

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

NERC Standards and Compliance 101

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Mat Bunch, NERC Standards Developer

2017 Standards and Compliance Workshop

July 11, 2017

RELIABILITY | ACCOUNTABILITY



- Shamai Elstein, NERC Senior Counsel
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- Ryan Mauldin, NERC Compliance Assurance Advisor
- Mat Bunch, NERC Standards Developer, Standards

- NERC Overview
- Standards 101
- Standards Web Page Tutorial
- Regulatory Process
- Compliance 101
- Compliance Resources
- Standards Balloting and Commenting System

NERC

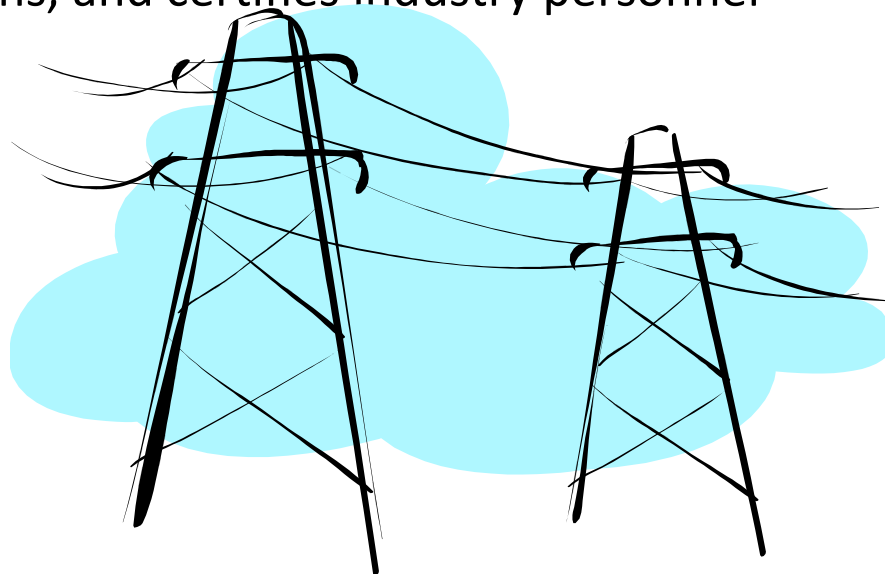
NORTH AMERICAN ELECTRIC
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NERC Overview

RELIABILITY | ACCOUNTABILITY



- Assure the reliability and security of the North American Bulk Power System (BPS)
 - Develops and Enforces Reliability Standards
 - Annually assesses seasonal and long-term reliability
 - Monitors the BPS through system awareness
 - Educates, trains, and certifies industry personnel



- NERC defines a **reliable** BPS as one that is able to meet the electricity needs of end-use customers even when unexpected equipment failures reduce the amount of available electricity
- This means:
 - Adequacy – sufficient resources
 - Security – ability of system to withstand sudden and expected disturbances

1965: Northeast blackout

1968: National Electric Reliability Council (NERC) established by the electric industry

2002: NERC operating policy and planning standards become mandatory and enforceable in Ontario, Canada

2003: August 14 blackout

2005: U.S. Energy Policy Act of 2005 creates the Electric Reliability Organization (ERO)

2006: Federal Energy Regulatory Commission (FERC) certifies NERC as the ERO; Memorandum of Understanding (MOUs) with some Canadian Provinces

2007: North American Electric Reliability Council becomes the North American Electric Reliability Corporation (still NERC); FERC issues Order 693 approving 83 of 107 proposed reliability standards; reliability standards become mandatory and enforceable

- NERC is the Electric Reliability Organization (ERO)
- Overseen by U.S. and Canadian regulatory authorities (FERC and the Canadian Provinces)
 - Responsible for developing/enforcing Reliability Standards
 - Independent of owners, operators, and users
 - Adheres to rules governing standards development, compliance enforcement, and budgeting

- Develops and enforces Reliability Standards
- Monitors the BPS
- Assesses adequacy
- Audits owners, operators, and users for preparedness
- Educates and trains industry personnel



R. Thilly



R. Clarke



G. Cauley



F. Gorbet



J. Case



D. Parker



D. Goulding



G. Hawkins



K. Peterson

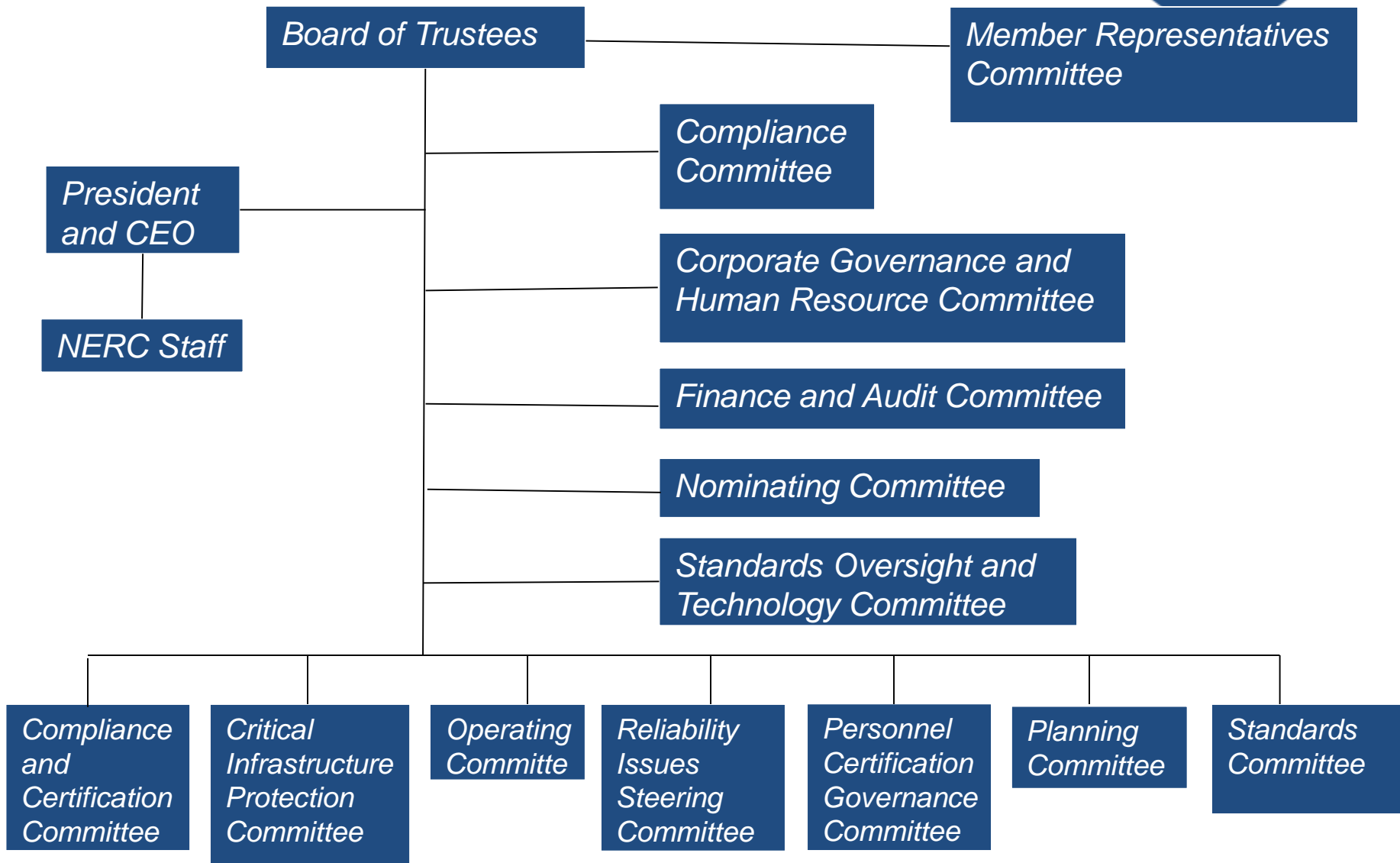


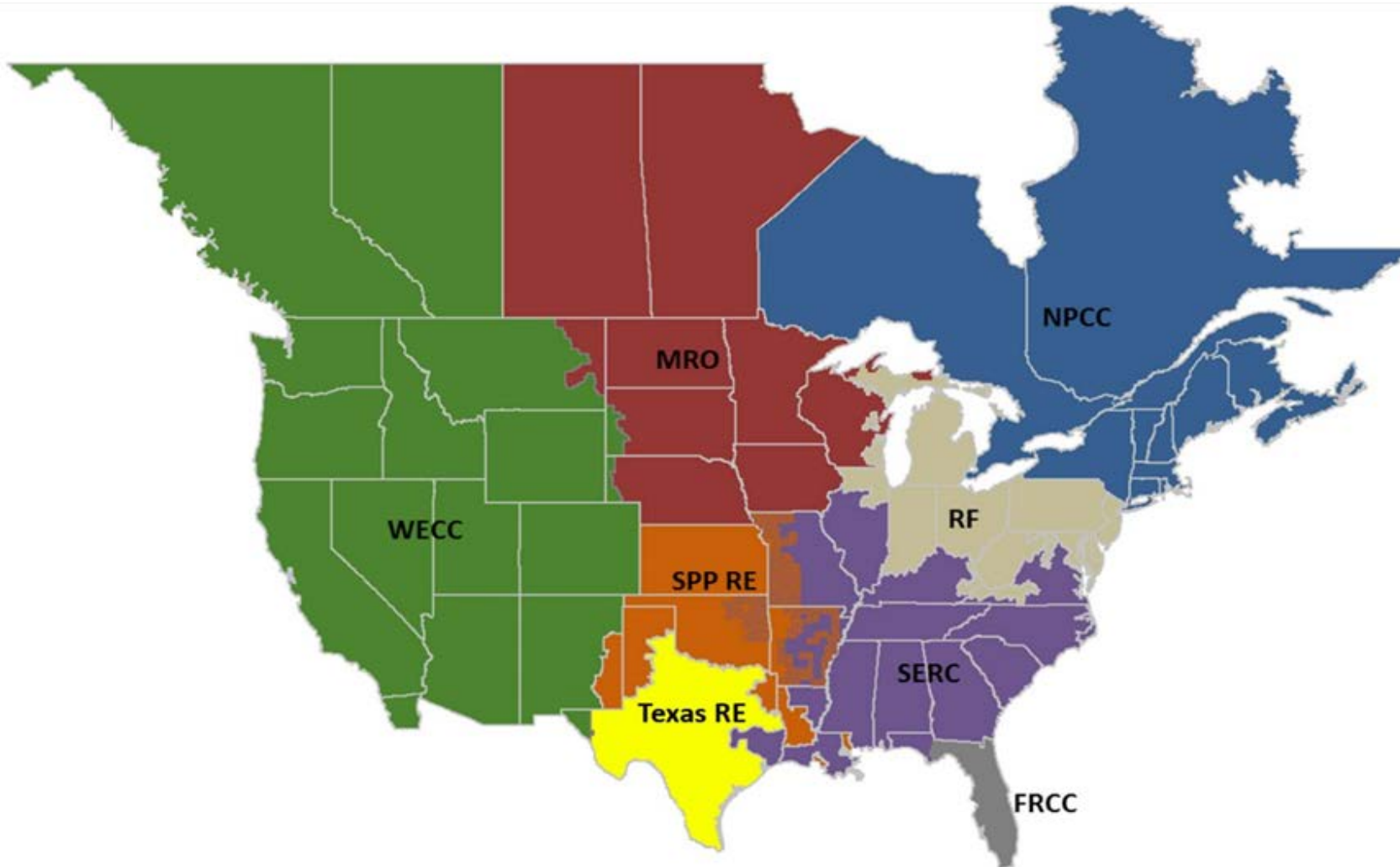
J. Schori



K. DeFontes

- Twelve membership categories:
 - Investor-owned utility
 - State or municipal utility
 - Cooperative utility
 - Federal or provincial utility/power marketing administrator
 - Transmission dependent utility
 - Merchant electricity generator
 - Electricity marketer
 - Large end-use electricity customer
 - Small end-use electricity customer
 - Independent system operator/regional transmission organization
 - Regional Entity
 - Government representative





- NERC delegates certain functions to the Regional Entities
 - Compliance monitoring and enforcement
 - Organization registration and certification
 - Reliability assessments and performance analysis
 - Event analysis and reliability improvement
 - Training and education
 - Situational awareness
 - Infrastructure security
- NERC oversees the Regional Entities to ensure transparency, predictability, and uniform outcomes

- NERC and Regional Entities allocate operating costs to load-serving entities (LSEs):
 - LSEs are owners, operators, and users of the BPS, responsible for delivering electricity to retail customers.
- Budgets are approved by FERC each year
 - Individual Regional Entity budgets are submitted to NERC
 - NERC reviews each individual budget, and sends to FERC as a comprehensive budget for approval

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Standards 101

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- Standards development process depends on active participation of stakeholders
- Stakeholder technical expertise is essential to standard development process

