

# Agenda

## Project Management and Oversight Subcommittee Meeting

December 8, 2020 | 2:30–4:30 p.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 172 028 6390 | Meeting Password: 120820

Click here for: [WebEx Access](#)<sup>1</sup>

### Introduction and Chair's Remarks

### NERC Antitrust Compliance Guidelines and Public Announcement NERC Participant Policy

### Agenda Items

1. **Consent Agenda - Approve - Charles Yeung**
  - a. October 28, 2020 Project Management and Oversight Subcommittee Meeting Minutes\*
2. **Prior Action Items - Review - Charles Yeung / Elsa Prince**
  - a. COVID-19 Update: NERC Travel and Meeting Policy
  - b. Welcome the New Members - PMOS Liaisons
  - c. 2021 PMOS Scope
  - d. PMOS home page
3. **Project Tracking Spreadsheet ([PTS](#)) - Review**
  - a. Standards Efficiency Review Phase II - **Update** - Michael Brytowski or Linda Lynch
  - b. 2015-09 – Establish and Communicate System Operating Limits - Ken Lanehome
    - i. 2015-09 (Phase I) - **Update**
    - ii. 2015-09b – Establish and Communicate System Operating Limits - **On Hold**
  - c. 2016-02 – Modifications to CIP Standards – Ken Lanehome, Ash Mayfield, or Kirk Rosener
    - i. (2016-02d) Version 5 TAG, Cyber Asset and BES CA (BCA) definitions, Network and Externally Accessible Devices (ESP, ERC, IRA), Virtualization, and CIP Exceptional Circumstances - **Update**

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<sup>1</sup> When joining the web portion, start with the web link first. Once logged in, a dialog box will open with all numbers or an option for WebEx to call your number. More importantly, it will give you your ATTENDEE ID#. Please use that number, if calling in, when prompted to do so. It links your web session to the caller on the phone.

- d. 2017-01 – Modifications to BAL-003-1 - *Linda Lynch or Mark Pratt*
    - i. 2017-01 (b) (Phase II) - **Update**
  - di. 2018-03 Standards Efficiency Review Retirements (SER-Phase I) - **Update** – *Mark Pratt or Michael Brytowski*
  - dii. 2019-02 – BES Cyber System Information Access Management (CIP-004 and CIP-011) - **Update** *Colby Bellville or Kirk Rosener*
  - diii. 2019-03 – Cyber Security Supply Chain Risks - **Update** - *Linda Lynch, Masuncha Bussey, or Kirk Rosener*
  - div. 2019-04 – Modifications to PRC-005 - **Update** - *Mark Pratt or Linda Lynch*
  - dv. 2019-05 – Modifications to PER-003 - **On Hold** - *Colby Bellville or Charles Yeung*
    - i. PCGC Update
  - dvi. 2019-06 – Cold Weather - **Update** - *Quinn Morrison or Michael Brytowski*
  - dvii. 2020-01 – Modifications to MOD-032-1 - **Update** - *Linda Lynch or Quinn Morrison*
  - dviii. 2020-02 – Transmission-connected Resources - **Update** - *Linda Lynch*
  - dix. 2020-03 – Supply Chain Low Impact Revisions - **Update** - *Masuncha Bussey*
  - dx. 2020-04 – Modifications to CIP-012-1 - **Update** - *Colby Bellville or Ash Mayfield*
- 4. Other**
- a. Next meeting
    - i. Conference call on Tuesday, January 19, 2021 from 2:30-4:30 p.m. Eastern
  - b. Other
- 5. Adjournment**

\*Background materials included.

# NERC Antitrust Compliance Guidelines

## I. General

It is NERC's policy and practice to obey the antitrust laws and to avoid all conduct that unreasonably restrains competition. This policy requires the avoidance of any conduct that violates, or that might appear to violate, the antitrust laws. Among other things, the antitrust laws forbid any agreement between or among competitors regarding prices, availability of service, product design, terms of sale, division of markets, allocation of customers or any other activity that unreasonably restrains competition.

