2018 ERO Enterprise Effectiveness Survey
Supplemental Information
May 2019
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Chapter 1: Survey Composition

The individual items included in the survey are identified below by topic area. Respondents were asked to evaluate the survey questions in various ways; some for the ERO Enterprise collectively, some for only NERC, some for each of the Regional Entities, and some for NERC and each of the Regional Entities. The brackets before each item below identifies which organization level applied to the question. The 58 items used in the year-over-year analysis are identified with an asterisk.

ERO Enterprise Principles

1. *[ERO Enterprise] The ERO Enterprise has the requisite technical expertise to execute the ERO’s statutory functions.
2. *[ERO Enterprise] The ERO Enterprise acquires, engages, and retains highly qualified talent suited to the mission.
3. *[ERO Enterprise] The ERO Enterprise uses its technical expertise to focus on significant risks to the BPS and important reliability outcomes.
4. *[ERO Enterprise] The ERO Enterprise has established processes and procedures that are implemented consistently.
5. *[ERO Enterprise] The ERO Enterprise shares common goals and measures of success.
6. *[ERO Enterprise] The ERO Enterprise builds relationships that are founded on mutual trust.
7. *[ERO Enterprise] The ERO Enterprise acts in a coordinated and collaborative manner with stakeholders.
8. *[ERO Enterprise] The ERO Enterprise ensures efficiencies and minimizes duplication and activities not affecting reliability outcomes.
9. *[ERO Enterprise] The ERO Enterprise avoids undue burden, discrimination, or capriciousness affecting registered entities.

Reliability Standards Development

10. *[ERO Enterprise] The ERO Enterprise communicates information about Reliability Standards, their development, and opportunities for stakeholder participation in an efficient and effective manner.
11. [NERC and the Regional Entities separately] The Reliability Standard requirements are clearly stated.
12. [NERC and the Regional Entities separately] Reliability Standards address significant risks to reliability and security.
13. [NERC and the Regional Entities separately] Reliability Standards are practical to implement.
14. [NERC and the Regional Entities separately] Reliability Standards address risk to reliability in a cost-effective manner.

Compliance Monitoring and Enforcement

15. *[ERO Enterprise] The value of risk-based compliance and enforcement activities is well understood by the organization(s) I represent.
16. *[ERO Enterprise] ERO Enterprise compliance activities are efficient and effective.
17. *[Regional Entities] Regional Entity staff performing inherent risk assessments are competent in that area.
18. *[Regional Entities] Regional Entity staff performing audits and internal controls evaluations are competent in those areas.

19. *[Regional Entities] Regional Entity staff performing enforcement activities are competent in that area.

20. [Regional Entities] The risks related to my organization are appropriately identified using inherent risk assessments, evaluation of internal controls and compliance oversight plans to tailor compliance activities.

21. *[Regional Entities] The Regional Entities provide registered entities with the information they need to engage with the ERO Enterprise in risk-based compliance and enforcement activities.

22. *[Regional Entities] The tools, processes, and templates related to risk-based compliance and enforcement activities are consistent where consistency is important.

23. *[NERC and the Regional Entities separately] The level of transparency for risk-based compliance and enforcement is appropriate, balancing efficiency and the confidentiality needs of the organization(s) I represent with the needs of industry as a whole to learn from others.

24. [ERO Enterprise] The ERO Enterprise Program Alignment Process is an effective approach to raise issues of inconsistency across the ERO Enterprise.

25. [ERO Enterprise] The ERO Issues and Recommendations Tracking Spreadsheet is providing useful information to the organization(s) I represent.

26. [ERO Enterprise] The process for developing and submitting Implementation Guidance for ERO endorsement is well-defined and understood.

27. [ERO Enterprise] The organization(s) I represent uses the ERO Enterprise-Endorsed Implementation Guidance to achieve and demonstrate compliance.

