

## Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.

### Description of Current Draft

EOP-004-4 is being posted for a 45-day formal comment period with ballot.

| Completed Actions   | Date                       |
|---|----------------------------|
| Standards Committee approved Standard Authorization Request (SAR) for posting | 07/15/2015                 |
| SAR posted for comment  | 07/21/2015 –<br>08/19/2015 |

| Anticipated Actions                                 | Date                       |
|---|----------------------------|
| 45-day formal comment period with ballot            | 07/25/2016 –<br>09/08/2016 |
| 45-day formal comment period with additional ballot | 09/26/2016 –<br>11/09/2016 |
| 10-day final ballot                                 | 12/01/2016 –<br>12/12/2016 |
| NERC Board (Board) adoption                         | February 2017              |

## **New or Modified Term(s) Used in NERC Reliability Standards**

This section includes all new or modified terms used in the proposed standard that will be included in the *Glossary of Terms Used in NERC Reliability Standards* upon applicable regulatory approval. Terms used in the proposed standard that are already defined and are not being modified can be found in the *Glossary of Terms Used in NERC Reliability Standards*. The new or revised terms listed below will be presented for approval with the proposed standard. Upon Board adoption, this section will be removed.

### **Term(s):**

None.

When this standard receives Board adoption, the rationale boxes will be moved to the Supplemental Material Section of the standard.

## A. Introduction

1. **Title:** Event Reporting
2. **Number:** EOP-004-4
3. **Purpose:** To improve the reliability of the Bulk Electric System by requiring the reporting of events by Responsible Entities.
4. **Applicability:**
  - 4.1. **Functional Entities:** For the purpose of the Requirements and the EOP-004 Attachment 1 contained herein, the following functional entities will be collectively referred to as “Responsible Entity.”
    - 4.1.1. Reliability Coordinator
    - 4.1.2. Balancing Authority
    - 4.1.3. Transmission Owner
    - 4.1.4. Transmission Operator
    - 4.1.5. Generator Owner
    - 4.1.6. Generator Operator
    - 4.1.7. Distribution Provider
5. **Effective Date:** See the Implementation Plan for EOP-004-4.

~~6. **Background:** NERC established a SAR Team in 2009 to investigate and propose revisions to the CIP-001 and EOP-004 Reliability Standards. The team was asked to consider the following:~~

- ~~1. CIP-001 could be merged with EOP-004 to eliminate redundancies.~~
- ~~2. Acts of sabotage have to be reported to the DOE as part of EOP-004.~~
- ~~3. Specific references to the DOE form need to be eliminated.~~
- ~~4. EOP-004 had some ‘fill in the blank’ components to eliminate.~~

~~The development included other improvements to the standards deemed appropriate by the drafting team, with the consensus of stakeholders, consistent with establishing high quality, enforceable and technically sufficient Bulk Electric System reliability standards.~~

~~The SAR for Project 2009-01, Disturbance and Sabotage Reporting was moved forward for standard drafting by the NERC Standards Committee in August of 2009. The Disturbance and Sabotage Reporting Standard Drafting Team (DSR-SDT) was formed in late 2009.~~

~~The DSR-SDT developed a concept paper to solicit stakeholder input regarding the proposed reporting concepts that the DSR-SDT had developed. The posting of the concept paper sought comments from stakeholders on the “road map” that will be used by the DSR-SDT in~~

~~updating or revising CIP-001 and EOP-004. The concept paper provided stakeholders the background information and thought process of the DSR SDT. The DSR SDT has reviewed the existing standards, the SAR, issues from the NERC issues database and FERC Order 693 Directives in order to determine a prudent course of action with respect to revision of these standards.~~

~~7. — Standard-Only Definition: None~~

## B. Requirements and Measures

### Rationale for Requirement R1: Text

- R1.** Each Responsible Entity shall have an event reporting Operating Plan in accordance with EOP-004-~~2-3-4~~ Attachment 1 that includes the protocol(s) for reporting to the Electric Reliability Organization and other organizations (e.g., the Regional Entity, company personnel, the Responsible Entity’s Reliability Coordinator, law enforcement, or governmental authority). *[Violation Risk Factor: Lower] [Time Horizon: Operations Planning]*
- M1.** Each Responsible Entity will have a dated event reporting Operating Plan that includes, but is not limited to the protocol(s) and each organization identified to receive an event report for event types specified in EOP-004-~~34~~ Attachment 1 and in accordance with the entity responsible for reporting.