It is the responsibility of every NERC participant and employee who may in any way affect NERC's compliance with the antitrust laws to carry out this commitment.

Antitrust laws are complex and subject to court interpretation that can vary over time and from one court to another. The purpose of these guidelines is to alert NERC participants and employees to potential antitrust problems and to set forth policies to be followed with respect to activities that may involve antitrust considerations. In some instances, the NERC policy contained in these guidelines is stricter than the applicable antitrust laws. Any NERC participant or employee who is uncertain about the legal ramifications of a particular course of conduct or who has doubts or concerns about whether NERC's antitrust compliance policy is implicated in any situation should consult NERC's General Counsel immediately.

## II. Prohibited Activities

Participants in NERC activities (including those of its committees and subgroups) should refrain from the following when acting in their capacity as participants in NERC activities (e.g., at NERC meetings, conference calls and in informal discussions):

- Discussions involving pricing information, especially margin (profit) and internal cost information and participants' expectations as to their future prices or internal costs.
- Discussions of a participant's marketing strategies.
- Discussions regarding how customers and geographical areas are to be divided among competitors.
- Discussions concerning the exclusion of competitors from markets.
- Discussions concerning boycotting or group refusals to deal with competitors, vendors or suppliers.
- Any other matters that do not clearly fall within these guidelines should be reviewed with NERC's General Counsel before being discussed.

## III. Activities That Are Permitted

From time to time decisions or actions of NERC (including those of its committees and subgroups) may have a negative impact on particular entities and thus in that sense adversely impact competition. Decisions and actions by NERC (including its committees and subgroups) should only be undertaken for the purpose of promoting and maintaining the reliability and adequacy of the bulk power system. If you do not have a

legitimate purpose consistent with this objective for discussing a matter, please refrain from discussing the matter during NERC meetings and in other NERC-related communications.

You should also ensure that NERC procedures, including those set forth in NERC's Certificate of Incorporation, Bylaws, and Rules of Procedure are followed in conducting NERC business.

In addition, all discussions in NERC meetings and other NERC-related communications should be within the scope of the mandate for or assignment to the particular NERC committee or subgroup, as well as within the scope of the published agenda for the meeting.

No decisions should be made nor any actions taken in NERC activities for the purpose of giving an industry participant or group of participants a competitive advantage over other participants. In particular, decisions with respect to setting, revising, or assessing compliance with NERC reliability standards should not be influenced by anti-competitive motivations.

Subject to the foregoing restrictions, participants in NERC activities may discuss:

- Reliability matters relating to the bulk power system, including operation and planning matters such as establishing or revising reliability standards, special operating procedures, operating transfer capabilities, and plans for new facilities.
- Matters relating to the impact of reliability standards for the bulk power system on electricity markets, and the impact of electricity market operations on the reliability of the bulk power system.
- Proposed filings or other communications with state or federal regulatory authorities or other governmental entities.
- Matters relating to the internal governance, management and operation of NERC, such as nominations for vacant committee positions, budgeting and assessments, and employment matters; and procedural matters such as planning and scheduling meetings.

## Public Meeting Notice

REMINDER FOR USE AT BEGINNING OF MEETINGS AND CONFERENCE CALLS THAT HAVE BEEN PUBLICLY NOTICED AND ARE OPEN TO THE PUBLIC

### **Conference call/webinar version:**

As a reminder to all participants, this webinar is public. The registration information was posted on the NERC website and widely distributed. Speakers on the call should keep in mind that the listening audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

### **Face-to-face meeting version:**

As a reminder to all participants, this meeting is public. Notice of the meeting was posted on the NERC website and widely distributed. Participants should keep in mind that the audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

### **For face-to-face meeting, with dial-in capability:**

As a reminder to all participants, this meeting is public. Notice of the meeting was posted on the NERC website and widely distributed. The notice included the number for dial-in participation. Participants should keep in mind that the audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