**Compliance Monitoring**

28. *[Regional Entities] The audit process (including pre- and post-audit activities) for the most recent audit of the organization(s) I represent was well-defined, organized, and followed established procedures.

29. *[Regional Entities] The audit report from the most recent audit of the organization(s) I represent identified clear, definitive, and actionable items to address.

30. *[Regional Entities] The implementation of spot checks was well-defined, organized, and followed established procedures.

31. *[Regional Entities] The self-reporting process is well defined, organized, and followed established procedures.

32. *[Regional Entities] The self-certification process is well defined, organized, and followed established procedures.

**Compliance Enforcement**

33. *[Regional Entities] Communication of violations clearly and specifically describes the manner in which a requirement was violated.

34. *[Regional Entities] Communication of violations clearly and specifically describes the risk of possible violation, both actual and potential.

35. *[Regional Entities] The mitigation plan submission and approval process is efficient and effective.

36. *[Regional Entities] Settlement results are transparent, consistently applied, and clearly communicated.

37. *[Regional Entities] Penalty results are transparent, consistently applied, and clearly communicated.
Organization Registration and Certification

38. *[ERO Enterprise] The risk-based registration process ensures that appropriate entities are registered or deregistered commensurate with risk to the Bulk Electric System (BES).

39. *[ERO Enterprise] The organization registration process is well-defined and the definitions are clear.

40. *[ERO Enterprise] The organization Deactivation/deregistration process is well-defined and implemented in a timely manner.

41. *[ERO Enterprise] The recent experience with the registration and/or Deactivation/deregistration process, if any, was appropriate for the organizations(s) I represent.

42. *[NERC] The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear.

43. *[Regional Entities] The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is consistently implemented.

44. *[NERC] There is a timely and effective response during the Registry Appeals Process.

45. *[NERC] The certification process ensures that entities are certified commensurate with risk to the BES.

46. *[NERC] Organization certification/re-certification rules and procedures are clear and consistently implemented.

Personnel Certification

47. *[NERC] The personnel certification program is valuable in promoting skilled, trained, and qualified BPS operators.

Reliability Assessment and Performance Analysis

48. *[NERC] NERC is effective in preparing and communicating reliability assessments (e.g., Long-term, seasonal, and special) and recommendations to stakeholders, policy makers, and the public.

49. *[NERC] NERC effectively reports on bulk power generation and transmission reliability, including the highest risk emerging and long-term reliability issues of specific regional and North American concern.

50. *[ERO Enterprise] The ERO Enterprise compiles and publishes useful information on BES reliability performance metrics, benchmarks, and trends.

51. *[ERO Enterprise] The ERO Enterprise identifies and prioritizes risks based on reliability impacts, cost and practicality of mitigation, and projected resources.

52. *[NERC and the Regional Entities separately] NERC and the Regional Entities consistently and effectively analyze events and system performance to identify reliability risks, trends, and mitigating activities.

53. *[NERC and the Regional Entities separately] NERC and the Regional Entities develop and disseminate timely and useful information about system events and specific reliability risks affecting reliable operation of the BES.

54. *[NERC] NERC effectively uses the Alert process as described in Rule of Procedure 810.

Training and Education

55. *[ERO Enterprise] The ERO Enterprise provides effective training to registered entities on Reliability Standards.

Situational Awareness and Infrastructure Security
56. [NERC] NERC serves as an effective leader and facilitator of the industry’s efforts to gain, maintain, and communicate awareness of conditions on the BPS.

**Annual Business Plan and Budget Development**

57. *[NERC and the Regional Entities separately] NERC and the Regional Entities provide reasonable opportunity for members and other stakeholders to provide input in the annual business plan and budgeting process.

58. *[NERC and the Regional Entities separately] NERC and the Regional Entities provide sufficient information in support of its business plan and budget and its quarterly and annual financial reporting.

**Stakeholder Communications and Public Relations**

59. *[NERC and the Regional Entities separately] NERC and the Regional Entities provide public websites that are useful in meeting stakeholder needs, including ease of access and up-to-date information.