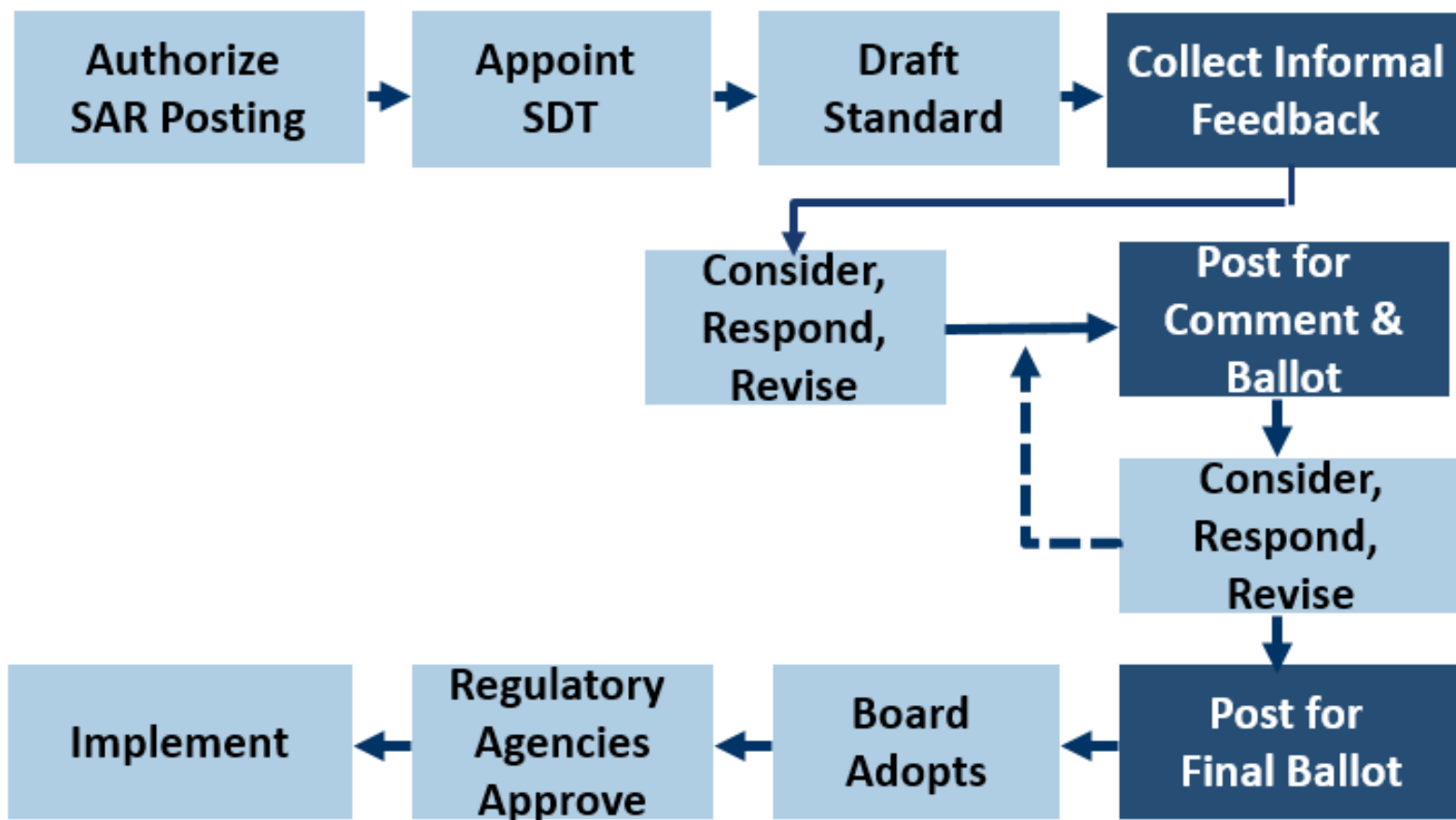
- Governed by the Rules of Procedure, Appendix 3A: Standard Processes Manual (SPM) - Version 3, effective June 26, 2013



- Prioritizes standards development activities
- Reviews actions to ensure the standards development process is followed
- Reviews and authorizes Standard Authorization Requests (SARs)
- Manages progress of SARs and standards development efforts
- Reviews and authorizes drafting new or revised standards and their supporting documents
- Makes appointments to standard drafting teams (SDTs)

- Standards Committee Process Subcommittee (SCPS)
 - Develops, reviews, and maintains processes and procedures that support standards development
- Project Management and Oversight Subcommittee (PMOS)
 - Works with NERC staff and standard drafting teams (SDTs) to manage the timely development and maintenance of a comprehensive set of world-class standards

NERC Standards Development Process



- Required by American National Standards Institute (ANSI) to document the scope and reliability benefit of a proposed project
- Must be accompanied by technical justification
- SAR can be submitted by anyone at any time
- Postings
 - Informal
 - Formal

- Develop an excellent, technically correct standard that helps provide an adequate level of reliability and achieves consensus
 - Stay within the scope of the SAR
 - Address regulatory directives and stakeholder issues
 - Consider Independent Experts' Review Panel input
 - Ensure standard meets criteria for approval
- Develop initial set of Violation Risk Factors (VRFs) and Violation Severity Levels (VSLs) and associated reasoning
- Develop Implementation Plan
- Develop supporting documents (optional)
- Outreach

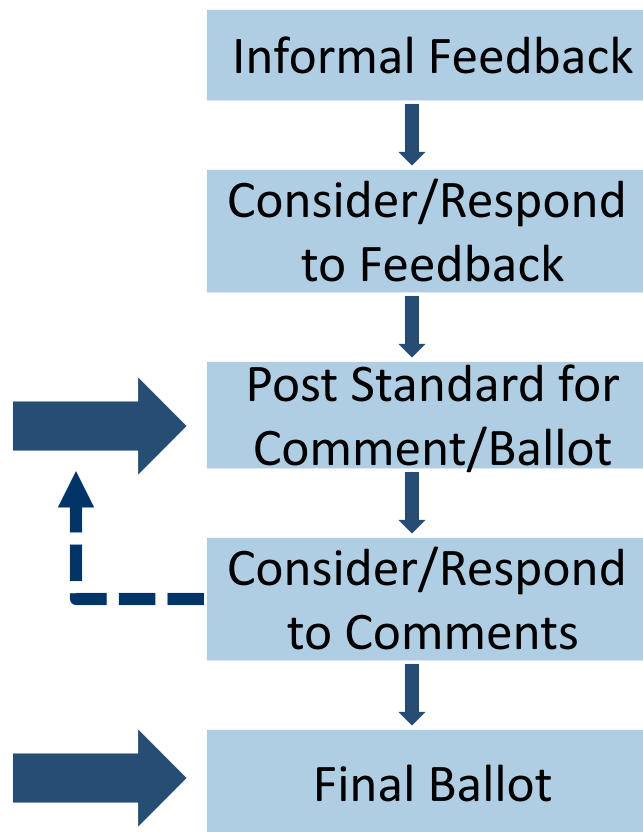
- Drafting team chair
- NERC standards developer
- Compliance
- Subject Matter Experts (SMEs)
- Legal
- FERC staff observers
- Industry observers

Initial/Additional Ballot:

At this step, the standard is either “new” or significantly changed from the last version posted for comment/ballot. The ballot record starts with no votes and no comments.

Final Ballot:

At this step, there have been no significant changes to the standard from the last ballot. The ballot record starts with all votes and comments from the previous ballot.

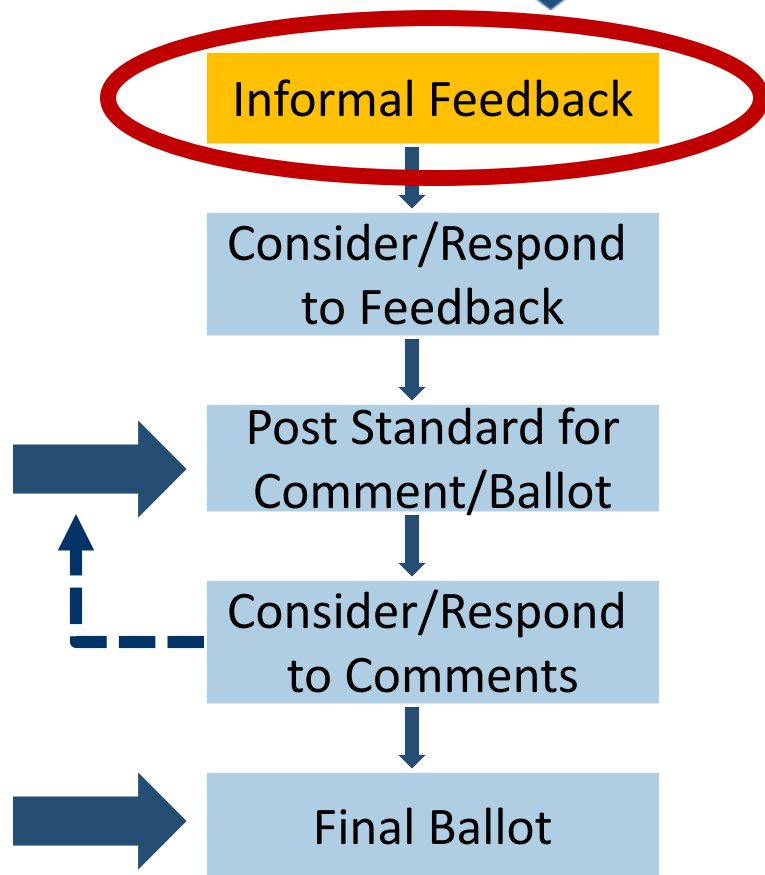


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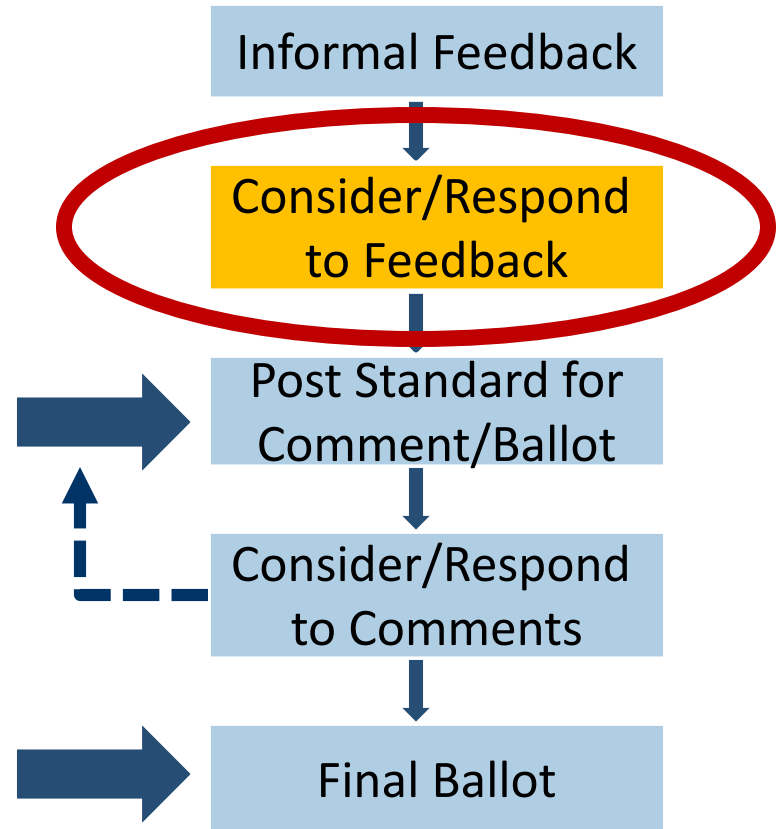


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- Stakeholder feedback is essential
 - Comments (or indication of support of another entity's comments) must be submitted for each negative vote in order for that vote to be counted towards consensus
- The best comments offer suggested replacement language first and then support that suggested language with rationale
- If a stakeholder cannot suggest alternate language, he or she should still support his or her claim with sound technical rationale

- “In Attachments 1, 2, and 3 the six-month requirement for notice is too short in many cases. We suggest nine months to one year. Six months is not enough time for budgeting and construction scheduling.”
- “The Generator Owner (GO) appears to be the logical choice. The GO has the access to the equipment records; Generator Operator (GOP) may not.”

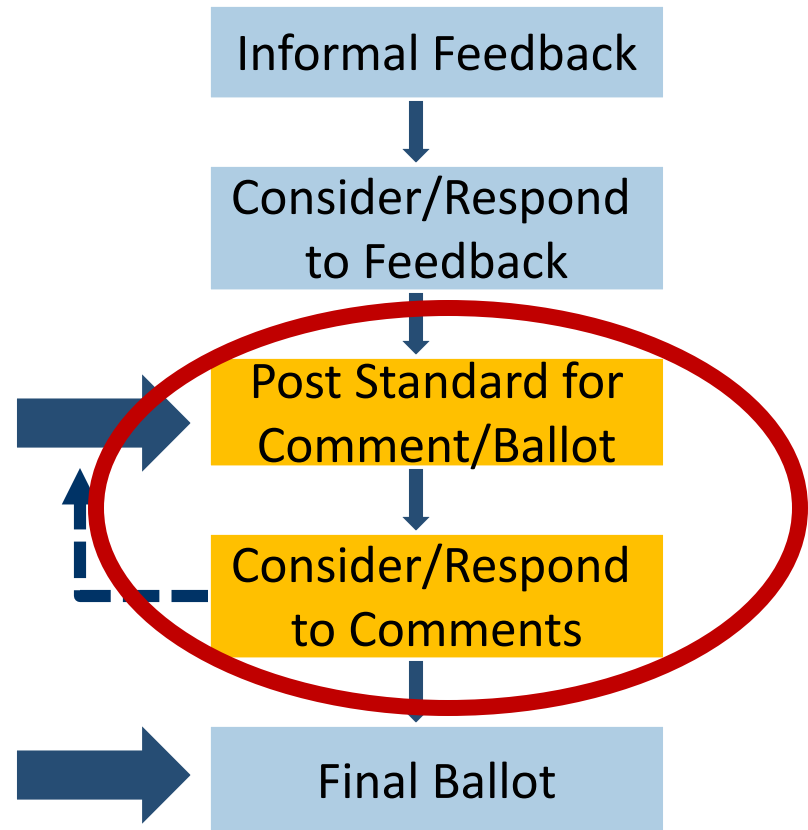
- “Disagree with R2 as written.”
- “Disagree with assigning requirement to the GO.”
- “Definition is a little loose.”

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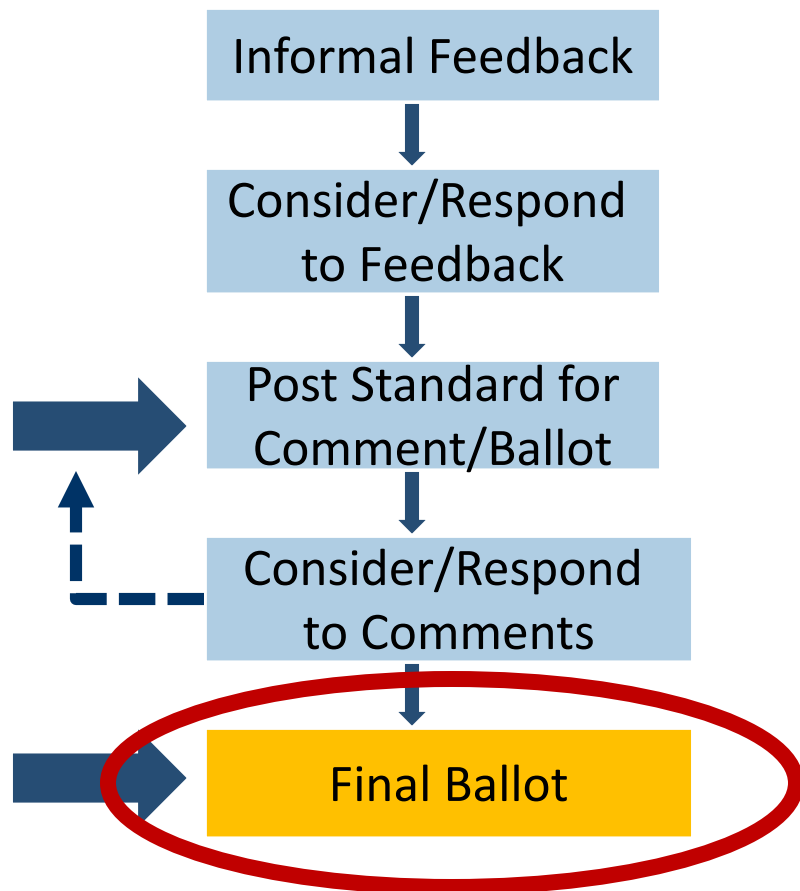
- Typically 45-day period
 - 45-day comment period
 - 10-day ballot
 - These periods may vary due to:
 - Waivers necessary to meet regulatory directives or NERC Board deadlines
- Voting
 - Must cast a vote for initial and additional ballots.
- Consideration of Comments
 - The drafting team must communicate changes to stakeholders.