# NERC Participant Conduct Policy

## General

Consistent with its Rules of Procedure, Bylaws, and other governing documents, NERC regularly collaborates with its members and other stakeholders to help further its mission to assure the effective and efficient reduction of risks to the reliability and security of the grid. Many NERC members and other bulk power system experts provide time and expertise to NERC, and the general public, by participating in NERC committees, subcommittees, task forces, working groups, and standard drafting teams, among other things. To ensure that NERC activities are conducted in a responsible, timely, and efficient manner, it is essential to maintain a professional and constructive work environment for all participants, including NERC staff; members of NERC committees, subcommittees, task forces, working groups, and standard drafting teams; as well as any observers of these groups. To that end, NERC has adopted the following Participant Conduct Policy (this “Policy”) for all participants engaged in NERC activities. Nothing in this Policy is intended to limit the powers of the NERC Board of Trustees or NERC management as set forth in NERC’s organizational documents, the NERC Rules of Procedure, or under applicable law. This Policy does not apply to the NERC Board of Trustees or the Member Representatives Committee.

## Participant Conduct Policy

All participants in NERC activities must conduct themselves in a professional manner at all times. This Policy includes in-person conduct and any communication, electronic or otherwise, made as a participant in NERC activities. Examples of unprofessional conduct include, but are not limited to, verbal altercations, use of abusive language, personal attacks or derogatory statements made against or directed at another participant, and frequent or patterned interruptions that disrupt the efficient conduct of a meeting or teleconference.

Additionally, participants shall not use NERC activities for commercial purposes or for their own private purposes, including, but not limited to, advertising or promoting a specific product or service, announcements of a personal nature, sharing of files or attachments not directly relevant to the purpose of the NERC activity, and communication of personal views or opinions, unless those views are directly related to the purpose of the NERC activity. Unless authorized by an appropriate NERC officer, individuals participating in NERC activities are not authorized to speak on behalf of NERC or to indicate their views represent the views of NERC, and should provide such a disclaimer if identifying themselves as a participant in a NERC activity to the press, at speaking engagements, or through other public communications.

Finally, participants shall not distribute work product developed during the course of NERC activities if that work product is deemed Confidential Information consistent with the NERC Rules of Procedure Section 1500. Participants also shall not distribute work product developed during the course of NERC activities if distribution is not permitted by NERC or the relevant committee chair or vice chair (e.g., an embargoed report), provided that NERC, or the committee chair or vice chair in consultation with NERC staff, may grant in writing a request by a participant to allow further distribution of the work product to one or more specified entities within its industry sector if deemed to be appropriate. Any participant that distributes

work product labeled “embargoed,” “do not release,” or “confidential” (or other similar labels) without written approval for such further distribution would be in violation of this Policy. Such participants would be subject to restrictions on participation, including permanent removal from participation on a NERC committee or other NERC activity.

## **Reasonable Restrictions on Participation**

If a participant does not comply with this Policy, certain reasonable restrictions on participation in NERC activities may be imposed as described below.

If a NERC staff member, or committee chair or vice chair after consultation with NERC staff, determines, by his or her own observation or by complaint of another participant, that a participant’s behavior is disruptive to the orderly conduct of a meeting in progress or otherwise violates this Policy, the NERC staff member or committee chair or vice chair may remove the participant from a meeting. Removal by the NERC staff member or committee chair or vice chair is limited solely to the meeting in progress and does not extend to any future meeting. Before a participant may be asked to leave the meeting, the NERC staff member or committee chair or vice chair must first remind the participant of the obligation to conduct himself or herself in accordance with this Policy and provide an opportunity for the participant to comply. If a participant is requested to leave a meeting by a NERC staff member or committee chair or vice chair, the participant must cooperate fully with the request.