### Rationale for Requirement R2: Text

- R2.** Each Responsible Entity shall report events specified in EOP-004-4 Attachment 1 to the entities specified per their Operating Plan within 24 hours of recognition of meeting an event type threshold for reporting or by the end of the next business day if the event occurs on a weekend (which is recognized to be 4 PM local time on Friday to 8 AM local time on Monday~~local time~~). *[Violation Risk Factor: Medium] [Time Horizon: Operations Assessment]*
- M2.** Each Responsible Entity will have as evidence of reporting an event either a, copy of the completed EOP-004-~~3-4~~ Attachment 2 form or a DOE-OE-417 form; and some evidence of submittal (e.g., operator log or other operating documentation, voice recording, electronic mail message, or confirmation of facsimile) demonstrating that the event report was submitted within 24 hours of recognition of meeting the threshold for reporting or by the end of the next business day if the event occurs on a weekend (which is recognized to be 4 PM local time on Friday to 8 AM local time on Monday~~local time~~). ~~(R2)~~

**Rationale for Requirement R3: Text**

~~R3. Each Responsible Entity shall validate all contact information contained in the Operating Plan pursuant to Requirement R1 each calendar year. [Violation Risk Factor: Medium] [Time Horizon: Operations Planning]~~

~~M3. Each Responsible Entity will have dated records to show that it validated all contact information contained in the Operating Plan each calendar year. Such evidence may include, but are not limited to, dated voice recordings and operating logs or other communication documentation. (R3)~~

## C. Compliance

### 1. Compliance Monitoring Process

#### 1.1. Compliance Enforcement Authority:

“Compliance Enforcement Authority” means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

#### 1.2. Evidence Retention:

The Responsible Entity shall keep data or evidence to show compliance as identified below unless directed by its Compliance Enforcement Authority to retain specific evidence for a longer period of time as part of an investigation:

The following evidence retention periods identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence to show that it was compliant for the full time period since the last audit.

- Each Responsible Entity shall retain the current Operating Plan plus each version issued since the last audit for Requirements R1, and Measure M1.
- Each Responsible Entity shall retain evidence of compliance since the last audit for Requirements R2, ~~R3~~ and Measure M2, ~~M3~~.

If a Responsible Entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved or for the duration specified above, whichever is longer.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

#### 1.3. Compliance Monitoring and Enforcement Program

As defined in the NERC Rules of Procedure, “Compliance Monitoring and Enforcement Program” refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

- Compliance Audit
- Self-Certification
- Spot Checking
- Compliance Investigation
- Self-Reporting
- Complaint

## Violation Severity Levels

| R #        | Violation Severity Levels  |  |  |  |
|------------|--|--|--|--|
|            | Lower VSL  | Moderate VSL   | High VSL   | Severe VSL   |
| <b>R1.</b> | The Responsible Entity had an Operating Plan, but failed to include one applicable event type.   | The Responsible Entity had an Operating Plan, but failed to include two applicable event types.  | The Responsible Entity had an Operating Plan, but failed to include three applicable event types.  | The Responsible Entity had an Operating Plan, but failed to include four or more applicable event types.<br><br>OR<br>The Responsible Entity failed to have an event reporting Operating Plan.   |
| <b>R2.</b> | The Responsible Entity submitted an event report (e.g., written or verbal) to all required recipients more than 24 hours but less than or equal to 36 hours after <u>recognition of</u> meeting an event threshold for reporting.<br><br>OR<br>The Responsible Entity failed to submit an event report (e.g., written or verbal) to one entity identified in its event reporting Operating Plan within 24 hours. | The Responsible Entity submitted an event report (e.g., written or verbal) to all required recipients more than 36 hours but less than or equal to 48 hours after <u>recognition of</u> meeting an event threshold for reporting.<br><br>OR<br>The Responsible Entity failed to submit an event report (e.g., written or verbal) to two entities identified in its event reporting Operating Plan within 24 hours. | The Responsible Entity submitted an event report (e.g., written or verbal) to all required recipients more than 48 hours but less than or equal to 60 hours after <u>recognition of</u> meeting an event threshold for reporting.<br><br>OR<br>The Responsible Entity failed to submit an event report (e.g., written or verbal) to three entities identified in its event reporting Operating Plan within 24 hours. | The Responsible Entity submitted an event report (e.g., written or verbal) to all required recipients more than 60 hours after <u>recognition of</u> meeting an event threshold for reporting.<br><br>OR<br>The Responsible Entity failed to submit an event report (e.g., written or verbal) to four or more entities identified in its event reporting Operating Plan within 24 hours. |

| R #            | Violation Severity Levels  |   |  |  |
|----------------|--|---|--|--|
|                |  |   |  | OR<br>The Responsible Entity failed to submit a report for an event in EOP-004 Attachment 1.   |
| <del>R3.</del> | <del>The Responsible Entity validated all contact information contained in the Operating Plan but was late by less than one calendar month.<br/>                     OR<br/>                     The Responsible Entity validated 75% but less than 100% of the contact information contained in the Operating Plan.</del> | <del>The Responsible Entity validated all contact information contained in the Operating Plan but was late by one calendar month or more but less than two calendar months.<br/>                     OR<br/>                     The Responsible Entity validated 50% and less than 75% of the contact information contained in the Operating Plan.</del> | <del>The Responsible Entity validated all contact information contained in the Operating Plan but was late by two calendar months or more but less than three calendar months.<br/>                     OR<br/>                     The Responsible Entity validated 25% and less than 50% of the contact information contained in the Operating Plan.</del> | <del>The Responsible Entity validated all contact information contained in the Operating Plan but was late by three calendar months or more.<br/>                     OR<br/>                     The Responsible Entity validated less than 25% of contact information contained in the Operating Plan.</del> |

### D. Regional Variances

None.

