

# ERO Enterprise Compliance Guidance

## Pre-qualified Organization Implementation Guidance Submittal

### Background

The Compliance Guidance Policy states that proposed Implementation Guidance provides “...examples or approaches within the range of compliance solutions developed in a transparent and collaborative manner for registered entities to comply with standard requirements. Additionally, documents considered to be Implementation Guidance have gone through a vetting process and are endorsed by the ERO Enterprise.”<sup>1</sup> The vetting process may be through either the standards development process in Appendix 3A of the NERC Rules of Procedure or through pre-qualified organizations, which are listed [here](#). If your organization is interested in becoming pre-qualified, please complete the application located [here](#).

### Submitting Proposed Implementation Guidance

The following steps outline how a pre-qualified organization can submit proposed Implementation Guidance to the ERO Enterprise for endorsement.

1. The pre-qualified organization vets the compliance approach among registered entities to whom the approach applies or affects.
2. The pre-qualified organization should fill out the form on page 2 of this document and send an email, with the completed form and the proposed Implementation Guidance attached, to [ComplianceGuidance@nerc.net](mailto:ComplianceGuidance@nerc.net).
3. NERC will reply via email with acknowledgement that the proposed Implementation Guidance has been received.
4. As needed, NERC will reach out to the point of contact during ERO Enterprise review of the proposed Implementation Guidance regarding status or follow up questions.

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<sup>1</sup> Compliance Guidance Policy November 5, 2015, page 1, available at [http://www.nerc.com/pa/comp/Resources/ResourcesDL/Compliance\\_Guidance\\_Policy\\_FINAL\\_Board\\_Accepted\\_Nov\\_5\\_2015.pdf](http://www.nerc.com/pa/comp/Resources/ResourcesDL/Compliance_Guidance_Policy_FINAL_Board_Accepted_Nov_5_2015.pdf).

# Compliance Guidance Policy Implementation Guidance Submittal Form

NERC welcomes industry-developed examples to improve registered entity compliance with the Reliability Standards using the [Compliance Guidance Policy](#) process. Please use this form to submit proposed Implementation Guidance related to NERC's Reliability Standards. The ERO Enterprise will consider documents received from [pre-qualified organizations](#) who have vetted the approach through the organization's industry review process. Registered entities wishing to submit compliance approaches for approval by the ERO Enterprise must first process them through the pre-qualified organizations.

Please return all completed forms and attached guidance via email to [ComplianceGuidance@nerc.net](mailto:ComplianceGuidance@nerc.net)

## Submitter Information

|   |  |
|---|--|
| <b>Pre-qualified Organization Name:</b> |  |
| <b>Submitter Name:</b>                  |  |
| <b>Email:</b>                           |  |
| <b>Telephone:</b>                       |  |
| <b>Date Submitted:</b>                  |  |

## Proposed Implementation Guidance Detail

**Notes:**

1. Please be as specific as possible.
2. Where applicable, please identify the specific element(s) of the standard (e.g., Requirement R1, Part 1.2).
3. Attach all pertinent documents to this completed form for the submittal.

**Standard Number:**

**Standard Title:**

**Requirement Number(s):**

**Title of Proposed Implementation Guidance:**

**Brief Description of Proposed Implementation Guidance:**

**Additional Information:**

Thank you for taking the time to submit your proposed Implementation Guidance to support the reliability of the bulk-power system through improved compliance with NERC's Reliability Standards.

## Version History

| Version | Date             | Owner            | Change Tracking |
|---------|------------------|------------------|-----------------|
| 1       | February 5, 2016 | Compliance Staff | Initial Version |
| 1.1     | June 1, 2016     | Compliance Staff | Minor Revisions |