Similarly, if a NERC staff member, or committee chair or vice chair after consultation with NERC staff, determines, by his or her own observation or by complaint of another participant, that a participant’s behavior is disruptive to the orderly conduct of a teleconference in progress or otherwise violates this Policy, the NERC staff member or committee chair or vice chair may request the participant to leave the teleconference. Removal by the NERC staff member or committee chair or vice chair is limited solely to the teleconference in progress and does not extend to any future teleconference. Before a participant may be asked to leave the teleconference, the NERC staff member or committee chair or vice chair must first remind the participant of the obligation to conduct himself or herself in accordance with this Policy and provide an opportunity for the participant to comply. If a participant is requested to leave a teleconference by a NERC staff member or committee chair or vice chair, the participant must cooperate fully with the request. Alternatively, the NERC staff member or committee chair or vice chair may choose to terminate the teleconference.

At any time, a NERC officer, after consultation with NERC’s General Counsel, may impose a restriction on a participant from one or more future meetings or teleconferences, a restriction on the use of any NERC-administered listserv or other communication list, or such other restriction as may be reasonably necessary to maintain the orderly conduct of NERC activities. Before approving any such restriction, the NERC General Counsel must provide notice to the affected participant and an opportunity to submit a written objection to the proposed restriction no fewer than seven days from the date on which notice is provided. If approved, the restriction is binding on the participant, and NERC will notify the organization employing or contracting with the restricted participant. A restricted participant may request removal of the restriction by submitting a request in writing to the NERC General Counsel. The restriction will be removed at the reasonable discretion of the NERC General Counsel or a designee.

Upon the authorization of the NERC General Counsel, NERC may require any participant in any NERC activity to execute a written acknowledgement of this Policy and its terms and agree that continued participation in any NERC activity is subject to compliance with this Policy.

### **Guidelines for Use of NERC Email Lists**

NERC provides email lists, or “listservs,” to NERC stakeholder committees, groups, and teams to facilitate sharing information about NERC activities. It is the policy of NERC that all emails sent to NERC listservs be limited to topics that are directly relevant to the listserv group’s assigned scope of work. NERC reserves the right to apply administrative restrictions to any listserv or its participants, without advance notice, to ensure that the resource is used in accordance with this and other NERC policies.

Prohibited activities include using NERC-provided listservs for any price-fixing, division of markets, and/or other anti-competitive behavior. Recipients and participants on NERC listservs may not utilize NERC listservs for their own private purposes. This may include lobbying for or against pending balloted standards, announcements of a personal nature, sharing of files or attachments not directly relevant to the listserv group’s scope of responsibilities, or communication of personal views or opinions, unless those views are provided to advance the work of the listserv’s group. Any offensive, abusive, or obscene language or material shall not be sent across the NERC listservs.

Any participant who has concerns about this Policy may contact NERC’s General Counsel.

<b>Version History</b>		
<b>Version</b>	<b>Date</b>	<b>Revisions</b>
1	February 6, 2019	Initial version
2	February 22, 2019	Clarified policy does not apply to Board or MRC  Address participants speaking on behalf of NERC

# Meeting Minutes Project Management and Oversight Subcommittee (PMOS)

October 28, 2020 | 1:00–3:00 p.m. Eastern

## Introduction and Chair's Remarks

Chair C. Yeung called the meeting, to order at 1:00 p.m. Eastern. The meeting was announced via the PMOS email distribution list on October 26, 2020 as well as being publicly posted on the [www.nerc.com](http://www.nerc.com) website. The chair provided the subcommittee with opening remarks and welcomed members<sup>1</sup> and guests. The secretary held roll call for members and identified other attendees that were in attendance. Those in attendance included:

Members: Charles Yeung (PMOS chair), Michael Brytowski (PMOS vice chair), Ash Mayfield, Colby Bellville, Masuncha Bussey, Linda Lynch, Quinn Morrison, Mark Pratt, Kirk Rosener, and Ken Lanehome. A quorum of voting members (i.e. ten of ten) in addition to non-voting member Todd Bennett.

Observers: from industry: Guy Zito (NPCC), Sing Tay (OGE), Kent Feliks (AEP), Kim Zimmerman (EnergySec), Mike Johnson (PGE), Kim VanBrimer (SPP), Rebecca Moore Darrah (ACES), Cristhian Godoy (ConEd), Claudine Fritz (Exelon) and Holden Mann (RTO Insider); from NERC: Alison Oswald, Marisa Hecht, and Elsa Prince (secretary).