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Standards Webpage Tutorial

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One-Stop-Shop (Status, Purpose, Implementation Plans, FERC Orders, RSAWS)

Reliability Standards

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- US Effective Date Status/Functional Applicability
- Complete Set of Reliability Standards
- Glossary of Terms
- VRF Matrix
- VSL Matrix
- Functional Model

Balloting & Commenting

Reliability Standards Under Development

Archived Reliability Standards Under Development

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- Standards Team Rosters
- Single Portal

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Resources

Program Areas & Departments > Standards

Standards

NERC Reliability Standards are developed using an industry-driven, ANSI-accredited process that ensures the process is open to all persons who are directly and materially affected by the reliability of the North American bulk power system; transparent to the public; demonstrates the consensus for each standard; fairly balances the interests of all stakeholders; provides for reasonable notice and opportunity for comment; and enables the development of standards in a timely manner. NERC’s ANSI-accredited standards development process is defined in the Standard Processes Manual and guided by reliability and market interface principles.

NERC Reliability Standards define the reliability requirements for planning and operating the North American bulk power system and are developed using a results-based approach that focuses on performance, risk management, and entity capabilities. The Reliability Functional Model defines the functions that need to be performed to ensure the Bulk Electric System operates reliably and is the foundation upon which the Reliability Standards are based.

The Standards Committee (SC) oversees and prioritizes NERC’s standards development activities. The Standards Committee also coordinates NERC’s development of Reliability Standards with the North American Energy Standards Board’s (NAESB) wholesale electric business practices. Standards drafting teams, which are made up of industry volunteers and supported by NERC staff, work collaboratively to develop requirements using results-based principles that focus on three areas: measurable performance, risk mitigation strategies, and entity capabilities.



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- > [BES Notification and Exception Process](#)
- > [CIP V5 Transition](#)
- > [NAESB Coordination Efforts](#)
- > [Standard Processes Manual](#)
- > [Quality Review](#)

Calendar

[View Standards Events](#)

- Select **Program Areas & Departments**
 - Select **Standards** under the drop-down menu

The screenshot shows the NERC website header with a search bar and navigation links: Login, Account Log-In/Register, and Contact Us. The main navigation menu includes: About NERC, Governance, Committees, Program Areas & Departments, Initiatives, Filings & Orders, Newsroom, and Resources. A dropdown menu is open under 'Program Areas & Departments', with 'Standards' highlighted in a red box. Other items in the dropdown include Compliance & Enforcement, Electricity ISAC, Reliability Assessment & Performance Analysis, Reliability Risk Management, System Operator Certification, Training and Education, and Continuing Education. Below the navigation is a banner with the text 'RELIABILITY | ACCOUNTABILITY' and a background image of wind turbines and solar panels. The main content area features a 'Headlines & News' section with six news items and a 'Calendar' section with a grid of categories: Standards, Reliability Risk Management, Critical Infrastructure, Compliance, Reliability Assessment & Performance Analysis, System Operator Certification and Continuing Education, and Board of Trustees. A 'View All Events' link is at the bottom of the calendar.

- Select **Reliability Standards** on the left navigation
 - Select the **United States** jurisdiction

The screenshot shows the NERC website interface. The top navigation bar includes the NERC logo, a search bar, and links for Login, Account Log-In/Register, and Contact Us. Below this is a secondary navigation bar with links for About NERC, Governance, Committees, Program Areas & Departments, Initiatives, Filings & Orders, Newsroom, and Resources. The left sidebar contains a list of navigation items, with 'Reliability Standards' highlighted in a red box and an arrow pointing to it. The main content area shows the breadcrumb path 'Program Areas & Departments > Standards > Reliability Standards' and the title 'Reliability Standards'. Below the title is a paragraph explaining that reliability standards are enforceable in all interconnected jurisdictions in North America, including the continental United States, Canadian provinces, and the Mexican state of Baja California Norte. To the right of the text is a table titled 'Regulatory Jurisdiction' with two columns. The 'United States' entry in the second column is highlighted with a red box, and an arrow points to it from below. Below the table is a text prompt: 'Please select a jurisdiction from the table on the right for information on Reliability Standards and their status in that jurisdiction.'

Program Areas & Departments > Standards > Reliability Standards

Reliability Standards

Reliability standards are enforceable in all interconnected jurisdictions in North America: the continental United States; the Canadian provinces of Alberta, British Columbia, Manitoba, New Brunswick, Nova Scotia, Ontario, Quebec, and Saskatchewan; and the Mexican state of Baja California Norte. Following adoption of a standard by the NERC Board of Trustees, NERC files the standard with the appropriate authority in each jurisdiction. In the United States, NERC petitions the Federal Energy Regulatory Commission (FERC) for approval of standards. Please see the [provincial summaries](#) for an overview of the processes for making standards enforceable in Canadian jurisdictions.

Please select a jurisdiction from the table on the right for information on Reliability Standards and their status in that jurisdiction.

Regulatory Jurisdiction	
Alberta	Ontario
British Columbia	Quebec
Manitoba	Saskatchewan
New Brunswick	United States
Nova Scotia	

- Select the appropriate **status** in the middle of the page
 - **Note:** This page defaults to the **Mandatory Standards Subject to Enforcement** status

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One-Stop-Shop (Status, Purpose, Implementation Plans, FERC Orders, RSAWS)

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[Program Areas & Departments > Standards > United States Mandatory Standards Subject to Enforcement](#)

United States Mandatory Standards Subject to Enforcement

Section 215 of the Federal Power Act requires the Electric Reliability Organization (ERO) to develop mandatory and enforceable reliability standards, which are subject to Commission review and approval. Commission-approved reliability standards become mandatory and enforceable in the U.S. on a date established in the Orders approving the standards.

The standards included on this page are currently enforceable in the United States. A table is appended to the last page of each standard showing the United States effective dates, if applicable. Please also see our US Effective Dates web page to view the applicable dates of each standard by status.

Related information including, but not limited to, the development history, applicable compliance documents, and implementation plans can be found at the related information link to the right of each standard.

Please send any questions or comments to sarcomm@nerc.net.

To filter the list of standards, please select a status from the table below.

All Reliability Standards	Standards Filed and Pending Regulatory Approval
Mandatory Standards Subject to Enforcement	Standards Pending Regulatory Filing
Standards Subject to Future Enforcement	Inactive Reliability Standards
	Pending Inactive Reliability Standards

Mandatory Standards Subject to Enforcement

Standard Number	Title	Contains Retired Requirements	Related Information
☰ (BAL) Resource and Demand Balancing (10)			
☰ (CIP) Critical Infrastructure Protection (11)			
☰ (COM) Communications (2)			

- Select “All Reliability Standards” in the middle of the page
 - **Note:** Defaults to the **Mandatory Standards Subject to Enforcement** status

The screenshot shows the NERC website's navigation and content. The top navigation bar includes 'About NERC', 'Governance', 'Committees', 'Program Areas & Departments', 'Initiatives', 'Filings & Orders', 'Newsroom', and 'Resources'. The main content area is titled 'United States Mandatory Standards Subject to Enforcement'. A table of filters is present, with 'All Reliability Standards' highlighted by a red box. Below the filters is a table of standards, including (BAL) Resource and Demand Balancing, (CIP) Critical Infrastructure Protection, and (COM) Communications.

Program Areas & Departments > Standards > United States Mandatory Standards Subject to Enforcement

United States Mandatory Standards Subject to Enforcement

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Mandatory Standards Subject to Enforcement

Standard Number	Title	Contains Retired Requirements	Related Information
☑ (BAL)	Resource and Demand Balancing (10)		
☑ (CIP)	Critical Infrastructure Protection (11)		
☑ (COM)	Communications (2)		

- Select the  symbol of the desired standards family
 - i.e., (COM) Communications

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Mandatory Standards Subject to Enforcement <input checked="" type="checkbox"/>			
Standard Number	Title	Contains Retired Requirements	Related Information
+ (BAL) Resource and Demand Balancing (10)			
+ (CIP) Critical Infrastructure Protection (11)			
- (COM) Communications (2)			
COM-001-2.1	Communications		Related Information
COM-002-4	Operating Personnel Communications Protocols		Related Information

- Select the hyperlinked **title** of the desired standard

To filter the list of standards, please select a status from the table below.

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COM-001-2.1	Communications		Related Information
COM-002-4	Operating Personnel Communications Protocols		Related Information

Standard COM-001-2.1 — Communications

A. Introduction

- Title:** Communications
- Number:** COM-001-2.1
- Purpose:** To establish Interpersonal Communication capabilities necessary to maintain reliability.
- Applicability:**
 - Transmission Operator
 - Balancing Authority
 - Reliability Coordinator
 - Distribution Provider
 - Generator Operator
- Effective Date:** The first day of the second calendar quarter beyond the date that this standard is approved by applicable regulatory authorities, or in those jurisdictions where regulatory approval is not required, the standard becomes effective on the first day of the first calendar quarter beyond the date this standard is approved by the NERC Board of Trustees, or as otherwise made effective pursuant to the laws applicable to such ERO governmental authorities.

B. Requirements

- Each Reliability Coordinator shall have Interpersonal Communication capability with the following entities (unless the Reliability Coordinator detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply): *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
 - All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
 - Each adjacent Reliability Coordinator within the same Interconnection.
- Each Reliability Coordinator shall designate an Alternative Interpersonal Communication capability with the following entities: *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
 - All Transmission Operators and Balancing Authorities within its Reliability Coordinator Area.
 - Each adjacent Reliability Coordinator within the same Interconnection.
- Each Transmission Operator shall have Interpersonal Communication capability with the following entities (unless the Transmission Operator detects a failure of its Interpersonal Communication capability in which case Requirement R10 shall apply): *[Violation Risk Factor: High] [Time Horizon: Real-time Operations]*
 - Its Reliability Coordinator.
 - Each Balancing Authority within its Transmission Operator Area.

- Scroll to the **bottom of the Standard** to see the **version history** and **enforcement/inactive date data**

E. Regional Differences

None identified.

F. Associated Documents

Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
0	August 8, 2005	Removed "Proposed" from Effective Date	Errata
1	November 1, 2006	Adopted by Board of Trustees	Revised
1	April 4, 2007	Regulatory Approval — Effective Date	New
1	April 6, 2007	Requirement 1, added the word "for" between "facilities" and "the exchange."	Errata
1.1	October 29, 2008	BOT adopted errata changes; updated version number to "1.1"	Errata
2	November 7, 2012	Adopted by Board of Trustees	Revised in accordance with SAR for Project 2006-06, Reliability Coordination (RC SDT). Replaced R1 with R1-R8; R2 replaced by R9; R3 included within new R1; R4 remains enforce pending Project 2007-02; R5 redundant with EOP-008-0, retiring R5 as redundant with EOP-008-0, R1; retiring R6, relates to ERO procedures; R10 & R11, new.
2	April 16, 2015	FERC Order issued approving COM-001-2	

* FOR INFORMATIONAL PURPOSES ONLY *

Effective Date of Standard: COM-001-2.1 — Communications

United States

Standard	Requirement	Effective Date of Standard	Phased In Implementation Date (if applicable)	Inactive Date
COM-001-2.1	All	11/13/2015		09/30/2017

- Select the **Related Information** link associated with the desired standard

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COM-001-2.1	Communications		Related Information
COM-002-4	Operating Personnel Communications Protocols		Related Information

- **Related Links:** Development History (project page, compliance tools, and related links)
- **Related Documents:** Implementation Plans and associated documents (.pdf)

[Program Areas & Departments](#) > [Standards](#) > [COM-001-2](#)

COM-001-2

To establish Interpersonal Communication capabilities necessary to maintain reliability.

Related Links

URL

Development History (1)

[Project 2006-06 Reliability Coordination](#)

Related Documents

Type

Title



Implementation Plan

One-Stop-Shop (Status, Purpose, Implementation Plans, FERC Orders, RSAWS)

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Calendar

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A US Status +	B Standard Version	C Title (with Link to Project Page)	D Purpose	E Board Adopted Date	F Effective Date of Standard	G Inactive Date
Inactive	BAL-001-1	Real Power Balancing Control Performance	To maintain Interconnection steady-state frequency within defined limits by balancing real power demand and supply in real-time.	12/19/2012	4/1/2014	6/30/2016
Mandatory Subject to Enforcement	BAL-001-2	Real Power Balancing Control Performance	To control Interconnection frequency within defined limits.	08/15/2013	7/1/2016	
Mandatory Subject to Enforcement	BAL-001-TRE-1	Primary Frequency Response in the ERCOT Region	To maintain Interconnection steady-state frequency within defined limits.	08/15/2013	4/1/2014	
Mandatory Subject to Enforcement	BAL-002-1	Disturbance Control Performance	The purpose of the Disturbance Control Standard (DCS) is to ensure the Balancing Authority is able to utilize its Contingency Reserve to balance resources and demand and return Interconnection frequency within defined limits following a Reportable Disturbance. Because generator failures are far more common than significant losses of load and because Contingency Reserve activation does not typically apply to the loss of load, the application of DCS is limited to the loss of supply and does not apply to the loss of load.	08/05/2010	4/1/2012	12/31/2017
Inactive	BAL-002-1a	Disturbance Control Performance	The purpose of the Disturbance Control Standard (DCS) is to ensure the Balancing Authority is able to utilize its Contingency Reserve to balance resources and demand and return Interconnection frequency within defined limits following a Reportable Disturbance. Because generator failures are far more common than significant losses of load and because Contingency Reserve activation does not typically apply to the loss of load, the application of DCS is limited to the loss of supply and does not apply to the loss of load.	11/07/2012		2/17/2017

- Defaults to the **Mandatory Standards Subject to Enforcement status**

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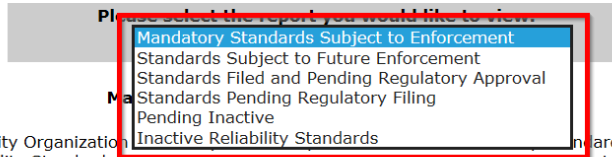
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- Select the **status** to see the dates pertinent to the standard
 - Note:** Clicking the **enforcement date** will enable viewing of the FERC Order for that standard



Section 215 of the Federal Power Act requires the Electric Reliability Organization to develop and submit to the Commission Reliability Standards, which are subject to Federal Energy Regulatory Commission (Commission) review and approval. Commission-approved Reliability Standards become mandatory and enforceable in the U.S. according to the Implementation Plan associated with the Reliability Standard, as approved by the Commission.