60. *[NERC and the Regional Entities separately] NERC and the Regional Entities provide newsletters, conferences, and other stakeholder communications that provide stakeholders with useful and timely information regarding reliability and ERO Enterprise activities.

61. *[NERC and the Regional Entities separately] NERC and the Regional Entities provide effective outreach to stakeholders, including smaller entities with limited ability to travel to meetings and conferences.

**Electricity Information Sharing and Analysis Center**

62. *[NERC] I use the E-ISAC portal: (a) daily; (b) weekly; (c) monthly; (d) never; (e) other.

63. *[NERC] The new E-ISAC portal (launched in December 2017) is a useful resource.

64. [NERC] The E-ISAC is a resource for threat information and analysis.

65a. *[NERC] The E-ISAC shares information on threats and incidents (e.g., bulletins, assessments, weekly/monthly reports, etc.) that is timely.

65b. *[NERC] The E-ISAC shares information on threats and incidents (e.g., bulletins, assessments, weekly/monthly reports, etc.) that is informative.

65c. [NERC] The E-ISAC shares information on threats and incidents (e.g., bulletins, assessments, weekly/monthly reports, etc.) that is actionable.

66. *[NERC] The E-ISAC provides unique insights on information about threats and incidents.

67a. *[NERC] The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are timely.

67b. [NERC] The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are informative.

67c. [NERC] The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are actionable.

68. *[NERC] The E-ISAC offers products and services that provide unique insights (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.).

69. [NERC] My organization trusts the E-ISAC to safeguard information.

70. [NERC] Please tell us about a positive experience you have had with the E-ISAC.

71. [NERC] Please tell us about a negative experience you have had with the E-ISAC.
72. [NERC] Which of the E-ISAC’s products or services do you find the most valuable?
73. [NERC] Which of the E-ISAC’s products or services do you find the least valuable?
74. [NERC] What type of product or service would you like to see the E-ISAC consider for the future?

International ERO

75. *[ERO Enterprise] The ERO Enterprise has taken appropriate steps to support North American reliability efforts in non-U.S. jurisdictions.

Effectiveness and Efficiency

76. *[ERO Enterprise] Identify the top three opportunities for improving the effectiveness and efficiency of ERO Enterprise operations, including stakeholder engagement.
Chapter 2: Favorability Analysis

Favorability analysis provides an additional perspective on the strength of stakeholder perception. All responses were re-characterized as “Unfavorable” (rating of 1 or 2), “Neutral” (rating of 3), and “Favorable” (rating of 4 or 5). The analysis excluded “Not Applicable” or missing responses. Figures 2.1 through 2.21 identify the favorability analysis for each rated item by program area.

Figure 2.1: ERO Enterprise Principles

Figure 2.2: ERO Enterprise Principles, Cont’d.
Chapter 2: Favorability Analysis

Figure 2.3: Reliability Standards Development

Figure 2.4: Reliability Standards Development, Cont’d.

Figure 2.5: Compliance Monitoring and Enforcement, Cont’d.
Figure 2.6: Compliance Monitoring and Enforcement, Cont’d.

Figure 2.7: Compliance Monitoring and Enforcement, Cont’d.

Figure 2.8: Compliance Monitoring and Enforcement, Cont’d.
Chapter 2: Favorability Analysis

Figure 2.9: Compliance Monitoring and Enforcement, Cont’d.

Figure 2.10: Organization Registration and Certification

Figure 2.11: Organization Registration and Certification, Cont’d.
Chapter 2: Favorability Analysis

Figure 2.12: Personnel Certification

The personnel certification program is valuable in promoting skilled, trained, and qualified BPS operators.

Figure 2.13: Reliability Assessment and Performance Analysis

NERC is effective in preparing and communicating reliability assessments (e.g., Long-term, seasonal, and special) and recommendations to stakeholders, policy makers, and the public.

