responsibilities of Cyber Security Incident response teams, Cyber Security Incident handling procedures, and communication plans.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Process for reporting Cyber Security Incidents to the Electricity Sector Information Sharing and Analysis Center (ES-ISAC). The Responsible Entity must ensure that all reportable Cyber Security Incidents are reported to the ES-ISAC either directly or thr

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Process for updating the Cyber Security Incident response plan within thirty calendar days of any changes.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Process for ensuring that the Cyber Security Incident response plan is reviewed at least annually.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.6. Process for ensuring the Cyber Security Incident response plan is tested at least annually. A test of the Cyber Security Incident response plan can range from a paper drill, to a full operational exercise, to the response to an actual incident. Testing

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Cyber Security Incident Documentation — The Responsible Entity shall keep relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for three calendar years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-009-1

Requirements:

R1. Recovery Plans — The Responsible Entity shall create and annually review recovery plan(s) for Critical Cyber Assets. The recovery plan(s) shall address at a minimum the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Specify the required actions in response to events or conditions of varying duration and severity that would activate the recovery plan(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Define the roles and responsibilities of responders.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Exercises — The recovery plan(s) shall be exercised at least annually. An exercise of the recovery plan(s) can range from a paper drill, to a full operational exercise, to recovery from an actual incident.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Change Control — Recovery plan(s) shall be updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. Updates shall be communicated to personnel responsible for the activation and implementation o

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Backup and Restore — The recovery plan(s) shall include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets. For example, backups may include spare electronic components or equipment, w

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Testing Backup Media — Information essential to recovery that is stored on backup media shall be tested at least annually to ensure that the information is available. Testing can be completed off site.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: CIP-009-2

Requirements:

R1. Recovery Plans — The Responsible Entity shall create and annually review recovery plan(s) for Critical Cyber Assets. The recovery plan(s) shall address at a minimum the following:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Specify the required actions in response to events or conditions of varying duration and severity that would activate the recovery plan(s).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Define the roles and responsibilities of responders.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Exercises — The recovery plan(s) shall be exercised at least annually. An exercise of the recovery plan(s) can range from a paper drill, to a full operational exercise, to recovery from an actual incident.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Change Control — Recovery plan(s) shall be updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. Updates shall be communicated to personnel responsible for the activation and implementation

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Backup and Restore — The recovery plan(s) shall include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets. For example, backups may include spare electronic components or equipment,

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R5. Testing Backup Media — Information essential to recovery that is stored on backup media shall be tested at least annually to ensure that the information is available. Testing can be completed off site.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: EOP-002-2

Requirements:

-
- R9.1. The deficient Load-Serving Entity shall request its Reliability Coordinator to initiate an Energy Emergency Alert in accordance with Attachment 1-EOP-002-0.

Responsible Members:

NCR00683 American Municipal Power Inc.



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: EOP-004-1

Requirements:

R2. A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall promptly analyze Bulk Electric System disturbances on its system or facilities.

Responsible Members:

NCR00683 American Municipal Power Inc.

R3. A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity experiencing a reportable incident shall provide a preliminary written report to its Regional Reliability Organization and NERC.

Responsible Members:

NCR00683 American Municipal Power Inc.

R3.1. The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall submit within 24 hours of the disturbance or unusual occurrence either a copy of the report submitted to DOE, or, if no DOE r

Responsible Members:

NCR00683 American Municipal Power Inc.

R3.2. Applicable reporting forms are provided in Attachments 1-EOP-004 and 2-EOP-004.

Responsible Members:

NCR00683 American Municipal Power Inc.

R3.3. Under certain adverse conditions, e.g., severe weather, it may not be possible to assess the damage caused by a disturbance and issue a written Interconnection Reliability Operating Limit and Preliminary Disturbance Report within 24 hours. In such cases,

Responsible Members:

NCR00683 American Municipal Power Inc.

R3.4. If, in the judgment of the Regional Reliability Organization, after consultation with the Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity in which a disturbance occurred, a final report is re

Responsible Members:

NCR00683 American Municipal Power Inc.



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: FAC-002-0

Requirements:

R1. The Generator Owner, Transmission Owner, Distribution Provider, and Load-Serving Entity seeking to integrate generation facilities, transmission facilities, and electricity end-user facilities shall each coordinate and cooperate on its assessments with it

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. Evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. Ensurance of compliance with NERC Reliability Standards and applicable Regional, subregional, Power Pool, and individual system planning criteria and facility connection requirements.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Evidence that the parties involved in the assessment have coordinated and cooperated on the assessment of the reliability impacts of new facilities on the interconnected transmission systems. While these studies may be performed independently, the result

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to evaluate system performance in accordance with Reliability Standard TPL-001-0.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. Documentation that the assessment included study assumptions, system performance, alternatives considered, and jointly coordinated recommendations.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. The Planning Authority, Transmission Planner, Generator Owner, Transmission Owner, Load-Serving Entity, and Distribution Provider shall each retain its documentation (of its evaluation of the reliability impact of the new facilities and their connections

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: IRO-001-1.1

Requirements:

- R8. Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall comply with Reliability Coordinator directives unless such actions would violate safety, equip

Responsible Members:

- NCR00683 American Municipal Power Inc.
NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: IRO-004-1

Requirements:

-
- R4. Each Transmission Operator, Balancing Authority, Transmission Owner, Generator Owner, Generator Operator, and Load-Serving Entity in the Reliability Coordinator Area shall provide information required for system studies, such as critical facility status,

Responsible Members:

NCR00683 American Municipal Power Inc.