The following information explains the terms "Effective Dates" and "Phased-in Implementation Dates" as used in implementation plans and the table below.

Effective Date: The date upon which the Reliability Standard goes into effect. On the Effective Date of a Reliability Standard, the Reliability Standard becomes mandatory and enforceable, and applicable entities are responsible for compliance with the Requirements in the Reliability Standard. An Implementation Plan may also provide for a delayed or "Phased-In Implementation Date" for specific Requirements (or parts) contained within the Reliability Standard for which a longer implementation period is appropriate.

Phased-In Implementation Date (if applicable): The date, following the Effective Date of the Reliability Standard, upon which implementation of a specific Requirement (or part) is first required, as specified in the Implementation Plan for the Reliability Standard. In some instances, there may be a need to provide entities additional time beyond the Reliability Standard's Effective Date to comply with a particular Requirement (or part). In those instances, the Implementation Plan will provide a Phased-In Implementation Date specific to that Requirement (or part). The "Phased-In Implementation Date" thus represents the later date that entities must begin complying with that particular Requirement (or part).

Detail: When a standard has requirements with different effective dates/inactive dates, a 'Detail' link will be shown in this column that links to a pop-up which shows the specific effective date and inactive dates for each of the requirements of that standard. Phased-in Implementation Dates will be included where appropriate.

United States Mandatory Standards Subject to Enforcement				
Standard Number	Title	Effective Date of Standard	Phased-in Implementation Date (if applicable)	Notes
Resource and Demand Balancing (BAL)				
BAL-001-2	Real Power Balancing Control Performance	7/1/2016		Replaced BAL-001-1
BAL-001-TRE-1	Primary Frequency Response in the ERCOT Region	4/1/2014		Please see the implementation plan for specific compliance dates and timeframes.
BAL-002-1	Disturbance Control Performance	4/1/2012		Replaced by BAL-002-2

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- View open ballot pools, ballots, and comment periods

Current and Upcoming Ballots (Sorted by End Date)

Project	Action	Start Date	End Date
2016-03 Cyber Security Supply Chain Risk Management CIP-005-6, CIP-010-3, CIP-013-1	Initial/Additional Ballots and Non-binding Polls	6/6/2017	6/15/2017

Join Ballot Pools (Sorted by End Date)

Project	Action	Start Date	End Date
There are no items to show in this view of the "Reliability Standards Under Development - Commenting and Balloting" list.			

Posted for Comment (Sorted by End Date)

Project	Action	Start Date	End Date
2016-03 Cyber Security Supply Chain Risk Management CIP-005-6, CIP-010-3, CIP-013-1	Comment Period	5/2/2017	6/15/2017

- Join ballot pools during the 30-day ballot pool window

Join Ballot Pools (Ballot Pool Windows Close at 8 p.m. Eastern)			
Project	Action	Start Date	End Date
2009-02 Real-time Monitoring and Analysis Capabilities IRO-018-1, TOP-010-1	Ballot Pool	9/24/2015	10/23/2015

Draft	Actions	Dates	Results	Consideration of Comments
<p>Draft 1</p> <p>IRO-018-1</p> <p>TOP-010-1</p> <p>Implementation Plan</p>	<p>Initial Ballot and Non-binding Poll</p> <p>Info</p> <p>Vote</p>	10/30/15 – 11/09/15		
<p>Supporting Materials</p> <p>Unofficial Comment Form (Word)</p> <p>Standard Authorization Request (SAR) Clean Redline to Last Posted</p> <p>SAR Justification White Paper Clean Redline to Last Posted</p> <p>VRF/VSL Justification</p>	<p>Comment Period</p> <p>Info</p> <p>Submit Comments</p>	09/24/15 – 11/09/15		
	Join Ballot Pools	09/24/15 - 10/23/15		

- View active Reliability Standards Under Development projects

Reliability Standards Under Development
Projects in Active Formal Development
2013-03 Geomagnetic Disturbance Mitigation - TPL-007-2
2015-08 Emergency Operations - EOP-004, EOP-005, EOP-006, EOP-008
2015-09 Establish and Communicate System Operating Limits - FAC-010, FAC-011, FAC-014
2015-10 Single Points of Failure - TPL-001
2016-01 Modifications to TOP and IRO Standards - TOP-001, IRO-002
2016-02 Modifications to CIP Standards - CIP-002, CIP-003, CIP-004, CIP-005, CIP-006, CIP-007, CIP-008, CIP-009, CIP-010, CIP-011
2016-03 Cyber Security Supply Chain Risk Management - CIP-005-6, CIP-010-3, CIP-013-1
2016-04 Modifications to PRC-025-1
Revisions to the NERC Standard Processes Manual
Functional Model Advisory Group

Draft	Actions	Dates	Results	Consideration of Comments
<p>Draft 1</p> <p>CIP-005-6 Clean Redline</p> <p>CIP-010-3 Clean Redline</p> <p>Draft 2</p> <p>CIP-013-1 Clean Redline</p> <p>Implementation Plan Clean Redline</p>	<p>Initial / Additional Ballots and Non-binding Polls</p> <p>Info</p> <p>Vote</p>	06/06/17 – 06/15/17		
<p>Supporting Materials</p> <p>Unofficial Comment Form (Word)</p> <p>VRF/VSL Justification Clean Redline</p> <p>Implementation Guidance</p> <p>Consideration of Directives Clean Redline</p>	<p>Comment Period</p> <p>Info</p> <p>Submit Comments</p>	05/02/17 – 06/15/17		
<p>Draft RSAWs</p> <p>CIP-005-6 Clean Redline</p> <p>CIP-010-3 Clean Redline</p> <p>CIP-013-1 Clean Redline</p>	<p>Join Ballot Pools</p> <p>Info</p> <p>Send RSAW feedback to: RSAWfeedback@nerc.net</p>	05/02/17 – 05/31/17 05/25/17 - 06/15/17		

- Project 2009-02 Real-time Reliability Monitoring and Analysis Capabilities

Draft	Actions	Dates	Results	Consideration of Comments
Draft 1 IRO-018-1 TOP-010-1 Implementation Plan	Initial Ballot and Non-binding Poll Info Vote	10/30/15 – 11/09/15		
Supporting Materials Unofficial Comment Form (Word) Standard Authorization Request (SAR) Clean Redline to Last Posted SAR Justification White Paper Clean Redline to Last Posted VRF/VSL Justification Consideration of Directives	Comment Period Info Submit Comments	09/24/15 – 11/09/15		
	Join Ballot Pools	09/24/15 - 10/23/15		

Standard Authorization Request (SAR) Supporting Materials Unofficial Comment Form (Word) SAR Justification White Paper	Comment Period Info Submit Comments	7/16/2015 - 8/17/15	Comments Received	Consideration of Comments
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- View closed Reliability Standards Under Development projects

Projects - Closed
2006-03 System Restoration and Blackstart - EOP-001, EOP-005 EOP-006
2006-04 Back-up Facilities - EOP-008
2006-06 Reliability Coordination - COM-001, COM-002, IRO-001
2006-07 ATC/TTC/AFC and CBM/TRM Revisions
2006-08 Reliability Coordination – Transmission Loading Relief
2007-01 Underfrequency Load Shedding - EOP-003, PRC-006
2007-02 Operating Personnel Communications Protocols - COM-002
2007-03 Real-time Transmission Operations - TOP-001, TOP-002, TOP-003, TOP-004, TOP-005, TOP-006, TOP-007, TOP-008, PER-001
2007-06 System Protection Coordination - PRC-027, Retirement of PRC-001
2007-06.2 Phase 2 of System Protection Coordination - PER-006-1, Retirement of PRC-001
2007-09 Generator Verification - MOD-025, MOD-026, MOD-027, PRC-024
2007-11 Disturbance Monitoring - PRC-002
2007-12 Frequency Response - BAL-003
2007-14 Coordinate Interchange - Timing Table
2007-17 Protection System Maintenance and Testing - PRC-005

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- **Updated on Mondays**

Week of June 12: (**Pending SC Authorization June 14*)

- 30-day comment period*
 - Draft Reliability Standards Development Plan
- 45-day comment and initial ballot*
 - Project 2013-03 GMD Mitigation (TPL-007-2)
- 60-day informal comment period
 - 2017 Periodic Review Standing Review Team – Standards Grading

- Originally developed to manage project timelines and track planned vs. actual development activity
- Maintained by the Project Management and Oversight Subcommittee and NERC Standards Developers
- Revamped in 2016

Link to tutorial: <http://cc.readytalk.com/play?id=5hlfgh>

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[Committees > Standards Committee \(SC\)](#)

Standards Committee (SC)

The Standards Committee (SC) consists of two representatives from each of the 10 industry segments. Standards Committee members are elected by the segment they represent. The Standards Committee reports to the NERC Board of Trustees and oversees the development of NERC Reliability Standards as its members:

- Review actions to ensure the standards development process is being followed;
- Review and authorize Standard Authorization Request postings;
- Manage progress of Standard Authorization Requests and standards development efforts;
- Review and authorize drafting of new or revised Reliability Standards;
- Authorize the development of supporting documents;
- Make appointments to drafting teams.

The Standard Processes Manual requires each industry segment to elect up to two representatives to serve on the Standards Committee.

Committee Resources

[Agendas, Highlights, and Minutes](#)

[Charter](#)

[2017 Meeting Schedule](#)

[2017 Roster](#)

[Strategic Plan](#)

[2013-2015 Work Plan](#)

[2016-2018 Strategic Work Plan](#)

[Standard Processes Manual](#)

[Nominations and Elections](#)

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Subcommittees, Working Groups, and Task Forces

[Functional Model Advisory Group \(FMAG\)](#)

[Standards Committee Communications and Planning Subcommittee \(SCCPS\) - RETIRED](#)

[Standards Committee Process Subcommittee \(SCPS\)](#)

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Resources

The **Industry Resources** provided below is a list of useful documents commonly-referenced by industry.

For Drafting Team-specific resources, scroll down to the **Drafting Team Reference Manual and Resources** list that follows.

Please send any questions or comments to sarcomm@nerc.net

Industry Resources		
Type	Title	Posted Date
	Appendix 3D Registered Ballot Body Criteria	1/18/2016
	Approving Errata in an Approved Reliability Standard	1/18/2016
	Drafting Team Nomination Form	3/30/2017
	Guidance Document for Management of Remanded Interpretations	2/13/2017
	NAESB - Procedure for Joint Standard Development and Coordination	1/18/2016
	NERC Standards Numbering System	1/18/2016
	Regional Reliability Standards Evaluation Procedure 2.1	1/19/2016
	Reliability Standard Quality Review Form	4/4/2016
	Reliability Standards Suggestions and Comments Form	1/18/2016
	Request for Interpretation Form	5/27/2014
	Request to Develop a Definition Form	1/18/2016
	Results-Based Reliability Standard Development Guidance	1/18/2016
	SC Procedure - Approving the Posting of Reliability Standard Supporting References	1/18/2016
	SC Procedure - NERC Glossary of Terms Used in Reliability Standards Definition	1/18/2016
	Standard Authorization Request (SAR) Form	5/25/2017
	Standards Committee Charter	1/18/2016
	Weighted Segment Voting Examples	1/18/2016

Standard Drafting Team Training Modules

Module 1: How to Develop a High Quality Standard

Module 2: Your Role on a Drafting Team and Outreach

Drafting Team Reference Manual and Resources

Type	Title	Posted Date
	Acceptance Criteria of a Reliability Standard Quality Objectives	2/13/2017
	Adequate Level of Reliability – Definition (Informational Filings)	1/18/2016



Questions and Answers

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Legal and Regulatory

Shamai Elstein, NERC Senior Counsel
2017 Standards and Compliance Workshop
July 11, 2017