### E. Associated Documents

[Link](#) to the Implementation Plan and other important associated documents.

## EOP-004 - Attachment 1: Reportable Events

NOTE: Under certain adverse conditions (e.g. severe weather, multiple events) it may not be possible to report the damage caused by an event and issue a written Event Report within the timing in the standard. In such cases, the affected Responsible Entity shall notify parties per Requirement R2 and provide as much information as is available at the time of the notification. Submit reports to the ERO via one of the following: e-mail: [systemawareness@nerc.net](mailto:systemawareness@nerc.net), Facsimile 404-446-9770 or Voice: 404-446-9780, [select Option 1](#).

### Rationale for Attachment 1:

System-wide voltage reduction to maintain the continuity of the BES: The TOP is operating the system and is the only entity that would implement system-wide voltage reduction.

Generation loss: The EOP SDT discussed dispersed power producing resources and their generation loss due to weather patterns or fuel source unavailability, but NERC confirmed that reporting of generation loss would be used to report Forced Outages not weather patterns or fuel source unavailability for these resources.

Complete loss of Interpersonal Communication capability at a BES control center: To align EOP-004-4 with COM-001-2.1. COM-001-2.1 defined Interpersonal Communication for the Glossary of Terms as: “Any medium that allows two or more individuals to interact, consult, or exchange information.”

Complete loss of monitoring or control capability at a BES control center: Language revisions to: “Complete loss of monitoring or control at a BES control center for 30 continuous minutes or more” provides clarity to the “Threshold for Reporting” and better aligns with the ERO Event Analysis Process.

| Event Type                          | Entity with Reporting Responsibility | Threshold for Reporting   |
|-------------------------------------|--------------------------------------|---|
| Damage or destruction of a Facility | RC, BA, TOP                          | Damage or destruction of a Facility within its Reliability Coordinator Area, Balancing Authority Area or Transmission Operator Area that results in action(s) to avoid a BES Emergency. |

| Event Type   | Entity with Reporting Responsibility                                 | Threshold for Reporting   |
|--|--|---|
| Damage or destruction of <del>a-its</del> Facility   | <del>BA, TO, TOP, GO, GOP, DP</del>                                  | Damage or destruction of its Facility that results from actual or suspected intentional human action.<br><u>It is not necessary to report theft unless it degrades normal operation of its Facility.</u>  |
| Physical threats to <del>a-its</del> Facility  | <del>BA, TO, TOP, GO, GOP, DP</del>                                  | Physical threat to its Facility excluding weather or natural disaster related threats, which has the potential to degrade the normal operation of the Facility.<br>OR<br>Suspicious device or activity at <del>a-its</del> Facility.<br><del>Do not report theft unless it degrades normal operation of a Facility.</del> |
| Physical threats to <del>a-its</del> BES control center  | RC, BA, TOP  | Physical threat to its BES control center, excluding weather or natural disaster related threats, which has the potential to degrade the normal operation of the control center.<br>OR<br>Suspicious device or activity at <del>a-its</del> BES control center.   |
| <del>BES Emergency requiring public</del> <u>Public</u> appeal for load reduction  | <del>Initiating entity is responsible for reporting</del> <u>BA</u>  | <del>Public appeal for load reduction event.</del> <u>Public appeal for load reduction to maintain continuity of the BES.</u>   |
| <del>BES Emergency requiring system</del> <u>System</u> -wide voltage reduction <u>to maintain the continuity of the BES</u> | <del>Initiating entity is responsible for reporting</del> <u>TOP</u> | System wide voltage reduction of 3% or more.  |

| Event Type  | Entity with Reporting Responsibility                                  | Threshold for Reporting   |
|---|---|---|
| <del>Manual firm load shedding resulting from a BES Emergency</del>   | <del>Initiating entity is responsible for reporting RC, BA, TOP</del> | <del>Manual firm load shedding ≥ 100 MW.</del>  |
| <del>BES Emergency resulting in automatic firm load shedding</del>  | <del>DP, TOP</del>  | <del>Automatic firm load shedding ≥ 100 MW (via automatic undervoltage or underfrequency load shedding schemes, or RAS).</del>  |
| <del>BES Emergency resulting in voltage deviation on a Facility</del>                                       | <del>TOP</del>  | <del>Observed within its area a voltage deviation of ± 10% of nominal voltage sustained for ≥ 15 continuous minutes.</del>  |
| <del>IROL Violation (all Interconnections) or SOL Violation for Major WECC Transfer Paths (WECC only)</del> | <del>RC</del>   | <del>Operate outside the IROL for time greater than IROL T<sub>v</sub> (all Interconnections) or Operate outside the SOL for more than 30 minutes for Major WECC Transfer Paths (WECC only).</del>  |
| <u>Uncontrolled loss of firm load resulting from a BES Emergency</u>  | BA, TOP, DP   | <u>Uncontrolled loss of firm load for ≥ 15 Minutes from a single incident:</u><br>≥ 300 MW for entities with previous year’s <u>peak</u> demand ≥ 3,000 MW<br>OR<br>≥ 200 MW for all other entities |

