

Agenda

Project Management and Oversight Subcommittee Meeting

September 23, 2020 | 2:30–4:30 p.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 172 980 6638 | Meeting Password: 092320

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Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines and Public Announcement NERC Participant Policy

Agenda Items

1. **Consent Agenda – Approve** (C. Yeung)
 - a. August 5, 2020 Project Management and Oversight Subcommittee Meeting Minutes*
2. **Prior Action Items – Review** (E. Prince)
 - a. Covid-19 Update: NERC Travel and Meeting Policy
 - b. PMOS Terms and 2021 nominations
 - c. Technology Tools
 - d. Review the Updates to the PTS Home Page
 - e. SER Operational Data Exchange SAR
 - f. PMOS Feedback
3. **Project Tracking Spreadsheet ([PTS](#)) – Review**
 - a. Standards Efficiency Review Phase II – **Update** (M. Brytowski or L. Lynch)
 - b. 2015-09 – Establish and Communicate System Operating Limits (K. 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 (K. Lanehome, A. Mayfield, or K. Rosener)

¹ 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.

- 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**
 - d. 2017-01 – Modifications to BAL-003-1 (L. Lynch or Mark Pratt)
 - i. 2017-01 (b) (Phase II) – **Update**
 - e. 2019-02 – BES Cyber System Information Access Management (CIP-004 and CIP-011) – **Update** (C. Bellville or K. Rosener)
 - f. 2019-03 – Cyber Security Supply Chain Risks – **Update** (L. Lynch, M. Bussey, or K. Rosener)
 - g. 2019-04 – Modifications to PRC-005 – **Update** (M. Pratt or L. Lynch)
 - h. 2019-05 – Modifications to PER-003 – **On Hold** (C. Bellville or C. Yeung)
 - i. PCGC Update
 - i. 2019-06 – Cold Weather – **Update** (Q. Morrison or M. Brytowski)
 - j. 2020-01 – Modifications to MOD-032-1 – **Update** (L. Lynch or Q. Morrison)
 - k. 2020-02 – Transmission-connected Resources – **Update** (L. Lynch)
 - l. 2020-03 – Supply Chain Low Impact Revisions – **Update** (M. Bussey)
 - m. 2020-04 – Modifications to CIP-012-1 – **Update** (C. Bellville or A. Mayfield)
- 4. Other**
- a. Next meeting
 - i. Conference call on Wednesday, October 28, 2020 from 1:00-3:00 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.

Version History		
Version	Date	Revisions
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)

August 5, 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 July 28, 2020 as well as being publicly posted on the www.nerc.com website. The chair provided the subcommittee with opening remarks and welcomed members¹ 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), Colby Bellville, Masuncha Bussey, Ken Lanehome, Linda Lynch, Quinn Morrison, Mark Pratt, and Kirk Rosener. A quorum of voting members (i.e. nine of ten) in addition to non-voting members Amy Casuscelli and Todd Bennett.

Observers: from industry: Rachel Coyne (TRE), Sing Tay (OGE), Mike Johnson (PGE), (AECI), and Rebecca Moore Darrah (ACES); from NERC: Latrice Harkness, Jordan Mallory, Scott Barfield-McGinnis, Chris Larson, and Elsa Prince (secretary).

NERC Antitrust Compliance Guidelines and Public Announcement

NERC Antitrust Compliance Guidelines and Public Announcement were presented and reviewed by the secretary. The secretary noted the full antitrust guidelines 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

C. Yeung reviewed the agenda with members and attendees.

2. Consent Agenda

The June 16, 2020 Meeting Minutes were reviewed, motion by M. Brytowski, was properly seconded, and approved by unanimous consent.

3. Review of Prior Action Items

E. Prince reported on the following action items from the June 16, 2020 conference call:

- a. E. Prince provided a status update on the COVID-19 NERC travel and meeting policy.
- b. The team reviewed the updates to the Project Tracking Spreadsheet (PTS).

¹ 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.