RELIABILITY | ACCOUNTABILITY



- The Regulatory Process

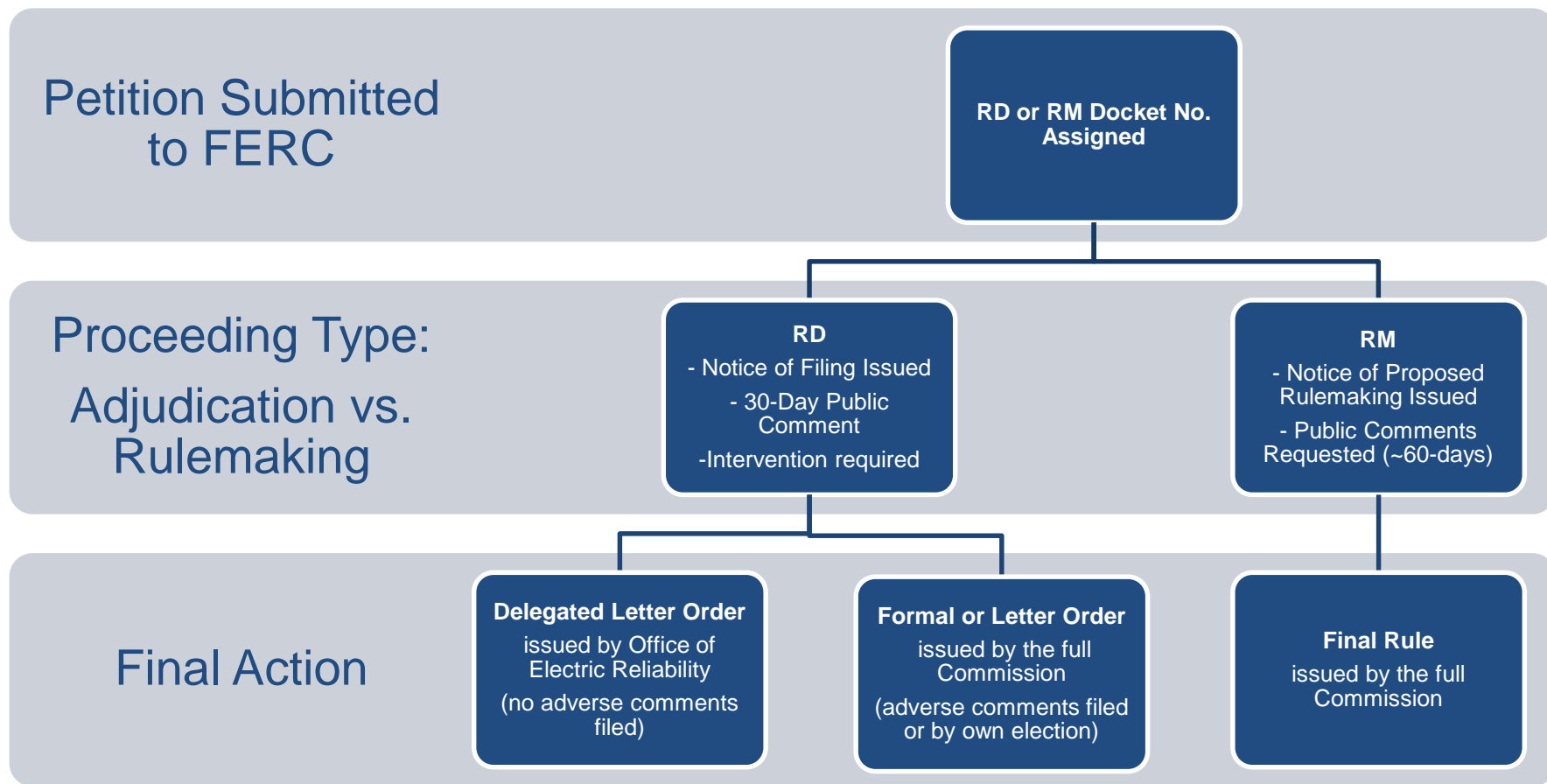
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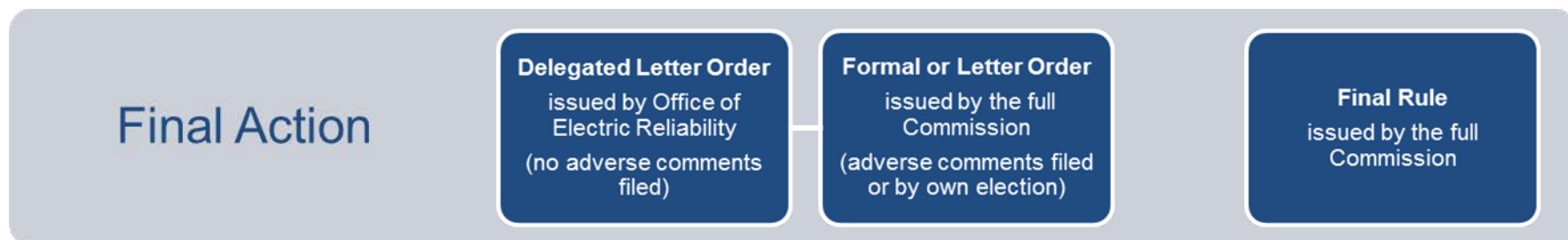
Petition Submitted
to FERC

RD or RM Docket No.
Assigned

- Docket types for reliability matters:
 - RD - Electric Reliability Standards
 - RM - Rulemaking Proceedings
 - RR - ERO Rules and Organizational Filings
 - RC - Compliance and Enforcement of Reliability Standards
 - NP - Notice of Penalty

- Public comment period set by a Notice of Filing in the Federal Register
- Must intervene to be a “party” in an RD docket and appeal
- Decisions issued by:
 - Order by the voting Commission if adverse comments filed
 - Delegated Letter Order issued by the Director of the Office of Electric Reliability if adverse comments not filed

- Notice and Comment Rulemaking involves three steps:
 - Notice of the proposed rulemaking (NOPR)
 - Comment Period
 - Typically 60 days from publication of NOPR in the Federal Register
 - Final Rule
 - Rehearing or Clarification
 - Order on Rehearing or Clarification



- FERC may approve or remand a Reliability Standard
 - “The Commission shall remand to the Electric Reliability Organization ... a proposed reliability standard ... that the Commission disapproves in whole or in part.” 16 U.S.C. § 824o(d)(4)
- FERC may also direct modifications to a Reliability Standard
 - “The Commission ... may order the Electric Reliability Organization to submit to the Commission a proposed reliability standard or a modification to a reliability standard that addresses a specific matter...” 16 U.S.C. § 824o(d)(5)



Questions and Answers

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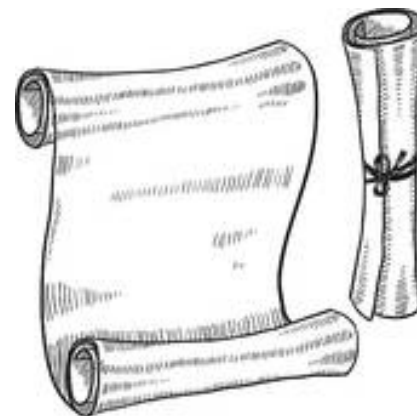
Compliance 101

RELIABILITY | ACCOUNTABILITY



- Foundational guidance documents
- Annual guidance documents
 - Risk-based Compliance Monitoring
- Compliance activities
- Compliance resources

- Energy Policy Act of 2005 – Federal Power Act section 215
- Rules of Procedure (ROP) – Section 400
 - NERC oversight of Regional Entities
 - Compliance program attributes (audit cycles, independence, confidentiality)
 - ROP Appendix 4C, Compliance Monitoring and Enforcement Program
- Regional Delegation Agreements (RDA)
 - Regional Entities “contract” with NERC
 - Regional Entities must adhere to ROP



- Compliance Monitoring and Enforcement Program (CMEP)
 - Outlines Compliance Monitoring processes
 - Provides guidance and requirements for each monitoring method
- CMEP also addresses:
 - Enforcement actions
 - Mitigations of violations
 - Remedial Action Directives
 - Data retention and confidentiality

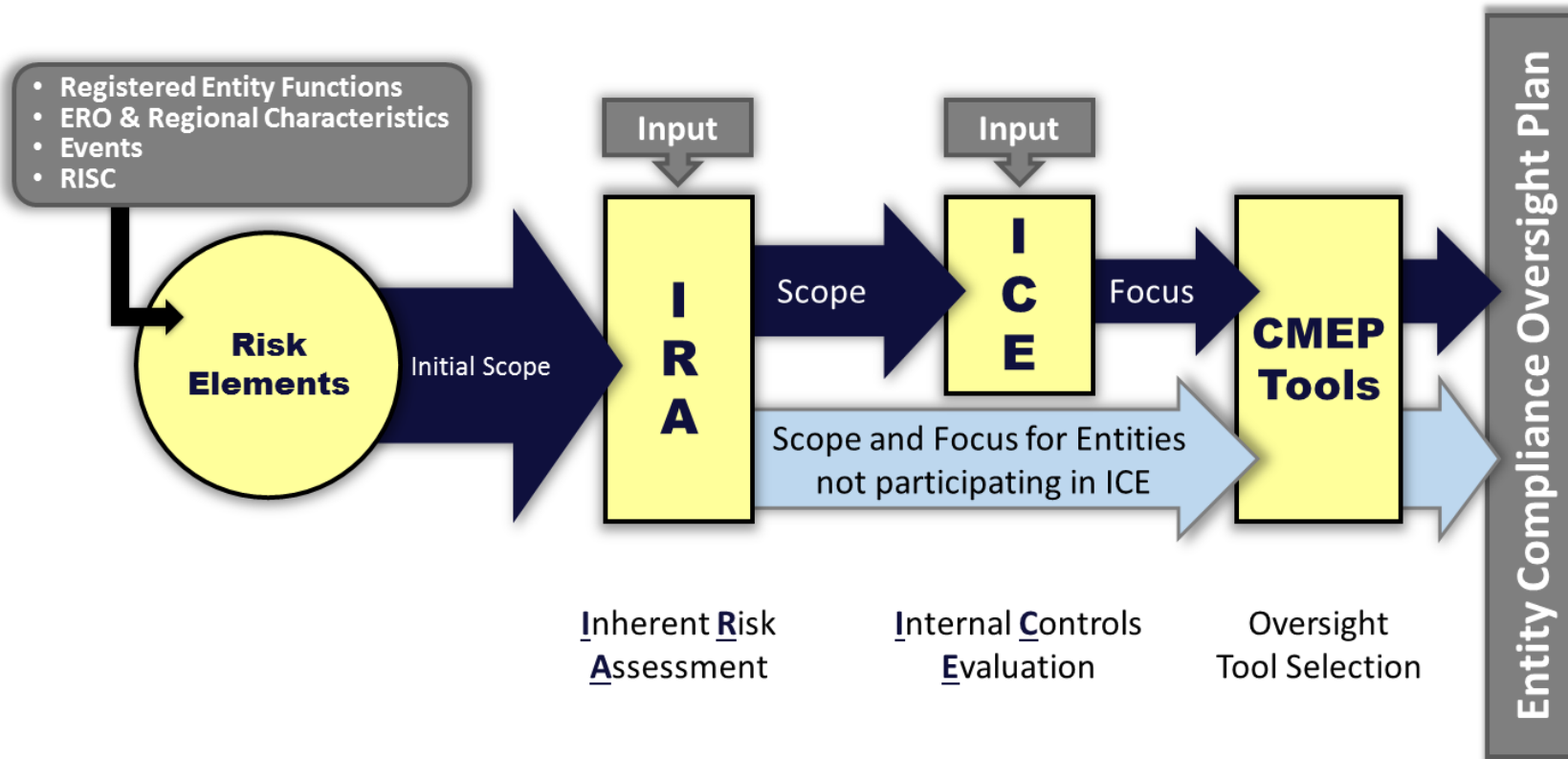
- ERO Enterprise Guidance Documents
 - ERO Enterprise Internal Control Evaluation Guide
 - Overview of the ERO Enterprise's Risk-Based CMEP
 - ERO Enterprise Guide for Compliance Monitoring

- Annual ERO Enterprise CMEP Implementation Plan
 - Key components and themes
 - Risk Elements and areas of focus for the year
 - Regional CMEP Implementation Plans
 - Region-specific Risk Elements and areas of focus for the year
 - Compliance Assessment Reports
 - Perform compliance assessment concurrent with event review
 - Sample Compliance Assessment Report Template

- Risk-based compliance monitoring and enforcement processes resulting from the Reliability Assurance Initiative, “RAI”
- Focus compliance monitoring on high risks to BPS
- Shift from zero tolerance model to risk-based model
- Emphasis on strength of internal controls relative to meeting compliance



- Risk-Based Compliance Oversight Framework includes
 - Assessment of entity's inherent risk
 - Voluntary evaluation of entity's internal controls
 - Identification and prioritization of system-wide risk elements
 - Selection of appropriate CMEP tool for monitoring
- Regional Entities follow ERO Enterprise Guidance Documents
 - ERO Enterprise Internal Control Evaluation Guide
 - Overview of the ERO Enterprise's Risk-Based CMEP
 - ERO Enterprise Guide for Compliance Monitoring

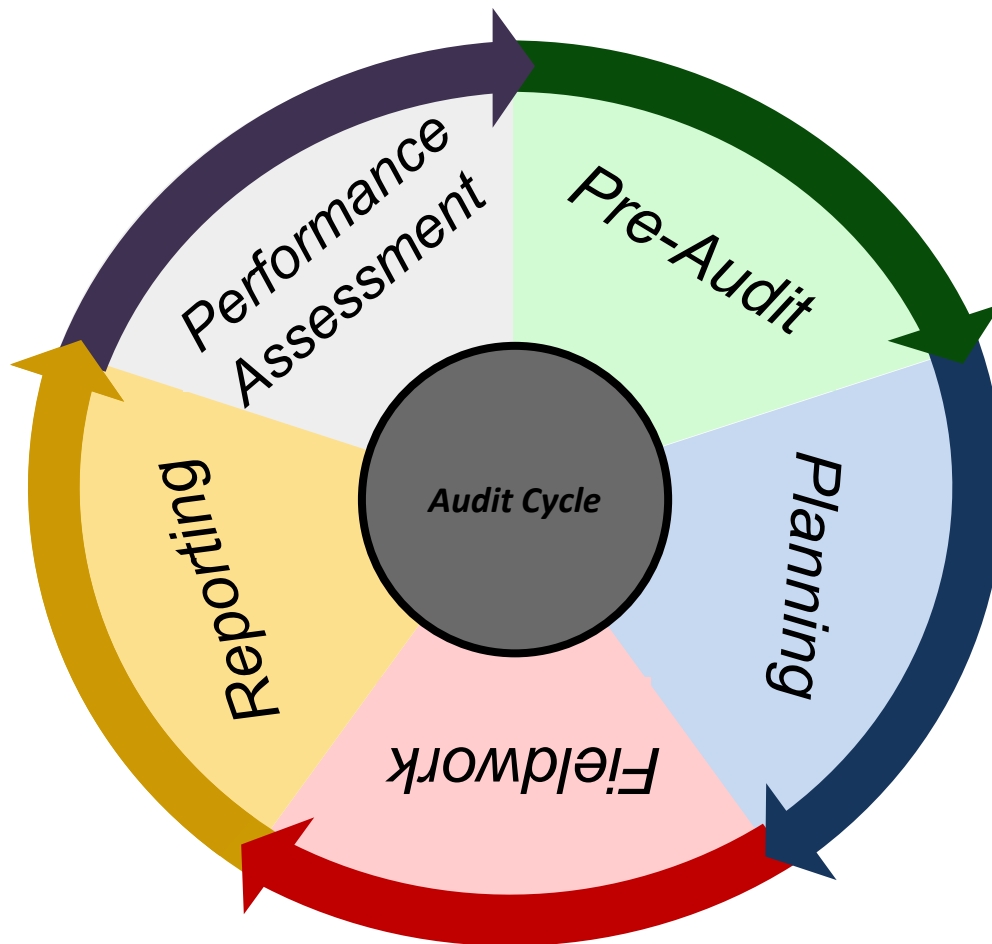


- Compliance Monitoring Methods
 - Compliance Audits
 - Self-Certifications
 - Spot Checks
 - Self-Reports
 - Periodic Data Submittals
 - Complaints
 - Compliance Investigations
 - Exception Reports



- Audits occur at least once every three years for Balancing Authority (BA), Reliability Coordinator (RC), and Transmission Operator (TOP)
- Audits of other entities may occur based on entity IRA and Compliance Oversight Plan (COP)
 - Level of risk informs compliance monitoring tool and interval
- Regional Entities lead compliance audits, NERC, and FERC may observe
 - Audit team composition and requirements described in CMEP
- Audits based on professional auditing standards