| Event Type   | Entity with Reporting Responsibility | Threshold for Reporting  |
|--|--------------------------------------|--|
| System separation (islanding)  | RC, BA, TOP                          | Each separation resulting in an island $\geq$ 100 MW   |
| Generation loss  | BA, <del>GOP</del>                   | Total generation loss, within one minute, of:-<br>$\geq$ 2,000 MW <del>for entities</del> in the Eastern, <del>or</del> Western, <u>or Quebec</u> Interconnection<br><br>OR<br>$\geq$ 1,000 MW <del>for entities</del> in the ERCOT <del>or Quebec</del> Interconnection |
| Complete loss of off-site power to a nuclear generating plant (grid supply)  | TO, TOP                              | Complete loss of off-site power affecting a nuclear generating station per the Nuclear Plant Interface Requirement   |
| Transmission loss  | TOP                                  | Unexpected loss within its area, contrary to design, of three or more BES Elements caused by a common disturbance (excluding successful automatic reclosing).  |
| Unplanned BES control center evacuation  | RC, BA, TOP                          | Unplanned evacuation from BES control center facility for 30 continuous minutes or more.   |
| Complete loss of <del>voice communication</del> <u>Interpersonal Communication</u> capability <u>at a BES control center</u> | RC, BA, TOP                          | Complete loss of <del>voice</del> <u>Interpersonal communication</u> <u>Communication</u> capability affecting a <u>staffed</u> BES control center for 30 continuous minutes or more.  |

| Event Type  | Entity with Reporting Responsibility | Threshold for Reporting   |
|---|--------------------------------------|---|
| Complete loss of monitoring <u>or control</u> capability <u>at a BES control center</u> | RC, BA, TOP                          | <del>Complete loss</del> <u>Complete loss</u> of monitoring <u>or control at</u> <del>capability affecting</del> a BES control center for 30 continuous minutes or more. <del>such that analysis capability (i.e., State Estimator or Contingency Analysis) is rendered inoperable.</del> |

## EOP-004 - Attachment 2: Event Reporting Form

### EOP-004 Attachment 2: Event Reporting Form

Use this form to report events. The Electric Reliability Organization will accept the DOE OE-417 form in lieu of this form if the entity is required to submit an OE-417 report. Submit reports to the ERO via one of the following: e-mail: [systemawareness@nerc.net](mailto:systemawareness@nerc.net) , Facsimile 404-446-9770 or voice: 404-446-9780. Also submit to other organizations per Requirement R1 "... (e.g., the Regional Entity, company personnel, the Responsible Entity's Reliability Coordinator, law enforcement, or Applicable Governmental Authority)."

| Task |  | Comments  |
|------|--|---|
| 1.   | Entity filing the report include:<br>Company name:<br>Name of contact person:<br>Email address of contact person:<br>Telephone Number:<br>Submitted by (name): |   |
| 2.   | Date and Time of recognized event.<br>Date: (mm/dd/yyyy)<br>Time: (hh:mm)<br>Time/Zone:  |   |
| 3.   | Did the event originate in your system?  | Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> |
| 4.   | <b>Event Identification and Description:</b>   |   |

### EOP-004 Attachment 2: Event Reporting Form

Use this form to report events. The Electric Reliability Organization will accept the DOE OE-417 form in lieu of this form if the entity is required to submit an OE-417 report. Submit reports to the ERO via one of the following: e-mail: [systemawareness@nerc.net](mailto:systemawareness@nerc.net) , Facsimile 404-446-9770 or voice: 404-446-9780. Also submit to other organizations per Requirement R1 "... (e.g., the Regional Entity, company personnel, the Responsible Entity's Reliability Coordinator, law enforcement, or Applicable Governmental Authority)."

| Task  | Comments                               |
|---|--|
| <p>(Check applicable box)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Damage or destruction of a Facility</li> <li><input type="checkbox"/> Physical Threat to <del>a-its</del> Facility</li> <li><input type="checkbox"/> Physical Threat to <del>a-its</del> BES control center</li> <li><input type="checkbox"/> <u>Unplanned BES control center evacuation</u></li> <li><input type="checkbox"/> <u>Public appeal for load reduction</u></li> <li><input type="checkbox"/> <u>System-wide voltage reduction</u></li> <li><input type="checkbox"/> BES Emergency:             <ul style="list-style-type: none"> <li><del><input type="checkbox"/> public appeal for load reduction</del></li> <li><del><input type="checkbox"/> system-wide voltage reduction</del></li> <li><input type="checkbox"/> <del>manual</del> firm load shedding</li> <li><input type="checkbox"/> <del>automatic firm load shedding</del> <u>voltage deviation on a Facility</u></li> <li><input type="checkbox"/> <u>uncontrolled loss of firm load</u></li> </ul> </li> <li><del><input type="checkbox"/> Voltage deviation on a Facility</del></li> <li><input type="checkbox"/> <del>IROL Violation (all Interconnections) or SOL Violation for Major WECC Transfer</del></li> </ul> | <p>Written description (optional):</p> |