## NERC Antitrust Compliance Guidelines and Public Announcement

The NERC Antitrust Compliance Guidelines, NERC Participant Conduct Policy, and Public Announcement were presented and reviewed by the secretary. The secretary noted the full antitrust guidelines, participant conduct policy and public announcement were provided in the agenda package to each member via email and posted on the PMOS webpage. There were no questions.

## Agenda Items

### 1. Review of Agenda

Chair Yeung reviewed the agenda with members and attendees.

### 2. Consent Agenda

The September 23, 2020 Meeting Minutes were reviewed, motion by Q. Morrison, was properly seconded, and approved by unanimous consent.

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<sup>1</sup> The PMOS is composed of industry stakeholders where the chair or vice chair must be a member of the Standards Committee (SC) and the SC leadership are non-voting members of the PMOS.

### 3. Review of Prior Action Items

- a. E. Prince provided a status update on the COVID-19 NERC travel and meeting policy.
- b. Chair Yeung announced that he will renew his two-year team, from January 1, 2021- December 31, 2022.
- c. Chair Yeung updated the team on the solicitation for nominees, and the leadership team will finalize their decision on the candidates after reviewing their qualifications and the PMOS work load. Chair Yeung reminded the PMOS liaisons' to review their 2021 company budget to ensure it aligns with the travel and meeting policies.
- d. E. Prince requested that the team finish providing their updates to the PMOS scope document. After receiving the comments, the PMOS leadership team will review the comments and make their updates. Prior to the next team call, the final scope document will be emailed to the team for their final review.

### 4. Project Tracking Spreadsheet (PTS) and Project Review

- a. **2015-09** – Establish and Communicate System Operating Limits (SOL) – K. Lanehome reported the following:
- b. **Phase I (2015-09)**: An additional ballot was posted on Oct 23 which includes edits based on feedback from the previous comment period to FAC-014 and the implementation plan. The implementation plan has been extended from 12 to 24 months. Assuming this additional ballot passes it will go to final ballot next. The team anticipates that the project should be complete in December 2020.
- c. **2015-09b**: The IROL portion of the project has been placed on hold pending additional information. The SDT decided that IROL modifications will not be made to CIP-002 at this time. The CIP SDT (2016-02c) will finish their work and post with no changes to the IROL language. CIP-002 will be re-opened during phase 2 of this project to address the IROL language.
- d. **2016-02** – Modifications to Critical Infrastructure Protection (CIP) Standards – K. Lanehome reported the following:
  - i. **Phase IV (2016-02d)** CIP-002-5.1a: The CIP SDT has been focused on industry outreach and had a successful virtual workshop on Sep 30. With the CIP Supply Chain project passing, virtualization now has priority among the remaining CIP projects. The SDT is increasing the frequency of their meetings to complete edits and get ready for the initial posting. The initial posting is currently planned for the end of January with the project completing by the December 2021.
- e. **2017-01** – Modifications to BAL-003-1.1 – L. Lynch reported the following:

**Phase II (2017-01b)**: The SDT continued to work on the whitepaper. The purpose of the technical whitepaper is to assist in deciding if Phase II should involve revisions to existing Standard requirements; or, revisions and new requirements for GO | GOP functional registrations. The goal is to have an informal posting of the whitepaper in December. The first

formal posting for Phase II can be postponed until March 2021. The SDT is working towards presenting Phase II to the NERC BOT for approval in August 2021.