4. Project Tracking Spreadsheet (PTS) and Project Review

a. Standards Efficiency Review Phase II

b. **2015-09** – Establish and Communicate System Operating Limits (SOL) – K. Lanehome reported the following:

Phase I (2015-09): The 45-day comment period and formal ballot ended on August 3. Due to the age of the ballot pools and six non-binding polls not reaching quorum, the ballot was extended. The extension ended on August 26. The team will be meeting in late September to review comments and make revisions as needed.

c. **2016-02** – Modifications to Critical Infrastructure Protection (CIP) Standards – K. Lanehome reported the following:

i. (2016-02d) CIP-002-5.1a: The CIP SDT is currently holding weekly calls to continue to clean up CIP-005, CIP-007, and CIP-010. A Webinar will be held on August 6, 2020. The CIP SDT is preparing for an August 27, 2020 one day workshop. An announcement and additional details will be distributed shortly. The CIP SDT is waiting on the Supply Chain (2019-03) project to complete before seeking acceptance of posting from the SC. The Sept 2020 is projected posting is on hold.

d. **2017-01** – Modifications to BAL-003-1.1 – L. Lynch reported the following:

Phase II (2017-01b): The SDT is working on a white paper/technical justification document to provide additional insight to industry and to help form next steps in potential changes to the Standard.

e. **2019-02** – BES Cyber System Information Access Management – K. Rosener reported that 45-day period and additional ballot ends on September 21. An Industry Webinar was held on August 19. The SDT will be meeting to review the comments and make revisions as necessary.

f. **2019-03** – Cyber Security Supply Chain Risk – M. Bussey reported that the proposed modifications were released for quality review. The drafting team met on July 21 to review the QR and make some updates. In addition, the SDT conducted extensive outreach amongst the trade associations and other entities. The next additional ballot is scheduled for July 28, and the next meetings are scheduled for July 29 and Aug 5 (Industry Webinar).

g. **2019-04** – Modifications to PRC-005-6 – M. Pratt reported that the posting period was completed for formal comment on the revised SAR on 7/8/20 [Note: Delayed from original posting schedule due to resource constraints associated with COVID-19]. The next SAR Drafting Team call is tentatively scheduled for the week of 8/10/20 to review comments and prepare responses. The team anticipates that this may take several calls through the end of August to complete. In addition, industry outreach planned for 8/5/20 via Q&A with the North American Generator Forum (original author of the SAR) to address their members' concerns.

2019-05 – Modifications to PER-003-2 – C. Bellville reported that Project 2019-05 is currently on hold as the team waits for further research and justification from the PCGC. The PCGC is still working on the question of how many continuing education hours that the new one system

operator credential would need for renewal every three years. While this subject is outside the jurisdiction of the changes to the standard, the standard modifications and certification process manual changes are tied and need to be presented together for industry and FERC to have a full picture of this shift. The PCGC does not currently have a firm timeline on when that research and justification will be complete. That leaves the drafting team waiting. The team has been notified and they have a draft of the standard ready for an initial posting when the time comes. Once the project can get back up and running, the team is hopeful that the initial ballot of the standard would pass as the changes are minimal. Then moving to final ballot shortly thereafter would potentially make the total lifespan of the project fairly short as long as the coordinating work from the PCGC for the changes to the program manual are also ready to do.

2019-06 – Cold Weather – M. Brytowski reported that the SAR SDT met during July 14-16, 2020 to review SAR comments received. The team modified the SAR to address some industry comments that justification may be available (gas curtailments) and remained focused on the FERC/NERC report as the central point for the SAR. The team voted to move the SAR forward to the SC for acceptance during its September 2020 meeting.

- h. **2020-01 – Modifications to MOD-031-2 –** L. Lynch reported that the first meeting of the SAR DT members occurred on Wednesday, July 8, 2020. On July 21st, an informal “get acquainted” meeting occurred, providing the opportunity for the members to get to know each other better. The SAR DT held its first public working meeting on July 27th. There was continued team orientation on the use of NERC’s Project Extranet site, discussion of team roles, key questions/topics for the project, industry outreach approach, and themes of the SAR comments. The SAR DT members have divided up into several sub-groups to address each of the key elements of the SAR. The next public meeting has not been determined.
- i. **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.
- j. **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. NERC asked the SDT to slow the project schedule down due to COVID-19.
- k. **2020-04 – Modifications to CIP-012-1 –** C. Bellville reported that the purpose of this project is to 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. This one recently went through a SAR comment and Drafting Team nomination period. A supplemental drafting team nomination period ended on July 20. A slate of drafting team candidates are scheduled for the August SC meeting. After that, an SDT meeting will be scheduled in early September to review comments and revise SAR as needed.

5. Action Items

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

6. Adjournment

C. Yeung adjourned the meeting at 2:43 p.m. Eastern by consent.