### EOP-004 Attachment 2: Event Reporting Form

Use this form to report events. The Electric Reliability Organization will accept the DOE OE-417 form in lieu of this form if the entity is required to submit an OE-417 report. Submit reports to the ERO via one of the following: e-mail: [systemawareness@nerc.net](mailto:systemawareness@nerc.net) , Facsimile 404-446-9770 or voice: 404-446-9780. Also submit to other organizations per Requirement R1 "... (e.g., the Regional Entity, company personnel, the Responsible Entity's Reliability Coordinator, law enforcement, or Applicable Governmental Authority)."

| Task  | Comments |
|---|----------|
| <p><del>Paths (WECC only)</del></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <del>Loss of firm load</del></li> <li><input type="checkbox"/> System separation</li> <li><input type="checkbox"/> Generation loss</li> <li><input type="checkbox"/> Complete loss of off-site power to a nuclear generating plant (grid supply)</li> <li><input type="checkbox"/> Transmission loss</li> <li><input type="checkbox"/> <del>unplanned</del> <u>Unplanned BES</u> control center evacuation</li> <li><input type="checkbox"/> Complete loss of <del>voice</del> <u>Interpersonal communication</u> <u>Communication</u> capability <u>at a BES control center</u></li> <li><input type="checkbox"/> Complete loss of monitoring <u>or control</u> capability <u>at a BES control center</u></li> </ul> |          |

## Version History

| Version | Date              | Action   | Change Tracking  |
|---------|-------------------|--|--|
| 2       |                   | Merged CIP-001-2a Sabotage Reporting and EOP-004-1 Disturbance Reporting into EOP-004-2 Event Reporting; Retire CIP-001-2a Sabotage Reporting and Retired EOP-004-1 Disturbance Reporting. | Revision to entire standard (Project 2009-01)  |
| 2       | November 7, 2012  | Adopted by the NERC Board of Trustees  |  |
| 2       | June 20, 2013     | FERC approved  |  |
| 3       | November 13, 2014 | Adopted by the NERC Board of Trustees  | Replaced references to Special protection System and SPS with Remedial Action Scheme and RAS |
| 3       | November 19, 2015 | FERC Order issued approving EOP-004-3. Docket No. RM15-13-000.   |  |

## Guideline and Technical Basis

### ~~Distribution Provider Applicability Discussion~~

~~The DSR SDT has included Distribution Providers (DP) as an applicable entity under this standard. The team realizes that not all DPs will own BES Facilities and will not meet the “Threshold for Reporting” for any event listed in Attachment 1. These DPs will not have any reports to submit under Requirement R2. However, these DPs will be responsible for meeting Requirements R1 and R3. The DSR SDT does not intend for these entities to have a detailed Operating Plan to address events that are not applicable to them. In this instance, the DSR SDT intends for the DP to have a very simple Operating Plan that includes a statement that there are no applicable events in Attachment 1 (to meet R1) and that the DP will review the list of events in Attachment 1 each year (to meet R3). The team does not think this will be a burden on any entity as the development and annual validation of the Operating Plan should not take more than 30 minutes on an annual basis. If a DP discovers applicable events during the annual review, it is expected that the DP will develop a more detailed Operating Plan to comply with the requirements of the standard.~~

### Multiple Reports for a Single Organization

For entities that have multiple registrations, the ~~DSR SDT intends~~requirement is that these entities will only have to submit one report for any individual event. For example, if an entity is registered as a Reliability Coordinator, Balancing Authority and Transmission Operator, the entity would only submit one report for a particular event rather submitting three reports as each individual registered entity.

### ~~Summary of Key Concepts~~

~~The DSR SDT identified the following principles to assist them in developing the standard:~~

- ~~• Develop a single form to report disturbances and events that threaten the reliability of the Bulk Electric System~~
- ~~• Investigate other opportunities for efficiency, such as development of an electronic form and possible inclusion of regional reporting requirements~~
- ~~• Establish clear criteria for reporting~~
- ~~• Establish consistent reporting timelines~~
- ~~• Provide clarity around who will receive the information and how it will be used~~

~~During the development of concepts, the DSR SDT considered the FERC directive to “further define sabotage”. There was concern among stakeholders that a definition may be ambiguous and subject to interpretation. Consequently, the DSR SDT decided to eliminate the term sabotage from the standard. The team felt that it was almost impossible to determine if an act or event was sabotage or vandalism without the intervention of law enforcement. The DSR SDT felt that attempting to define sabotage would result in further ambiguity with respect to reporting events. The term “sabotage” is no longer included in the standard. The events listed in EOP-004 Attachment 1 were developed to provide guidance for reporting both actual events~~

~~as well as events which may have an impact on the Bulk Electric System. The DSR SDT believes that this is an equally effective and efficient means of addressing the FERC Directive.~~

~~The types of events that are required to be reported are contained within EOP-004 Attachment 1. The DSR SDT has coordinated with the NERC Events Analysis Working Group to develop the list of events that are to be reported under this standard. EOP-004 Attachment 1 pertains to those actions or events that have impacted the Bulk Electric System. These events were previously reported under EOP-004-1, CIP-001-1 or the Department of Energy form OE-417. EOP-004 Attachment 1 covers similar items that may have had an impact on the Bulk Electric System or has the potential to have an impact and should be reported.~~