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: IRO-005-2

Requirements:

R13. Each Reliability Coordinator shall ensure that all Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities operate to prevent the likelihood that a disturba

Responsible Members:

NCR00683 American Municipal Power Inc.

NCR11015 Kentucky Municipal Power Agency

R4. Each Reliability Coordinator shall monitor its Balancing Authorities' parameters to ensure that the required amount of operating reserves is provided and available as required to meet the Control Performance Standard and Disturbance Control Standard requi

Responsible Members:

NCR00683 American Municipal Power Inc.



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: MOD-017-0.1

Requirements:

R1. The Load-Serving Entity, Planning Authority and Resource Planner shall each provide the following information annually on an aggregated Regional, subregional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Reliability Or

Responsible Members:

NCR00683 American Municipal Power Inc.

NCR11015 Kentucky Municipal Power Agency

R1.1. Integrated hourly demands in megawatts (MW) for the prior year.

Responsible Members:

NCR00683 American Municipal Power Inc.

R1.2. Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.

Responsible Members:

NCR00683 American Municipal Power Inc.

R1.3. Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: MOD-018-0

Requirements:

R1. The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:

Responsible Members:

NCR00683 American Municipal Power Inc.
NCR11015 Kentucky Municipal Power Agency

R1.1. Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and

Responsible Members:

NCR00683 American Municipal Power Inc.

R1.2. Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. Items (MOD-018-0_R 1.1) and (MOD-018-0_R 1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1_R 1.

Responsible Members:

NCR00683 American Municipal Power Inc.
NCR11015 Kentucky Municipal Power Agency

R2. The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each report data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional Reliability Organization, Load-Serving Entity, Planning Authority, and R

Responsible Members:

NCR00683 American Municipal Power Inc.
NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: MOD-019-0.1

Requirements:

- R1. The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each provide annually its forecasts of interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: MOD-020-0

Requirements:

-
- R1. The Load-Serving Entity, Transmission Planner, and Resource Planner shall each make known its amount of interruptible demands and Direct Control Load Management (DCLM) to Transmission Operators, Balancing Authorities, and Reliability Coordinators on request.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: MOD-021-0.1

Requirements:

R1. The Load-Serving Entity, Transmission Planner and Resource Planner's forecasts shall each clearly document how the Demand and energy effects of DSM programs (such as conservation, time-of-use rates, interruptible Demands, and Direct Control Load Management

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. The Load-Serving Entity, Transmission Planner and Resource Planner shall each include information detailing how Demand-Side Management measures are addressed in the forecasts of its Peak Demand and annual Net Energy for Load in the data reporting procedur

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. The Load-Serving Entity, Transmission Planner and Resource Planner shall each make documentation on the treatment of its DSM programs available to NERC on request (within 30 calendar days).

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: NUC-001-2

Requirements:

R2. The Nuclear Plant Generator Operator and the applicable Transmission Entities shall have in effect one or more Agreements that include mutually agreed to NPIRs and document how the Nuclear Plant Generator Operator and the applicable Transmission Entities

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R3. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall incorporate the NPIRs into their planning analyses of the electric system and shall communicate the results of these analyses to the Nuclear Plant Ge

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall: [Risk Factor: High]

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.1. Incorporate the NPIRs into their operating analyses of the electric system.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.2. Operate the electric system to meet the NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R4.3. Inform the Nuclear Plant Generator Operator when the ability to assess the operation of the electric system affecting NPIRs is lost.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R6. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities and the Nuclear Plant Generator Operator shall coordinate outages and maintenance activities which affect the NPIRs. [Risk Factor: Medium]

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R8. Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall inform the Nuclear Plant Generator Operator of actual or proposed changes to electric system design, configuration, operations, limits, protection sy

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: NUC-001-2

Requirements:

R9. The Nuclear Plant Generator Operator and the applicable Transmission Entities shall include, as a minimum, the following elements within the agreement(s) identified in R2: [Risk Factor: Medium]