NERC effectively reports on bulk power generation and transmission reliability, including the highest risk-emerging and long-term reliability issues of specific regional and North American concern.

The ERO Enterprise compiles and publishes useful information on BPS reliability performance metrics, benchmarks, and trends.

The ERO Enterprise identifies and prioritizes risks based on reliability impacts, cost and practicality of mitigation, and projected resources.

Figure 2.14: Reliability Assessment and Performance Analysis, Cont’d.

NERC consistently and effectively analyzes events and system performance to identify reliability risks, trends, and mitigating activities.

Regional Entities consistently and effectively analyze events and system performance to identify reliability risks, trends, and mitigating activities.

NERC develops and disseminates timely and useful information about system events and specific reliability risks.

Regional Entities develop and disseminate timely and useful information about system events and specific reliability risks.

NERC effectively uses the Alert process as described in Rule of Procedure 810.
Chapter 2: Favorability Analysis

**Figure 2.15: Training and Education**

The ERO Enterprise provides effective training to registered entities on Reliability Standards.

**Figure 2.16: Situational Awareness and Infrastructure Security**

NERC serves as an effective leader and facilitator of the industry’s efforts to plan, maintain, and communicate awareness of conditions on the EPS.

**Figure 2.17: Annual Business Plan and Budget Development**

NERC provides reasonable opportunity for members and other stakeholders to provide input in the annual business plan and budgeting process.

The Regional Entities provide reasonable opportunity for members and other stakeholders to provide input in the annual business plan and budgeting process.

NERC provides sufficient information in support of its business plan and budget and its quarterly and annual financial reporting.

The Regional Entities provide sufficient information in support of its business plan and budget and its quarterly and annual financial reporting.
### Figure 2.18: Stakeholder Communication and Public Relations

<table>
<thead>
<tr>
<th>Item 59a - 61b</th>
<th>Favorable</th>
<th>Neutral</th>
<th>Unfavorable</th>
</tr>
</thead>
<tbody>
<tr>
<td>NERC provides public websites that are useful in meeting stakeholder needs, including ease of access and up-to-date information.</td>
<td>354</td>
<td>109</td>
<td>68</td>
</tr>
<tr>
<td>The Regional Entities provide public websites that are useful in meeting stakeholder needs, including ease of access and up-to-date information.</td>
<td>464</td>
<td>134</td>
<td>50</td>
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<tr>
<td>NERC provides newsletters, conferences, and other stakeholder communications that provide stakeholders with useful and timely information regarding reliability and ERO Enterprise activities.</td>
<td>441</td>
<td>79</td>
<td>17</td>
</tr>
<tr>
<td>The Regional Entities provide newsletters, conferences, and other stakeholder communications that provide stakeholders with useful and timely information regarding reliability and ERO Enterprise activities.</td>
<td>539</td>
<td>84</td>
<td>28</td>
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<tr>
<td>NERC provides effective outreach to stakeholders, including smaller entities with limited ability to travel to meetings and conferences.</td>
<td>142</td>
<td>126</td>
<td>49</td>
</tr>
<tr>
<td>The Regional Entities provide effective outreach to stakeholders, including smaller entities with limited ability to travel to meetings and conferences.</td>
<td>474</td>
<td>104</td>
<td>51</td>
</tr>
</tbody>
</table>