~~The DSR SDT wishes to make clear that the proposed Standard does not include any real-time operating notifications for the events listed in EOP-004 Attachment 1. Real-time communication is achieved is covered in other standards. The proposed standard deals exclusively with after-the-fact reporting.~~

### **Data Gathering**

~~The requirements of EOP-004-1 require that entities “promptly analyze Bulk Electric System disturbances on its system or facilities” (Requirement R2). The requirements of EOP-004-3 specify that certain types of events are to be reported but do not include provisions to analyze events. Events reported under EOP-004-3 may trigger further scrutiny by the ERO Events Analysis Program. If warranted, the Events Analysis Program personnel may request that more data for certain events be provided by the reporting entity or other entities that may have experienced the event. Entities are encouraged to become familiar with the Events Analysis Program and the NERC Rules of Procedure to learn more about with the expectations of the program.~~

### **Law Enforcement Reporting**

The reliability objective of EOP-004-~~3-4~~ is to improve the reliability of the Bulk Electric System by requiring the reporting of events by Responsible Entities. Certain outages, such as those due to vandalism and terrorism, may not be reasonably preventable. These are the types of events that should be reported to law enforcement. Entities rely upon law enforcement agencies to respond to and investigate those events which have the potential to impact a wider area of the BES. The inclusion of reporting to law enforcement enables and supports reliability principles such as protection of Bulk Electric System from malicious physical attack. The importance of BES awareness of the threat around them is essential to the effective operation and planning to mitigate the potential risk to the BES.

### **Stakeholders in the Reporting Process**

- Industry
- NERC (ERO), Regional Entity
- FERC
- DOE
- NRC

- DHS – Federal
- Homeland Security- State
- State Regulators
- Local Law Enforcement
- State or Provincial Law Enforcement
- FBI
- Royal Canadian Mounted Police (RCMP)

The above stakeholders have an interest in the timely notification, communication and response to an incident at a Facility. The stakeholders have various levels of accountability and have a vested interest in the protection and response to ensure the reliability of the BES.

### ~~Present expectations of the industry under CIP-001-1a:~~

~~It has been the understanding by industry participants that an occurrence of sabotage has to be reported to the FBI. The FBI has the jurisdictional requirements to investigate acts of sabotage and terrorism. The CIP-001-1-1a standard requires a liaison relationship on behalf of the industry and the FBI or RCMP. These requirements, under the standard, of the industry have not been clear and have led to misunderstandings and confusion in the industry as to how to demonstrate that the liaison is in place and effective. As an example of proof of compliance with Requirement R4, Responsible Entities have asked FBI Office personnel to provide, on FBI letterhead, confirmation of the existence of a working relationship to report acts of sabotage, the number of years the liaison relationship has been in existence, and the validity of the telephone numbers for the FBI.~~

### ~~Coordination of Local and State Law Enforcement Agencies with the FBI~~

~~The Joint Terrorism Task Force (JTTF) came into being with the first task force being established in 1980. JTTFs are small cells of highly trained, locally based, committed investigators, analysts, linguists, SWAT experts, and other specialists from dozens of U.S. law enforcement and intelligence agencies. The JTTF is a multi-agency effort led by the Justice Department and FBI designed to combine the resources of federal, state, and local law enforcement. Coordination and communications largely through the interagency National Joint Terrorism Task Force, working out of FBI Headquarters, which makes sure that information and intelligence flows freely among the local JTTFs. This information flow can be most beneficial to the industry in analytical intelligence, incident response and investigation. Historically, the most immediate response to an industry incident has been local and state law enforcement agencies to suspected vandalism and criminal damages at industry facilities. Relying upon the JTTF coordination between local, state and FBI law enforcement would be beneficial to effective communications and the appropriate level of investigative response.~~