- f. **2019-02** – BES Cyber System Information Access Management – K. Rosener reported that the ballot results from the August/September posting did not pass. The SDT will be submitting an additional posting. The next posting is tentatively scheduled for December 2020. The SDT has reviewed the responses from industry on the 7 questions contained in the posting. The team has established objectives for two sub-teams to achieve in making additional revisions to CIP-004 and CIP-011. At a high level, Industry is seeking additional clarity in the requirements with respect to providing security controls in accessing electronic data as well as protecting electronic data in cloud environments. Also, Industry still needs clarity on the CIP-011 risk assessment versus the assessment performed in CIP-013.
- g. **2019-03** – Cyber Security Supply Chain Risk – M. Bussey reported that the project passed final ballot on October 16. The standards will be presented to NERC board during the November 2020 meeting and filed with FERC shortly after to meet the December 26<sup>th</sup> deadline.
- h. **2019-04** – Modifications to PRC-005-6 – M. Pratt reported that the SAR Drafting Team continues their review of industry comments, preparing responses and making refinements to the SAR to provide additional clarity in the scope of Protection Systems impacted by the proposed changes to the Standard. This activity is expected to be completed with the call scheduled for October 30, 2020. The next steps are as follows: develop comment form, perform quality review and post the refined SAR for 30-day industry comment. The target date is mid-November 2020. Then, the team will seek Standards Committee approval of the SAR as well as appoint the current SAR Drafting Team as the SDT with possible solicitation of additional SMEs in the area of protective functions within AVRs. The target date is January 2021.
- i. **2019-05** – This project is currently on hold pending action by the PCGC to review the number of hours necessary for the Operator credential. Recently, the PCGC has made progress on the technical rationale document and it is possible that it could be approved this month. This could make it possible for the SDT to resume meeting again soon and attempt an initial posting before the end of the year.
- j. **2019-06** – Cold Weather – Q. Morrison and M. Brytowski reported that the team voted to move the SAR forward to the SC for acceptance during its September 2020 meeting. The developer has scheduled a series of meetings in late October, early November for the SAR drafting team (assuming the SAR is approved by the SC).
- k. **2020-01** – Modifications to MOD-031-2 – L. Lynch reported that the SAR drafting team members had a conference call on September 30, 2020 to draft SAR comment themes and responses. The SAR DT is working on updating the SAR for industry comment. The next public meeting is scheduled for Wednesday, October 28, 2020.
- l. **2020-02** – Transmission-connected Resources – L. Lynch reported that industry comments for the SAR, and NERC SAMS Whitepaper *“Transmission Connected Dynamic Reactive Resources and HVDC Equipment – Assessment of Applicability in Reliability Standards”* closed on May 13,

2020. NERC staff is holding off on selecting the Standards Drafting Team (SDT) members for this SAR, since there are IRPTF SARs for MOD-026 and MOD-027 that have been submitted to the RSTC for approval. This Project is expected to be renamed and involve fewer Standards in its scope. A new Project will be established to cover the remaining Standards in this SAR. Selection of the SDT members for the revised Projects will probably occur in the fall, at which time the project schedules will be updated. Regarding any relevant issues - the intent is to have the Projects cover more specific, narrower scopes, and allow for the selection of SDT members with qualifications that align more closely with the scope of each Project.

- m. **2020-03** – Supply Chain Low Impact Revisions – M. Bussey reported that the SC approved an additional solicitation for nominations for low impact entities at its July 22 meeting. An additional solicitation for nominations is scheduled to post July 30 – August 13, 2020. Additional nominees are being vetted for possible recommendation to the SC. The kick-off WebEx meeting is scheduled for November 2, 2020.
- n. **2020-04** – Modifications to CIP-012-1 – C. Bellville reported that this project will address a directive issued by the Federal Energy Regulatory Commission (FERC) in Order No. 866 to develop modifications to the CIP Reliability Standards to require protections regarding the availability of communication links and data communicated between the bulk electric system Control Centers. The goal is to develop modifications to the CIP Reliability Standards to require protections regarding the availability of communication links and data communicated between the bulk electric system Control Centers. The SAR Drafting Team was appointed at the September 24 SC Meeting. The SAR Drafting Team has meetings scheduled for October 27 and 29 to review comments provided by industry and revise the SAR as necessary.

## 5. Action Items

The secretary documented the action items on the PMOS Action Log.

## 6. Adjournment

C. Yeung adjourned the meeting at 2:48 p.m. Eastern by consent.