### Figure 2.19: E-ISAC

<table>
<thead>
<tr>
<th>Items 63 - 65c</th>
<th>Favorable</th>
<th>Neutral</th>
<th>Unfavorable</th>
</tr>
</thead>
<tbody>
<tr>
<td>The new E-ISAC portal (launched in December 2017) is a useful resource.</td>
<td>370</td>
<td>79</td>
<td>8</td>
</tr>
<tr>
<td>The E-ISAC is my primary resource for threat information and analysis.</td>
<td>156</td>
<td>97</td>
<td>50</td>
</tr>
<tr>
<td>The E-ISAC shares information on threats and incidents e.g., bulletins, assessments, weekly, monthly reports, etc. that is timely.</td>
<td>243</td>
<td>54</td>
<td>22</td>
</tr>
<tr>
<td>The E-ISAC shares information on threats and incidents e.g., bulletins, assessments, weekly, monthly reports, etc. that is informative.</td>
<td>269</td>
<td>47</td>
<td>3</td>
</tr>
<tr>
<td>The E-ISAC shares information on threats and incidents e.g., bulletins, assessments, weekly, monthly reports, etc. that is actionable.</td>
<td>221</td>
<td>83</td>
<td>16</td>
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</table>

### Figure 2.20: E-ISAC, Cont’d.

<table>
<thead>
<tr>
<th>Items 66 - 69</th>
<th>Favorable</th>
<th>Neutral</th>
<th>Unfavorable</th>
</tr>
</thead>
<tbody>
<tr>
<td>The E-ISAC provides unique insights on information about threats and incidents.</td>
<td>224</td>
<td>84</td>
<td>14</td>
</tr>
<tr>
<td>The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are timely.</td>
<td>210</td>
<td>74</td>
<td>15</td>
</tr>
<tr>
<td>The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are informative.</td>
<td>238</td>
<td>67</td>
<td>10</td>
</tr>
<tr>
<td>The E-ISAC offers products and services (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.) that are actionable.</td>
<td>209</td>
<td>91</td>
<td>14</td>
</tr>
<tr>
<td>The E-ISAC offers products and services that provide unique insights (security awareness information, webinars, briefing sessions, security conferences and training and security exercises, etc.).</td>
<td>229</td>
<td>88</td>
<td>15</td>
</tr>
<tr>
<td>My organization trusts the E-ISAC to safeguard information.</td>
<td>238</td>
<td>76</td>
<td>3</td>
</tr>
</tbody>
</table>
Figure 2.21: International ERO

The ERO Enterprise has taken appropriate steps to support North American reliability efforts in non-U.S. jurisdictions.
Chapter 3: Year-Over-Year Analysis

Figures 3.1 through 3.14 reflect the year-over-year comparison for each of the 58 items used for this analysis by program area.

**Figure: 3.1: ERO Enterprise Principles**

**Figure: 3.2: Reliability Standards Development**
Chapter 3: Year-Over-Year Analysis

Figure 3.3: Compliance Monitoring and Enforcement

Figure 3.4: Compliance Monitoring and Enforcement, Cont’d.
Figure 3.5: Compliance Monitoring and Enforcement, Cont’d.

Figure 3.6: Organization Registration and Certification
Figure 3.7: Personnel Certification

- The personnel certification program is valuable in promoting skilled, training, and qualified BPS Operators.

Figure 3.8: Reliability Assessment and Performance Analysis

- NERC is effective in preparing and communicating reliability assessments (e.g., long-term, seasonal, and special) and recommendations to stakeholders, policy makers, and the public.

- NERC effectively reports on bulk power generation and transmission reliability, including the highest risk emerging and long-term reliability issues of specific regional and North American concern.

- The ERO Enterprise identifies and prioritizes risks based on reliability impacts, cost and practicality of mitigation, and projected resources.

- NERC and the Regional Entities consistently and effectively analyze events and system performance to identify reliability risks, trends, and mitigating activities.

- NERC and the Regional Entities develop and disseminate timely and useful information about system events and specific reliability risks affecting reliable operation of the BES.

- NERC effectively uses the Alert process as described in Rule of Procedure 810.

Figure 3.9: Training and Education

- The ERO Enterprise provides effective training to registered entities on Reliability Standards.
Figure 3.10: Annual Business Plan and Budget Development

Figure 3.11: Stakeholder Communications and Public Relations

Figure 3.12: E-ISAC
Chapter 3: Year-Over-Year Analysis

Figure 3.13: E-ISAC, Cont’d.

Figure 3.14: International ERO