### ~~Coordination of Local and Provincial Law Enforcement Agencies with the RCMP~~

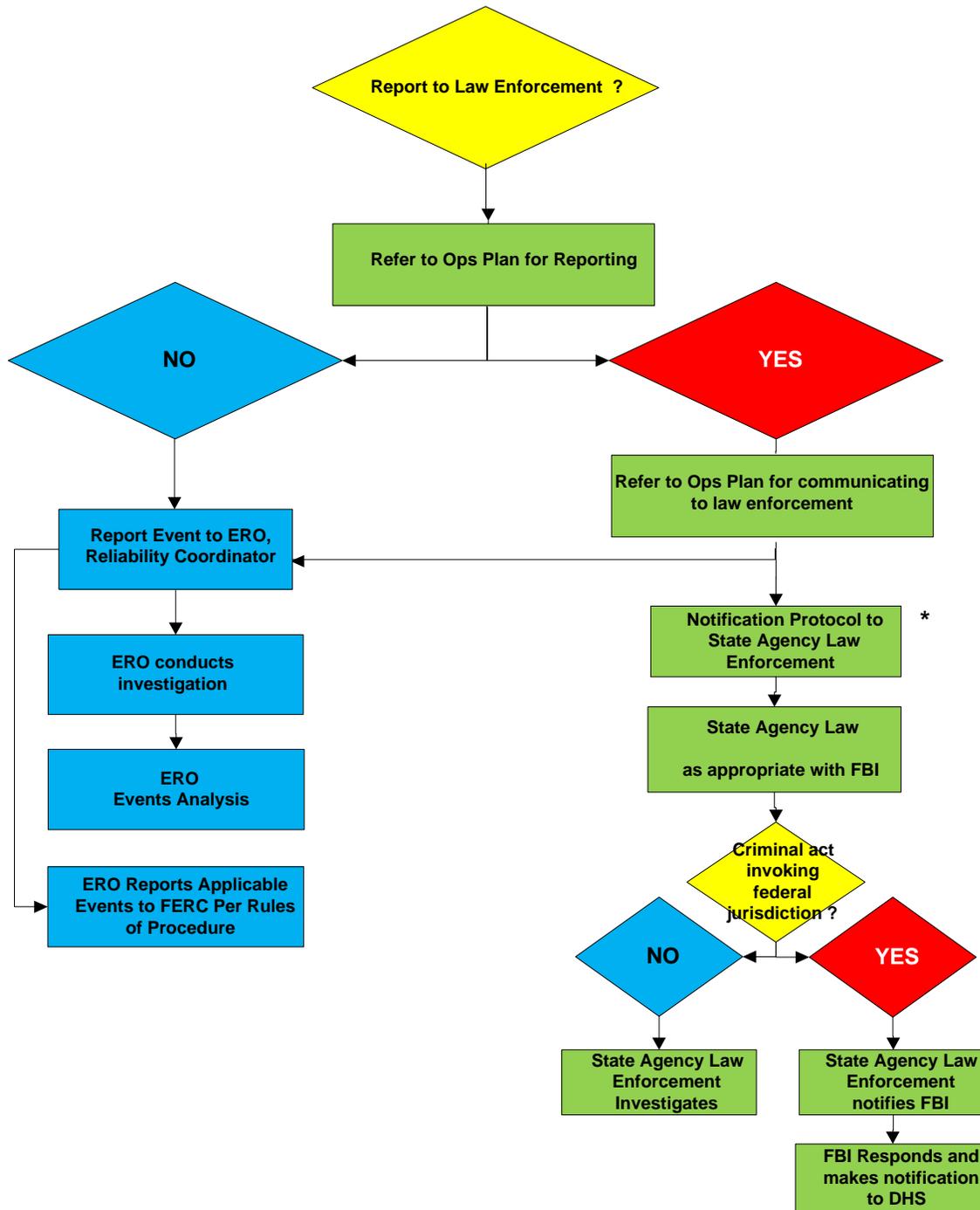
~~A similar law enforcement coordination hierarchy exists in Canada. Local and Provincial law enforcement coordinate to investigate suspected acts of vandalism and sabotage. The Provincial law enforcement agency has a reporting relationship with the Royal Canadian Mounted Police (RCMP).~~

### **A Reporting Process Solution – EOP-004**

A proposal discussed with the FBI, FERC Staff, NERC Standards Project Coordinator and the SDT Chair is reflected in the flowchart below (Reporting Hierarchy for Reportable Events). Essentially, reporting an event to law enforcement agencies will only require the industry to notify the state or provincial or local level law enforcement agency. The state or provincial or local level law enforcement agency will coordinate with law enforcement with jurisdiction to investigate. If the state or provincial or local level law enforcement agency decides federal agency law enforcement or the RCMP should respond and investigate, the state or provincial or local level law enforcement agency will notify and coordinate with the FBI or the RCMP.

Example of Reporting Process including Law Enforcement

Entity Experiencing An Event in Attachment 1



\* Canadian entities will follow law enforcement protocols applicable in their jurisdictions

### ~~Disturbance and Sabotage Reporting Standard Drafting Team (Project 2009-01) — Reporting Concepts~~

#### ~~Introduction~~

~~The SAR for Project 2009-01, Disturbance and Sabotage Reporting was moved forward for standard drafting by the NERC Standards Committee in August of 2009. The Disturbance and Sabotage Reporting Standard Drafting Team (DSR SDT) was formed in late 2009 and has developed updated standards based on the SAR.~~

~~The standards listed under the SAR are:~~

~~CIP-001 — Sabotage Reporting~~

~~EOP-004 — Disturbance Reporting~~

~~The changes do not include any real-time operating notifications for the types of events covered by CIP-001 and EOP-004. The real-time reporting requirements are achieved through the RCIS and are covered in other standards (e.g. EOP-002 Capacity and Energy Emergencies). These standards deal exclusively with after-the-fact reporting.~~

~~The DSR SDT has consolidated disturbance and sabotage event reporting under a single standard. These two components and other key concepts are discussed in the following sections.~~

#### ~~Summary of Concepts and Assumptions:~~

##### ~~The Standard:~~

- ~~● Requires reporting of “events” that impact or may impact the reliability of the Bulk Electric System~~
- ~~● Provides clear criteria for reporting~~
- ~~● Includes consistent reporting timelines~~
- ~~● Identifies appropriate applicability, including a reporting hierarchy in the case of disturbance reporting~~
- ~~● Provides clarity around of who will receive the information~~