AUDIT



- Pre-audit:
 - Regional Entity performs IRA to determine audit scope
 - ICE may be performed
 - Audit team assembled
- Planning:
 - 90-day notification letter delivered
 - Team develops understanding of entity and makes data requests
- Fieldwork:
 - Actual audit starts, interviewing and testing begins
- Reporting:
 - Reports include Findings, Recommendations, and Areas of Concern
- Performance Assessment:
 - Regional Entity reviews workpapers, identifies lessons learned, and process improvement

- Annually, Regional Entities will notify registered entities about self-certifying compliance to selected Reliability Standard/Requirement
 - Refer to Regional Annual CMEP Implementation Plans
 - Regional Entities also follow notification process in CMEP
- Registered entities must identify non-compliance when identified



- Regional Entity may conduct a spot check at any time to determine compliance with any Reliability Standard/Requirement
 - Typically narrower scope than an audit
 - May result after an event, system disturbance, compliance issue, or to ensure mitigation of previous findings
 - Regional Entities follow process in CMEP
 - May be used in lieu of an audit

- Entities should make a self-report once it becomes aware it:
 - Has/may have violated a Reliability Standard or Requirement
 - The Violation Severity Level of a previously reported violation has changed
- Regional Entities have self-reporting processes entities must follow
 - Regional Entity makes available self-report forms
 - Entity should provide relevant documentation to support filing
 - Regional Entity will review information to evaluate compliance and needed mitigation
- Exception reporting is required within certain standards
 - Similar process as self-report

- Certain Reliability Standards contain Periodic Data Submittal (PDS) requirements
- NERC and Regional Entities may also identify PDS
- NERC and the Regional Entities notifies entities of PDS requirements
 - Refer to Annual CMEP Implementation Plan
 - Refer to NERC and Regional Entity websites
- NERC and the Regional Entities collect PDS and review for compliance



- Entities/third parties may submit a complaint to NERC or a Regional Entity
- Complaints may be made through compliance hotlines, emails, or other contact methods
- Complaints may trigger spot check or investigation
- Any findings resulting from a complaint are processed similarly to an audit finding or spot check finding



- May be triggered by events
- Confirm suspected non-compliance
- Specific scope at onset but scope can change
- Generally led by Regional Entity staff
 - Will always have NERC participation
 - Most likely will have FERC observers
- Confidential, unless conducted in response to FERC directive





Questions and Answers

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Compliance Resources

RELIABILITY | ACCOUNTABILITY



- NERC and Regional compliance websites
 - ERO Enterprise CMEP IP
 - Procedure documents
 - Timelines and schedules
 - Workshops, training, and presentations
 - IRA and Internal Control Guidance documents
 - ERO Enterprise Compliance Auditor Manual
- Compliance Guidance
 - ERO Enterprise-Endorsed Implementation Guidance
 - ERO Enterprise-Endorsed Implementation Guidance for Inactive Reliability Standards
 - CMEP Practice Guides
 - Proposed Implementation Guidance

- Compliance Application Notices (CANs)
 - Incorporated into RSAWs or stand alone
- Weekly Standards and Compliance Bulletins
- Training
 - NERC Standards and Compliance Workshops
 - Face-to-face Industry Outreach Events on risk-based activities
 - Posted webinars on risk-based CMEP activities
 - Regional Entity workshops
- Reliability Standard Audit Worksheets (RSAWs)

The screenshot shows the NERC website homepage. At the top left is the NERC logo. To the right is a search bar and user links for 'Craig Struck', 'Account Log-In/Register', and 'Contact Us'. Below the logo is a navigation menu with items: 'About NERC', 'Governance', 'Committees', 'Program Areas & Departments', 'Initiatives', 'Filings & Orders', 'Newsroom', and 'Resources'. A red arrow points from the 'Governance' menu item to a large text block in the center of the page. This text block contains the mission statement of NERC. Below the main content area are three columns: 'Headlines & News' with a list of recent news items, 'Calendar' with a grid of events, and three featured content blocks: 'Standards' with an image of power lines, 'Critical Infrastructure' with an image of a hand holding a screen showing error messages, and 'Reliability Assessment & Performance Analysis' with a line graph.

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About NERC Governance Committees Program Areas & Departments Initiatives Filings & Orders Newsroom Resources

The North American Electric Reliability Corporation (NERC) is a not-for-profit international regulatory authority whose mission is to assure the reliability of the bulk power system in North America. NERC develops and enforces Reliability Standards; annually assesses seasonal and long-term reliability; monitors the bulk power system through system awareness; and educates, trains, and certifies industry personnel. NERC's area of responsibility spans the continental United States, Canada, and the northern portion of Baja California, Mexico. NERC is the electric reliability organization for North America, subject to oversight by the Federal Energy Regulatory Commission and governmental authorities in Canada. NERC's jurisdiction includes users, owners, and operators of the bulk power system, which serves more than 334 million people.

RELIABILITY | ACCOUNTABILITY

Headlines & News

- Industry's Winter Preparations Reduce Impact of Record-Breaking Cold
March 11, 2015
- NERC Participates in FERC Monthly Meeting, Clean Power Plan Technical Conference
February 19, 2015
- Board Welcomes New Member, Appoints New Vice President and Adopts Three Standards Projects
February 12, 2015
- Virginia Sulzberger Named to National Academy of Engineering's 2015 Class
February 06, 2015
- NERC Begins Search for Senior Security Executive
February 06, 2015
- Statement on FERC Meeting Action
January 22, 2015

Newsroom Archives | Subscribe to the NERC Headlines RSS Feed

Calendar

Standards	Reliability Risk Management
Critical Infrastructure	Compliance
Reliability Assessment & Performance Analysis	System Operator Training & Certification
Board of Trustees	Webinar Registration

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Standards

NERC's Standards program ensures the reliability of the bulk power system

Critical Infrastructure

Critical Infrastructure is designed to efficiently identify security threats.

Reliability Assessment & Performance Analysis

The Reliability Assessment and Performance Analysis program

Select Governance

The screenshot shows the NERC website's 'Rules of Procedure' page. The page includes a navigation menu, a search bar, and a main content area with several paragraphs of text. A table at the bottom lists various appendices, with a red arrow pointing to the 'Rules of Procedure in Effect (14)' section.

Rules of Procedure

NERC and NERC members shall comply with these Rules of Procedure. Each Regional Entity shall comply with these Rules of Procedure as applicable to functions delegated to the Regional Entity by NERC or as required by an appropriate governmental authority or as otherwise provided.

Each bulk power system owner, operator, and user shall comply with all NERC Rules of Procedure that are applicable to such entities by approval pursuant to applicable legislation or regulation or pursuant to agreement.

Any entity that is unable to comply or that is not in compliance with a NERC Rule of Procedure shall immediately notify NERC in writing, stating the rule of concern and the reason for not being able to comply with the rule.

NERC shall evaluate each case and inform the entity of the results of the evaluation. If NERC determines that a rule has been violated, or cannot practically be complied with, NERC shall notify the applicable governmental authorities and take such other actions as NERC deems appropriate to address the situation.

NERC shall comply with each approved Reliability Standard that identifies NERC or the electric reliability organization as a responsible entity. Regional Entities shall comply with each approved Reliability Standard that identifies Regional Entities as responsible entities. A violation by NERC or a Regional Entity of such a Reliability Standard shall constitute a violation of these Rules of Procedure.

Appendix Number	Title/Summary	Date
<ul style="list-style-type: none"> Proposed Revisions to NERC Rules of Procedure – Sections 300 and 500, Appendices 2, 3D, 5A and 5B – August 26, 2014 Posting (48) Proposed Revisions to NERC Rules of Procedure – Sections 300 and 500, Appendices 2, 5A and 5B – October 28, 2014 Posting (8) Rules of Procedure in Effect (14) 		
Appendix 3A	Standard Processes Manual Effective: June 26, 2013	6/26/2013
Appendix 3B	Election Procedure for Members of NERC Standards Committee Effective: October 4, 2013	10/4/2013
Appendix 4A	Audit of Regional Entity Compliance Programs Effective: October 4, 2013	10/4/2013
Appendix 4C	Uniform Compliance Monitoring and Enforcement Program Effective: June 25, 2013	6/25/2013

**Rules of
Procedure and
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[Reliability Standards Audit Worksheet \(RSAWs\)](#)

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Enforcement Analysis and Violation Statistics

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[Vegetation Management Reports](#)

Committees

[Compliance and Certification Committee \(CCC\)](#)

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Compliance & Enforcement

NERC's compliance efforts are comprised of key activities.

Compliance Monitoring is the process used to assess, investigate, evaluate, and audit in order to measure compliance with NERC Reliability Standards. Standards are developed, adopted, and approved through the Reliability Standards Development program and placed into effect pursuant to FERC orders or to applicable authorities in other North American jurisdictions. This statutory responsibility is set forth in section 215(e) of the Federal Power Act as well as 18 C.F.R. §39.7.

Compliance Enforcement is the process by which NERC issues sanctions and ensures mitigation of confirmed violations of mandatory NERC Reliability Standards. As part of these efforts, NERC can also issue directives to immediately address and deter new or further violations, irrespective of their presence or status (i.e., confirmed or alleged). Sanctioning of confirmed violations is determined pursuant to the NERC Sanction Guidelines and is based heavily upon the Violation Risk Factors and Violation Severity Levels of the standards requirements violated and the violations' duration. Entities found in violation of any standard must submit a mitigation plan for approval by NERC and, once approved, must execute this plan as submitted.

Organization Registration and Certification includes both the Organization Registration function and the Organization Certification function. Organization Registration identifies and registers bulk power system users, owners, and operators who are responsible for performing specified reliability functions to which requirements of



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Reliability Assurance Initiative

The Reliability Assurance Initiative (RAI) was a collaborative, multi-year effort among NERC, the Regional Entities, and industry to identify and implement changes to enhance the effectiveness of the Compliance Monitoring and Enforcement Program (CMEP).

Compliance monitoring and enforcement must be “right-sized” based on a number of considerations, including risk factors and registered entity management practices related to the detection, assessment, mitigation, and reporting of noncompliance. A risk-based approach is necessary for a proper allocation of resources and to encourage registered entities to enhance internal controls, including those focused on the self-identification of noncompliance.

In 2013 and 2014, the ERO Enterprise tested a number of risk-based concepts, processes, and programs under RAI and published guides and program documents related to the new and expanded processes and programs. Through RAI, NERC completed the design of the risk-based CMEP and is now focusing on program implementation. In particular, NERC and the Regional Entities will concentrate their efforts on four critical areas: training, continued outreach, oversight, and development of objective metrics to measure the success of the risk-based CMEP.

Please note that because RAI was completed in 2014, NERC will no longer include references to RAI in its communications. The information accumulated on this page will soon be duplicated on the Compliance and Enforcement page, which is undergoing improvements. This dedicated RAI page will remain in place, with all of its current content. If you have questions or comments about this page or its content, please email ComplianceOpsHelp@nerc.net or Enforcement@nerc.net.

Implementation Resources

Type	Title	Date
	2017 ERO CMEP Implementation Plan	5/18/2017
	2016 ERO CMEP Implementation Plan (Revised)	7/13/2016
	2015 ERO CMEP Implementation Plan	8/17/2015
	FERC Order Approving Risk-Based CMEP	2/19/2015
	Compliance Exception and Self-Logging Report Q4 2014 (February 2015 BOTCC Agenda Excerpt)	2/11/2015
	Risk-Based CMEP Update (February 2015 BOTCC Agenda Excerpt)	2/11/2015
	Risk-Based CMEP Update (May 2015 BOTCC Agenda Excerpt)	5/26/2015
	Risk-Based CMEP Update (November 2015 BOTCC Agenda Excerpt)	11/5/2015
	Risk-Based CMEP Update (August 2015 BOTCC Agenda Excerpt)	8/13/2015
	Regional Consistency Reporting Tool	11/18/2014
	The Application of Risk-Based CMEP Concepts to CIP Version 5	10/22/2014
	Coordinated Oversight MRRE FAQ	5/18/2017

Design Resources

Type	Title	Date
	ERO Enterprise Internal Control Evaluation Guide	12/22/2016
	Overview of the ERO Enterprise’s Risk-Based CMEP	9/5/2014
	Visual Overview of the ERO Enterprise’s Risk-Based CMEP	9/5/2014
	ERO Enterprise Guide for Compliance Monitoring	10/28/2016

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Compliance & Enforcement

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[Program Areas & Departments](#) > [Compliance & Enforcement](#) > [Compliance Guidance](#)

Compliance Guidance

A key factor in the success of compliance monitoring and enforcement of mandatory standards rests on a common understanding among industry and ERO Enterprise Compliance Monitoring and Enforcement Program (CMEP) staff of how compliance can be achieved and demonstrated. For many standards, this is straightforward. For others, a variety of approaches may achieve the same objective.

In November 2015, the NERC Board of Trustees approved the Compliance Guidance Policy, located under Key Resources. Compliance Guidance under the Compliance Guidance Policy includes two types:



- **Implementation Guidance**, which provides examples for implementing a standard; and
- **CMEP Practice Guides**, which provide direction to ERO Enterprise CMEP staff on approaches to carry out compliance monitoring and enforcement activities.

Implementation Guidance is developed by industry and vetted through pre-qualified organizations. In order for an organization to become pre-qualified, a member of that organization must submit an application to the Compliance and Certification Committee. Vetted examples can then be submitted to the ERO Enterprise for endorsement, and, if endorsed, the ERO Enterprise would give the example deference during CMEP activities with consideration of facts and circumstances. Implementation Guidance would not prescribe the only approach to implementing a standard and entities may choose alternative approaches that better fit their situation. Draft Implementation Guidance will be posted below while it is being considered for ERO Enterprise endorsement.