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.1. Administrative elements:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.1.1. Definitions of key terms used in the agreement.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.1.2. Names of the responsible entities, organizational relationships, and responsibilities related to the NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.1.3. A requirement to review the agreement(s) at least every three years.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.1.4. A dispute resolution mechanism.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.2. Technical requirements and analysis:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.2.1. Identification of parameters, limits, configurations, and operating scenarios included in the NPIRs and, as applicable, procedures for providing any specific data not provided within the agreement.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.2.2. Identification of facilities, components, and configuration restrictions that are essential for meeting the NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: NUC-001-2

Requirements:

R9.2.3. Types of planning and operational analyses performed specifically to support the NPIRs, including the frequency of studies and types of Contingencies and scenarios required.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3. Operations and maintenance coordination:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.1. Designation of ownership of electrical facilities at the interface between the electric system and the nuclear plant and responsibilities for operational control coordination and maintenance of these facilities.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.2. Identification of any maintenance requirements for equipment not owned or controlled by the Nuclear Plant Generator Operator that are necessary to meet the NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.3. Coordination of testing, calibration and maintenance of on-site and off-site power supply systems and related components.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.4. Provisions to address mitigating actions needed to avoid violating NPIRs and to address periods when responsible Transmission Entity loses the ability to assess the capability of the electric system to meet the NPIRs. These provisions shall include respon

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.5. Provision for considering, within the restoration process, the requirements and urgency of a nuclear plant that has lost all off-site and on-site AC power. .

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.3.6. Coordination of physical and cyber security protection of the Bulk Electric System at the nuclear plant interface to ensure each asset is covered under at least one entity's plan.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: NUC-001-2

Requirements:

R9.3.7. Coordination of the NPIRs with transmission system Special Protection Systems and underfrequency and undervoltage load shedding programs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4. Communications and training:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4.1. Provisions for communications between the Nuclear Plant Generator Operator and Transmission Entities, including communications protocols, notification time requirements, and definitions of terms.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4.2. Provisions for coordination during an off-normal or emergency event affecting the NPIRs, including the need to provide timely information explaining the event, an estimate of when the system will be returned to a normal state, and the actual time the syst

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4.3. Provisions for coordinating investigations of causes of unplanned events affecting the NPIRs and developing solutions to minimize future risk of such events.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4.4. Provisions for supplying information necessary to report to government agencies, as related to NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R9.4.5. Provisions for personnel training, as related to NPIRs.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: PRC-007-0

Requirements:

- R2. The Transmission Owner, Transmission Operator, Distribution Provider, and Load-Serving Entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide, and annually update, its underfrequency data as needed.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: PRC-009-0

Requirements:

R1. The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall analyze and document its UFLS program performance in accordance

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. A description of the event including initiating conditions.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. A review of the UFLS set points and tripping times.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. A simulation of the event.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. A summary of the findings.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide documentation of the analysis of the UFLS program to it

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: PRC-010-0

Requirements:

- R1. The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall periodically (at least every five years or as required by changes in system conditions) conduct and document an assess

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1. This assessment shall include, but is not limited to:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1.1. Coordination of the UVLS programs with other protection and control systems in the Region and with other Regional Reliability Organizations, as appropriate.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1.2. Simulations that demonstrate that the UVLS programs performance is consistent with Reliability Standards TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R1.1.3. A review of the voltage set points and timing.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

- R2. The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall provide documentation of its current UVLS program assessment to its Regional Reliability Organization and NERC on requ

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: PRC-022-1

Requirements:

R1. Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program to mitigate the risk of voltage collapse or voltage instability in the BES shall analyze and document all UVLS operations and Misoperations. The analysis shall include:

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.1. A description of the event including initiating conditions.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.2. A review of the UVLS set points and tripping times.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.3. A simulation of the event, if deemed appropriate by the Regional Reliability Organization. For most events, analysis of sequence of events may be sufficient and dynamic simulations may not be needed.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.4. A summary of the findings.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R1.5. For any Misoperation, a Corrective Action Plan to avoid future Misoperations of a similar nature.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency

R2. Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program shall provide documentation of its analysis of UVLS program performance to its Regional Reliability Organization within 90 calendar days of a request.

Responsible Members:

NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: TOP-001-1

Requirements:

- R4. Each Distribution Provider and Load-Serving Entity shall comply with all reliability directives issued by the Transmission Operator, including shedding firm load, unless such actions would violate safety, equipment, regulatory or statutory requirements.

Responsible Members:

- NCR00683 American Municipal Power Inc.
NCR11015 Kentucky Municipal Power Agency



Registration Status as of 1/26/2012

Applicable Regional Entity: SERC

Applicable Function: LSE

Standard: TOP-002-2a

Requirements:

R18. Neighboring Balancing Authorities, Transmission Operators, Generator Operators, Transmission Service Providers, and Load-Serving Entities shall use uniform line identifiers when referring to transmission facilities of an interconnected network.

Responsible Members:

NCR00683 American Municipal Power Inc.

R3. Each Load-Serving Entity and Generator Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and

Responsible Members:

NCR00683 American Municipal Power Inc.

NCR11015 Kentucky Municipal Power Agency