##### ~~Discussion of Disturbance Reporting~~

~~Disturbance reporting requirements existed in the previous version of EOP-004. The current approved definition of Disturbance from the NERC Glossary of Terms is:~~

- ~~1. An unplanned event that produces an abnormal system condition.~~
- ~~2. Any perturbation to the electric system.~~
- ~~3. The unexpected change in ACE that is caused by the sudden failure of generation or interruption of load.~~

~~Disturbance reporting requirements and criteria were in the previous EOP-004 standard and its attachments. The DSR SDT discussed the reliability needs for disturbance reporting and~~

developed the list of events that are to be reported under this standard (EOP-004 Attachment 1).

### *Discussion of Event Reporting*

There are situations worthy of reporting because they have the potential to impact reliability.

Event reporting facilitates industry awareness, which allows potentially impacted parties to prepare for and possibly mitigate any associated reliability risk. It also provides the raw material, in the case of certain potential reliability threats, to see emerging patterns.

Examples of such events include:

Bolts removed from transmission line structures

Train derailment adjacent to a Facility that either could have damaged a Facility directly or could indirectly damage a Facility (e.g. flammable or toxic cargo that could pose fire hazard or could cause evacuation of a control center)

Destruction of Bulk Electric System equipment

### **What about sabotage?**

One thing became clear in the DSR SDT's discussion concerning sabotage: everyone has a different definition. The current standard CIP-001 elicited the following response from FERC in FERC Order 693, paragraph 471 which states in part: *"... the Commission directs the ERO to develop the following modifications to the Reliability Standard through the Reliability Standards development process: (1) further define sabotage and provide guidance as to the triggering events that would cause an entity to report a sabotage event."*

Often, the underlying reason for an event is unknown or cannot be confirmed. The DSR SDT believes that by reporting material risks to the Bulk Electric System using the event categorization in this standard, it will be easier to get the relevant information for mitigation, awareness, and tracking, while removing the distracting element of motivation.

Certain types of events should be reported to NERC, the Department of Homeland Security (DHS), the Federal Bureau of Investigation (FBI), and/or Provincial or local law enforcement. Other types of events may have different reporting requirements. For example, an event that is related to copper theft may only need to be reported to the local law enforcement authorities.

### **Potential Uses of Reportable Information**

General situational awareness, correlation of data, trend identification, and identification of potential events of interest for further analysis in the ERO Event Analysis Process are a few potential uses for the information reported under this standard. The standard requires Functional entities to report the incidents and provide known information as known at the time of the report. Further data gathering necessary for analysis is provided for under the ERO Event Analysis Program and the NERC Rules of Procedure. The NERC Rules of Procedure (section 800) provide an overview of the responsibilities of the ERO in regards to analysis and dissemination

of information for reliability. Jurisdictional agencies (which may include DHS, FBI, NERC, RE, FERC, Provincial Regulators, and DOE) have other duties and responsibilities.

~~Event analysis, correlation of data, and trend identification are a few potential uses for the information reported under this standard. The standard requires Functional entities to report the incidents and provide known information at the time of the report. Further data gathering necessary for event analysis is provided for under the Events Analysis Program and the NERC Rules of Procedure. Other entities (e.g., NERC, Law Enforcement, etc) will be responsible for performing the analyses. The NERC Rules of Procedure (section 800) provide an overview of the responsibilities of the ERO in regards to analysis and dissemination of information for reliability. Jurisdictional agencies (which may include DHS, FBI, NERC, RE, FERC, Provincial Regulators, and DOE) have other duties and responsibilities.~~

### **Collection of Reportable Information or “One stop shopping”**

~~The DSR SDT recognizes that some regions require reporting of additional information beyond what is in EOP-004. The DSR SDT has updated the listing of reportable events in EOP-004 Attachment 1 based on discussions with jurisdictional agencies, NERC, Regional Entities and stakeholder input. There is a possibility that regional differences still exist.~~

~~The reporting required by this standard is intended to meet the uses and purposes of NERC. The DSR SDT recognizes that other requirements for reporting exist (e.g., DOE 417 reporting), which may duplicate or overlap the information required by NERC. To the extent that other reporting is required, the DSR SDT envisions that duplicate entry of information should not be necessary, and the submission of the alternate report will be acceptable to NERC so long as all information required by NERC is submitted. For example, if the NERC Report duplicates information from the DOE form, the DOE report may be sent to the NERC in lieu of entering that information on the NERC report.~~

~~ill assure situational awareness to the Electric Reliability Organization so that they may develop trends and prepare for a possible next event and mitigate the current event. This will assure that the BES remains secure and stable by mitigation actions that the Responsible Entity has within its function. By communicating events per the Operating Plan, the Responsible Entity will assure that people/agencies are aware of the current situation and they may prepare to mitigate current and further events.~~

## **Rationale**

During development of this standard, text boxes were embedded within the standard to explain the rationale for various parts of the standard. Upon BOT adoption, the text from the rationale text boxes was moved to this section.