Key Resources

- > [Compliance Guidance Policy](#)
- > [Pre-Qualified Organization List](#)
- > [U.S. Standards One-Stop Shop](#)
- > [How to Submit Proposed Implementation Guidance](#)
- > [Pre-Qualified Organization Application](#)



ERO Enterprise-Endorsed Implementation Guidance

Type	Title	Date	Standards Family
	CIP Version 5 FAQ	10/28/2016	CIP
	CIP-002-5.1 BES Cyber Assets Lessons Learned	10/28/2016	CIP
	CIP-002-5.1 Communications and Networking Cyber Assets	10/28/2016	CIP
	CIP-002-5.1 Far-end Relay Lessons Learned	10/28/2016	CIP
	CIP-002-5.1 Generation Interconnection Lessons Learned	10/28/2016	CIP
	CIP-002-5.1 Generation Segmentation Lessons Learned	10/28/2016	CIP
	CIP-002-5.1 Grouping of BES Cyber Systems Lessons Learned	10/28/2016	CIP
	External Routable Connectivity Lessons Learned	10/28/2016	CIP
	Mixed Trust EACMS Authentication Lessons Learned	10/28/2016	CIP
	TPL-007-1 Transformer Thermal Impact Assessment White Paper	10/28/2016	TPL
	Vendor Access Management Lessons Learned	10/28/2016	CIP
	CIP-002-5.1 Standard Application Guide	10/31/2016	CIP
	System Operating Limit Definition and Exceedance Clarification	3/24/2017	TOP
	TPL-001-4 Standard Application Guide	3/24/2017	TPL
	CIP-014-2 R1 Guideline (NATF)	5/4/2017	CIP
	FAC-008-3 Standard Application Guide	5/8/2017	FAC
	CIP-013-1-R1 Implementation Guidance	6/7/2017	CIP

ERO Enterprise-Endorsed Implementation Guidance for Inactive Reliability Standards

Type	Title	Date	Standards Family
	FAC-003-3 Standard Application Guide	10/28/2016	FAC

CMEP Practice Guides

Type	Title	Date	Standards Family
	ERO Enterprise CMEP Practice Guide: Deference for Implementation Guidance	5/20/2016	
	CMEP Practice Guide Phased Implementation Completion Percentages	3/24/2017	

Proposed Implementation Guidance

Type	Title	Date	Standards Family
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The screenshot shows the NERC website's navigation menu and a list of Compliance Application Notices (CANS). The left sidebar contains various compliance-related links. The main content area displays a list of CANS with columns for Type, Number, Title, and Date. A red arrow points to the 'Final' category, and a red label 'Active CANS' is placed next to the list of notices.

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Program Areas & Departments > Compliance & Enforcement > Resources > Compliance Application Notices

Compliance Application Notices

Type	Number	Title	Date
[-] Compliance Application Notices - Final (7)			
	CAN-0005	CIP-002 R3: Critical Cyber Asset Designation for System Operator Laptops (Revised)	12/9/2011
	CAN-0007	CIP-004 R4.2: Revocation of Access to Critical Cyber Assets (CCAs) (Revised)	12/9/2011
	CAN-0010	Implementation of Annual in Reliability Standards Requirements (Revised)	11/16/2011
	CAN-0012	Completion of Periodic Activity Requirements During Implementation Plan (Revised)	6/15/2012
	CAN-0017	CIP-007 R5: Technical and Procedural System Access and Password Controls	11/11/2011
	CAN-0030	Attestations	12/9/2011
	CAN-0031	CIP-006 R1: Acceptable Opening Dimensions	12/9/2011
[-] Compliance Application Notices - High-Level Review (4)			
[-] Compliance Application Notices Processes and Tools (7)			
[-] Retired or Withdrawn CANS (22)			
[-] Webinar Slides (4)			

Active CANS

Left Sidebar Navigation:

- About Compliance Operations
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- Compliance Violation Statistics
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The screenshot displays the NERC website's 'Compliance Process Bulletins' page. The breadcrumb trail is: Program Areas & Departments > Compliance & Enforcement > Resources > Compliance Process Bulletins. The page title is 'Compliance Process Bulletins'. Below the title is a section for 'Compliance Process Bulletins' with a dropdown menu. A table lists various bulletins with columns for Type, Title, and Date. A red arrow points to the 'Public Notices (23)' section header.

Type	Title	Date
Public Notices (23)		
Compliance Process Bulletin #2008-001:	Vegetation-related Transmission Outage Reporting v.1.0	12/18/2008
Compliance Process Bulletin #2009-003:	Provides guidance concerning the applicability and implementation of the pro forma settlement process for violations of certain documentary requirements.	6/29/2009
Compliance Process Bulletin #2009-003:	Provides guidance concerning the applicability and implementation of pro forma settlement process for violations of certain documentary requirements.	6/2/2009
Compliance Process Bulletin #2009-004:	This bulletin outlines the requirements for and provides guidance with regard to the provision of access to and copies of evidence related to Compliance Audit and Compliance Violation Investigation (CVI)	6/29/2009
Compliance Process Bulletin #2009-004:	This bulletin outlines the requirements for and provides guidance with regard to the provision of access to and copies of evidence related to Compliance Audit and Compliance Violation Investigation (CVI)	7/15/2009
Compliance Process Bulletin #2009-005:	Guidance on current in force document data retention requirements for Registered Entities.	6/29/2009
Compliance Process Bulletin #2009-006:	The purpose of this Compliance Process Bulletin is to provide guidance to Regional Entities and affected Registered Entities concerning the applicability and implementation of NERC Critical Infrastructure	7/1/2009
Compliance Process Bulletin #2009-007:	The purpose of this Compliance Process Bulletin is to provide revised guidance to affected Registered Entities concerning the applicability and implementation of NERC Critical Infrastructure	10/13/2009
Compliance Process Bulletin #2009-007:	The purpose of this Compliance Process Bulletin is to provide guidance to affected Registered Entities concerning the applicability and implementation of NERC Critical Infrastructure Protection CIP	11/9/2009
Compliance Process Bulletin #2009-007:	The purpose of this Compliance Process Bulletin is to provide guidance to affected Registered Entities concerning the applicability and implementation of NERC Critical Infrastructure Protection CIP	10/12/2009
Compliance Process Bulletin #2009-008:	The purpose of this Compliance Process Bulletin is to provide guidance to affected registered entities concerning the applicability and implementation of Version 1 of the Critical Infrastructure Prot	12/18/2009
Compliance Process Bulletin #2010-001:	The purpose of this Bulletin is to provide interim updates for Technical Feasibility Exceptions ("TFEs") under the Critical Infrastructure Protection ("CIP") Reliability Standards, CIP-002 through CIP-009.	1/27/2010
Compliance Process Bulletin #2010-002:	The purpose of this Compliance Process Bulletin is to announce updates to the 2010 CMEP Implementation Plan and the 2010 Actively Monitored List.	2/12/2010
Compliance Process Bulletin #2011-001:	The purpose of this Bulletin is to clarify the data retention requirement of the CMEP and to revise the text of the 2009 Bulletin.	5/20/2011
Compliance Process Bulletin #2011-002:	The purpose of this Bulletin is to clarify that Regions will give 90-days notice prior to an audit	6/17/2011
Compliance Process Bulletin #2011-006:	Process Bulletin #2011-006 has been issued to document that the "Implementation	10/19/2011

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Registration and Certification

Compliance Tools and Auditor Resources

Compliance Application Notice (CANs)

NERC Directives and Bulletins for Regional Entities

Compliance Process Bulletins

Reliability Standards Audit Worksheet (RSAWs)

Compliance Training & Workshops

Compliance Reports

Enforcement and Mitigation

Compliance Violation Statistics

Annual Reports

Vegetation Management Reports

Committees

Compliance and Certification Committee (CCC)

Compliance Resource Documents

Program Areas & Departments > Compliance & Enforcement > Reliability Standard Audit Worksheets (RSAWs)

Reliability Standard Audit Worksheets (RSAWs)

Reliability Standard Audits Worksheets			
Type	Number	Title	Date
[-] Current RSAWs for Use (115)			
[+]	2011 Complete Set	Reliability Standard Audit Worksheet - Complete Set for 2011 Actively Monitored List	1/25/2011
[+]	2013 Complete Set	Reliability Standard Audit Worksheet - Complete Set for 2013 Actively Monitored List August 2013	8/9/2013
[+]	2012 Complete Set	Reliability Standard Audit Worksheet - Complete Set for 2012 Actively Monitored List	10/19/2011
[w]	BAL-001-0.1a	Real Power Balancing Control Performance	1/25/2011
[w]	BAL-002-1	Disturbance Control Performance	10/16/2011
[w]	BAL-003-0.1b	Frequency Response and Bias	1/25/2011
[w]	BAL-004-0	Time Error Correction	1/25/2011
[w]	BAL-005-0.2b	Automatic Generation Control	5/20/2013
[w]	BAL-006-2	Inadvertent Interchange	10/16/2011
[w]	BAL-STD-002-0	Operating Reserves	1/25/2011
[w]	CIP-001-2a	Sabotage Reporting	10/13/2012
[w]	CIP-002-3	Cyber Security - Critical Cyber Asset Identification	10/16/2011
[w]	CIP-003-3	Cyber Security - Security Management Controls	10/16/2011
[w]	CIP-004-3	Cyber Security - Personnel & Training	10/16/2011
[w]	CIP-005-3a	Cyber Security - Electronic Security Perimeter(s)	10/16/2011
[w]	CIP-006-3c	Cyber Security - Physical Security of Critical Cyber Assets	10/16/2011
[w]	CIP-007-3	Cyber Security - Systems Security Management	10/16/2011
[w]	CIP-008-3	Cyber Security - Incident Reporting and Response Planning	10/16/2011
[w]	CIP-009-3	Cyber Security - Recovery Plans for Critical Cyber Assets	10/16/2011
[w]	COM-001-1.1	Telecommunications	10/16/2011
[w]	COM-002-2	Communication and Coordination	10/16/2011
[w]	EOP-001-2.1b	Emergency Operations Planning	8/9/2013
[w]	EOP-002-3.1	Capacity and Energy Emergencies	5/20/2013
[w]	EOP-003-1	Load Shedding Plans	1/25/2011
[w]	EOP-003-2	Load Shedding Plans	10/13/2012
[w]	EOP-004-1	Disturbance Reporting	10/16/2011

RSAWs available by Standard

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Program Areas & Departments > Compliance & Enforcement

Compliance & Enforcement

NERC's Compliance efforts are comprised of key activities, including:

Compliance Monitoring is the process used to assess, investigate, evaluate, and audit in order to measure compliance with NERC Reliability Standards. Standards are developed, adopted and approved through the Reliability Standards Development program and placed into effect pursuant to FERC orders or to applicable authorities in other North American jurisdictions. This statutory responsibility is set forth in section 215(e) of the Federal Power Act as well as 18 C.F.R. §39.7.

Compliance Enforcement is the process by which NERC issues sanctions and ensures mitigation of confirmed violations of mandatory NERC Reliability Standards. As part of these efforts, NERC can also issue directives to immediately address and deter new or further violations, irrespective of their presence or status (i.e., confirmed or alleged). Sanctioning of confirmed violations is determined pursuant to the NERC Sanction Guidelines and is based heavily upon the Violation Risk Factors and Violation Severity Levels of the standards requirements violated and the violations' duration. Entities found in violation of any standard must submit a mitigation plan for approval by NERC and, once approved, must execute this plan as submitted.

Organization Registration and Certification includes both the Organization Registration function and the Organization Certification function. Organization Registration identifies and registers Bulk-Power System users, owners and operators who are responsible for performing specified reliability functions to which requirements of mandatory NERC Reliability Standards are applicable. The Organization Certification function is the process by which NERC monitors and enforces compliance with NERC

Compliance Reference Material

Program Contacts

- NERC Certification
- NERC Registration
- NERC Enforcement

Calendar

View Compliance Events

Compliance Resource Documents

- About Compliance Operations
- Regional Entity Compliance Programs
- Compliance Hotline
- Compliance Investigations
- Audit Assurance and Oversight
- Regional Audit Reports of Registered Entities
- Reliability Assurance Initiative (RAI)
- Registration and Certification
- Compliance Tools and Auditor Resources
- Compliance Application Notice (CANs)
- NERC Directives and Bulletins for Regional Entities
- Compliance Process Bulletins
- Reliability Standards Audit Worksheet (RSAWs)
- Compliance Training & Workshops
- Compliance Reports
- Enforcement and Mitigation
- Compliance Violation Statistics
- Annual Reports
- Vegetation Management Reports
- Committees
- Compliance and Certification Committee (CCC)

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Program Areas & Departments > Compliance & Enforcement > Resources

Resources

Type	Title	Date
	NERC Posts 4th Quarter 2011 Vegetation-Related Transmission Outage Report	4/10/2012
	Memorandum of Understanding between NERC and NRC	3/10/2010
	Guidance for Compliance Monitoring and Enforcement Pending Retirement of Standards and Requirements Pursuant to Paragraph 61	4/9/2013
	FERC Order 693-A: Mandatory Reliability Standards for the Bulk-Power System	7/19/2007
	ERO Case Studies - December 2012	11/7/2013
	Cyber Security Standards Transition Guidance (Revised)	9/5/2013
	Cyber Security Standards Transition Guidance	4/11/2013
	Cyber Security Standards Proposed Transition Guidance (Revised)	7/17/2013
	Compliance Violation Statistics - December 2011	2/27/2012
	About the Compliance & Enforcement Program	6/17/2008
	2015 ERO CMEP Implementation Plan	11/19/2014
	2014 ERO CMEP Implementation Plan	7/17/2014
	2013 Implementation Plan	12/27/2012
	2013 CMEP Annual Report	10/20/2014
	2012 Implementation Plan Webinar	9/15/2011
	2012 Implementation Plan	4/2/2012
	2012 Actively Monitored List	7/5/2012
	2011 Implementation Plan	5/11/2011
	2011 Actively Monitored List	4/28/2011
	2010 Implementation Plan	10/1/2009
	2010 Actively Monitored List	5/5/2010
	2009 Implementation Plan	10/1/2008
	2009 Actively Monitored List - Version 1.2	1/5/2009
	2008 Implementation Plan	9/26/2007
	2008 CMEP Reporting Requirements	9/26/2007

AML [2]

Type	Title	Date
	2014 NERC Actively Monitored List	11/24/2014
	2013 Actively Monitored List rev4	11/1/2013

2017 CMEP Implementation Plan located under "Resources"

AML is no longer posted as of January 1, 2015



Questions and Answers

NERC

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Standards Balloting and Commenting System (SBS)

RELIABILITY | ACCOUNTABILITY



- SBS - <https://sbs.nerc.net/>
- Via the [Balloting and Commenting](#) page

Balloting and Commenting
Click here for Standards Balloting and Commenting System (SBS)

Email ballotadmin@nerc.net or call 404-446-2560 (Monday-Friday, 8 a.m. – 4 p.m. Eastern)*

- For Administrative Support:
 - SBS, RBB, and voter registration questions or
 - Provide SBS feedback

Contact <https://support.nerc.net/> (Monday – Friday, 8 a.m. – 5 p.m. Eastern)*

- For NERC IT Support:
 - Trouble accessing SBS due to:
 - A forgotten password,
 - An incorrect credentials error message, or
 - System lock-out

SBS passwords expire every 6 months and must be reset

- SBS passwords must contain:
 - At least 8 characters
 - One capital letter
 - One number

Please be mindful of ballot and comment period closing dates. We ask to allow at least 48 hours for NERC support staff to assist with inquiries. Therefore, it is recommended that users try logging into their SBS accounts prior to the last day of a comment/ballot period.

Note: The SBS is not supported for use on mobile devices

*Please allow 1-2 business days for a staff member to respond to your inquiry

- Via the [Balloting and Commenting](#) page

Current and Upcoming Ballots (Sorted by End Date)				
Project	Action	Start Date	End Date	
2010-14.1 Phase 1 of Balancing Authority Reliability-based Controls BAL-002-2	Final Ballot	9/29/2015	10/8/2015	

Join Ballot Pools (Ballot Pool Windows Close at 8 p.m. Eastern)				
Project	Action	Start Date	End Date	
2009-02 Real-time Monitoring and Analysis Capabilities IRO-018-1, TOP-010-1	Ballot Pool	9/24/2015	10/23/2015	

Posted for Comment (Closes at 8 p.m. Eastern) (Sorted by End Date)				
Project	Action	Start Date	End Date	
2009-02 Real-time Monitoring and Analysis Capabilities IRO-018-1, TOP-010-1	Comment Form	9/24/2015	11/9/2015	

- Select **Register**

NERC Balloting Tool

Dashboard

Users ▾

Ballots ▾

Comment Forms ▾

Login / Register

DASHBOARD

NERC Standards Balloting System

Welcome Guest User, your Role is Guest

Please use the links below, or the top navigation menu to navigate the NERC Standards Balloting System Website.

Users

[Registered Ballot Body](#)

[Proxy Ballot Body](#)

[My User Profile](#)

Ballots

[Ballots Events](#)

[Ballot Results](#)

Comment Forms

[View Real-time Comments](#)

- Create an account

The screenshot displays the NERC Standards Balloting System dashboard. At the top, a blue header reads "DASHBOARD". Below it, the main title is "NERC Standards Balloting System". A navigation bar contains "NERC Balloting Tool" and "Dashboard". The user is identified as a "Guest User". A sidebar on the left lists various links under "Users", "Ballots", and "Comment Forms". The main content area is titled "Register" and contains a message: "Welcome to the SBS balloting Tool. To Create an Account click the button below. You will be redirected to SBS account management." A blue button labeled "Create an Account" is prominently displayed, with a red arrow pointing to it from the right side of the image.

- Select **Create New Account**

ERO Platform

User Name

Password

Remember me?

Sign In

Create New Account Reset Password

This system is for the use of authorized users only. Individuals using this system are subject to having their activities monitored and recorded by authorized company personnel. Anyone using this system expressly consents to such monitoring and is advised that if such monitoring reveals possible evidence of criminal activity, company personnel may provide the evidence of such monitoring to law enforcement officials.

ERO Platform

[Sign-In](#) » Create Account

User Name(Email Address)

Password

Confirm Password

First Name

Last Name

Title


Phone

Email

Password Question

Password Answer

Verify [Click here.](#)



- Username is your email address
- Password must be a minimum of 8 characters long, contain one upper case letter, and one numeric character.

Contributor to Voter or Proxy Role

NERC Balloting Tool Dashboard Users Ballots Comment Forms

DASHBOARD

NERC Standards Balloting System

Welcome Nasheema Santos, **your Role is Contributor**

Please use the links below, or the top navigation menu to navigate the NERC Standards Balloting System Website.

Users

- Registered Ballot Body
- Proxy Ballot Body
- My User Profile**

Ballots

- Ballot Events
- Ballot Results

Comment Forms

- View Comment Forms
- My Commenting History

MY USER PROFILE

User Profile

First Name: Nasheema
Last Name: Santos
Entity: Nasheema Santos
Segment:
Title: Administrator
Phone: 404-446-2564
Email: nasheema.santos@nerc.net
Role: Contributor

[Click here](#) to request additional credentials

[Edit Profile](#) [Cancel](#)

- Select **Voter** or **Proxy Role**

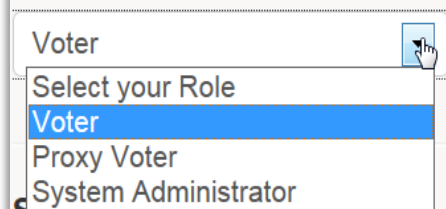
Select Your Role

Contributor: An individual who would like to provide their opinion on proposed Standards and other standards products available for comment using an electronic software tool.

Proxy: The person designated by the original voter of the ballot pool, authorized to place a vote on their behalf.

Voter: A registered voting member of the NERC Registered Ballot Body for the purpose of casting votes on proposed Standards and non-binding polls.

Administrator: NERC Standards Process Administrator



A screenshot of a web interface showing a dropdown menu for role selection. The menu is open, displaying four options: "Voter", "Proxy Voter", and "System Administrator". The "Voter" option is highlighted with a blue background. A mouse cursor is visible over the dropdown arrow on the right side of the menu.

Select Your Segment

1 Transmission Owner

- **Select Segment**

The screenshot displays a web interface for requesting a voter role. At the top, there is a dropdown menu with the text 'Voter' and a downward arrow. Below this is a section titled 'Select Your Segment'. Underneath the title is another dropdown menu with the text 'Select your Segment' and a mouse cursor hovering over it. A list of ten segments is displayed below the dropdown, with the first segment, '1 Transmission Owner', highlighted in blue. The segments are:

- 1 Transmission Owner
- 2 Regional Transmission Organizations (RTOs) and Independent System Operators (ISOs)
- 3 Load-Serving Entities (LSEs)
- 4 Transmission Dependent Utilities (TDUs)
- 5 Electric Generators
- 6 Electricity Brokers, Aggregators, and Marketers
- 7 Large Electricity End Users
- 8 Small Electricity Users
- 9 Federal, State, and Provincial Regulatory or other Government Entities
- 10 Regional Reliability Organizations and Regional Entities

At the bottom left of the form, there is a blue button with the text 'Request'.

- **Select Entity**

Select Your Segment

1 Transmission Owner

Select Your Entity

Type your Entity

|

Type your Entity

ABB Power T and D Company, Inc.

Acciona Energy North America

ACES Power Marketing

AEP

AEP - AEP Marketing

AEP - AEP Service Corporation

AES - AES Corporation

email your request.

- [Appendix 3D](#) – Registered Ballot Body (RBB) Criteria
- RBB requests submitted for vetting
 - Requestor provides:
 - Name, Entity Name, Segment, Title, Phone Number, Email Address
 - Evidence that the entity qualifies for the requested Segment
 - Annual Self-selection Process
 - NERC staff may request additional information

- Vote
 - Affirmative;
 - Negative; or
 - Abstain.

- Vote belongs to the company not the individual
- Current voter changes position or leaves the company
 - Replacement voter should register to become a voter in the same segment as the current voter
 - Current and/or replacement voter, or manager should email ballotadmin@nerc.net with confirmation on voter replacement
- Current voter is registered in current ballot pools
 - SBS will replace current voter with replacement voter

- Ballot Type
 - ST - Standard
 - NB - Non-binding Poll
 - IMP - Implementation Plan
 - DEF - Definition
 - OT - Other
- Ballot Activity
 - IN - Initial
 - AB - Additional
 - FN - Final

The screenshot displays the NERC Balloting Tool interface. At the top, a dark blue navigation bar contains the text "NERC Balloting Tool" and four menu items: "Dashboard", "Users", "Ballots", and "Comment Forms", each with a small downward arrow. Below this bar, the "Users" dropdown menu is open, showing three options: "Registered Ballot Body", "Proxy Ballot Body", and "My User Profile". The main content area has a light blue header with the word "DASHBOARD" in italics. Below the header is a large heading "NERC Standards Balloting System" and a sub-heading "Welcome Guest User, your Role is Guest". A paragraph of text follows: "Please use the links below, or the top navigation menu to navigate the NERC Standards Balloting System Website." Below this text are three sections: "Users" with links for "Registered Ballot Body", "Proxy Ballot Body", and "My User Profile"; "Ballots" with links for "Ballots Events" and "Ballot Results"; and "Comment Forms" with a link for "View Real-time Comments". On the right side of the page, there are two additional dropdown menus. The first is labeled "Ballots" and is open, showing "Ballot Events" and "Ballot Results". The second is labeled "Comment Forms" and is open, showing "View Comment Forms". A mouse cursor is visible over the "View Comment Forms" link.

Voter

- View Ballot Events
 - Open ballot pools and ballots
 - Upcoming ballots
- Ballots Results
 - Published ballot results (Finalized)
- My Voting Activity
 - Join or withdraw from open ballot pools
 - Delegate/revoke proxy rights
 - Vote
- My Voting History
 - Ballot pools joined
 - Votes cast

Proxy

- View Ballot Events
 - Open ballot pools and ballots
 - Upcoming ballots
- Ballots Results
 - Published ballot results (Finalized)
- My Proxy Activity
 - Delegated ballots
 - Revoke proxy rights
 - Vote
- My Proxy History
 - Votes cast

- Survey is the electronic comment form
- Social survey – view others comments real-time

Contributor, Voter, Proxy View

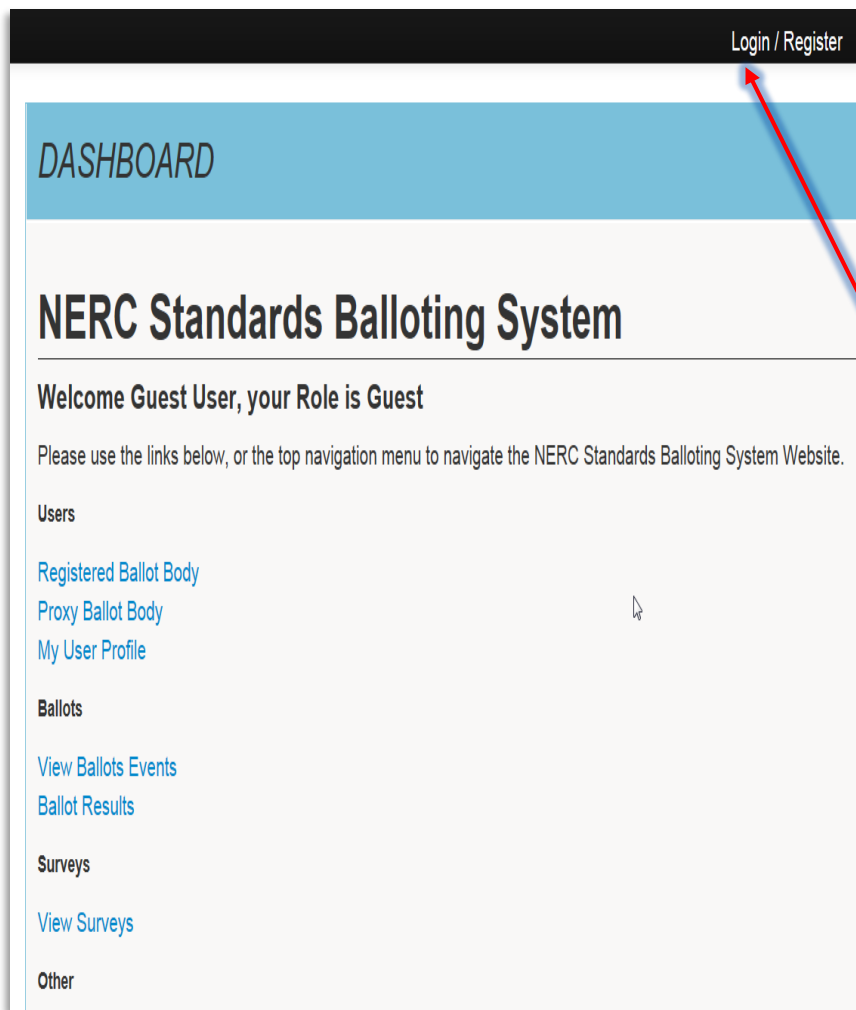
- Surveys
 - View Surveys
 - Submit comments
 - Open and closed surveys
 - Social survey - comments real-time
 - My Survey Activity
 - Surveys you submitted comments on

- Submit and View Real-Time Comments

The screenshot shows the NERC Balloting Tool interface. At the top, there is a navigation bar with 'NERC Balloting Tool', 'Dashboard', 'Users', and 'Ballot'. A user is logged in as 'bkndobie@aol.com'. A 'Comment Forms' dropdown menu is open, showing 'View Comment Forms'. Below this, the page title is 'COMMENT FORMS'. There is a search bar and a 'Show All entries' dropdown. A table lists comment entries with columns for Name, Status, Survey Start, and Survey End. A 'View Real-time Comments' button is highlighted over the first entry.

Name	Status	Survey Start	Survey End
2007-06.2 Phase 2 of System Protection Coordination TOP-009-1 & PRC-001-1.1 (ii)	Open	10/06/2015	11/19/2015
Revisions to the NERC Standard Processes Manual Section 6	Open	09/29/2015	10/28/2015

- Purpose of upload document feature
 - Provide red-line version of any posted documents
 - Provide supplemental information to support your response to the question
- Upload document feature should not be used for providing comments in lieu of entering comments directly into the survey
 - Up to 25MB file max size
 - Executable (*.exe) and Archive (*.zip) files are not allowed



The easiest way to reset your password

- Select Login
- Continue to next screen

ERO Platform

User Name

Password

Remember me?

Sign In

[Create New Account](#) | [Reset Password](#)

- Select 'Reset Password'
 - ***Password must be a minimum of 8 characters long, contain one upper case letter, and one numeric character.**
- Username is your email address
- Confirm email address
- Complete 'verify icon'
- Submit Query
- Verification email will be sent

ERO Platform


[Sign-In](#) » Password Reset

Please enter your User Name.

User Name:

Please confirm your email address.

Email:

Verify 

Submit Query

- Email ballotadmin@nerc.net for Administrative Support
 - SBS, RBB, and voter registration questions
 - SBS feedback

(or call 404-446-2560 (Monday – Friday, 8 a.m. - 4 p.m. Eastern).
Please allow 1 - 2 business days for a staff member to respond to your inquiry.)
- Email EROhelpdesk@nerc.net for NERC IT (Monday – Friday, 8 a.m. - 8 p.m. Eastern)
 - Trouble accessing the SBS
 - due to a forgotten password,
 - an error message due to incorrect credentials, or
 - system lock-out
 - (Monday – Friday, 8 a.m. - 8 p.m. Eastern)

- Email sarcomm@nerc.net to
 - Submit SAR's, Interpretations, etc.
 - Requests to be added to Standard Drafting Teams Plus distribution lists
 - Questions or feedback on
 - Standard Processes Manual
 - Documents or links on the Standards page



Questions and Answers