

# Standards, Compliance, and Enforcement Bulletin

May 7–13, 2018

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## ACTIVE STANDARDS POSTINGS

### Current and Upcoming Ballots (ballot periods close at 8:00 p.m. Eastern)

Project	Action	Start Date	End Date
<a href="#">Project 2017-06 – Modifications to BAL-002-2</a>   BAL-002-3	<a href="#">Initial Ballot and Non-binding Poll</a>	04/27/18	05/07/18

### Join Ballot Pools (ballot pool windows close at 8:00 p.m. Eastern)

Project	Action	Start Date	End Date
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### Posted for Comment

Project	Action	Start Date	End Date
<a href="#">Project 2017-06 – Modifications to BAL-002-2</a>   BAL-002-3	<a href="#">Comment Period</a>	03/22/18	05/07/18

## OTHER ACTIVE COMMENT PERIODS

Posted for Comment			
Posting	Action	Start Date	End Date
<p><b>NEW Notice of Request to Transfer Registration Pursuant to NERC Rule of Procedure 1208:</b> Consistent with Section 1208 of NERC Rules of Procedure, NERC is posting information concerning the proposed transfer request by Wisconsin Public Service Corporation (WPSC) and Upper Michigan Energy Resources Corporation (UMERC) for public comment. This information is available <a href="#">here</a>.</p> <p>NERC expects to present the proposed transfer request to the NERC Board of Trustees at the August 2018 meeting.</p>	<p>Submit comments electronically to <a href="mailto:NERC.Registration@nerc.net">NERC.Registration@nerc.net</a>.</p>	05/03/18	05/24/18
<p><b>Comment Period Open for Proposed Revisions to Rules of Procedure Appendix 4E:</b> NERC is proposing changes to its Rules of Procedure Appendix 4E (Compliance and Certification Committee (CCC) Hearing Procedures, and Mediation Procedures) to align the rules and procedural steps to the Rules of Procedure governing an appeal of a Regional Entity decision. The CCC Charter requires that unless specifically identified otherwise, the CCC's hearing procedure shall follow the hearing procedure mandated and approved by jurisdictional authorities for use by NERC and the Regional Entities in the Compliance and Enforcement program. NERC proposes to request that these revisions become effective upon approval of FERC.</p> <p>The <a href="#">Summary of Proposed Revisions</a>, <a href="#">Redlined Text of Proposed Revisions to Rules of Procedure Appendix 4E CCCPP-004</a>, and <a href="#">Redlined Text of Proposed Revisions to Rules of Procedure Appendix 4E CCCPP-006</a> are available.</p>	<p>Submitted comments electronically to <a href="mailto:ROPcomments@nerc.net">ROPcomments@nerc.net</a>.</p>	04/13/18	05/28/18

<p>NERC's bylaws specify the procedure to be followed in making changes to NERC's Rules of Procedure. Such changes must be publicly posted for a 45-day comment period before being considered by the NERC Board of Trustees (Bylaws, Article XI, Section 2). Such changes must also be approved by the FERC before they may take effect in the U.S. No equivalent approval is required from any Electric Reliability Organization governmental authority in Canada. The changes, if approved, will take effect on the same date throughout the jurisdictions in which NERC operates.</p> <p>NERC intends to present these changes to the NERC Board of Trustees at its August meeting. For further information, please contact <a href="#">Leigh Anne Faugust</a>.</p>			
<p><b>Comment Period Open for Regional Reliability Standard PRC-006-NPCC-2:</b> A comment period for PRC-006-NPCC-2 – Automatic Underfrequency Load Shedding is open through May 31, 2018.</p> <p>This draft has been developed in accordance with the NPCC Regional Standard Process Manual and within the scope of NPCC Regional Standard Authorization Request, which was accepted by the NPCC Regional Standard Committee. The revisions are also presented as mandated by the NERC Rules of Procedure.</p>	<p>Submit comments electronically through the <a href="#">NPCC website</a>.</p>	<p>04/17/18</p>	<p>05/31/18</p>
<p><b>Comment Period Open for System Operator Certification Program Survey:</b> The Personnel Certification Governance Committee (PCGC) is in the process of reviewing the NERC System Operator Certification (SOC) program. Industry input from stakeholders related to the SOC program for potential future program development and/or improvement are being petitioned.</p>	<p>Please submit comments using the <a href="#">electronic form</a>.</p>	<p>04/03/18</p>	<p>06/15/18</p>

<p>All program participants including certified System Operators, program candidates, Continuing Education providers, and entity trainers, are encouraged to participate in the survey.</p> <p>An unofficial word version of the survey is available on the <a href="#">System Operator Certification page</a> and the <a href="#">Continuing Education page</a> of the NERC website. Please reference the word version of the survey on the website for Table 3. The PCGC will review all responses submitted by industry stakeholders.</p>			
<p><b>NEW Comment Period Open for Inverter-Based Resource Performance Draft Reliability Guideline:</b> The Inverter-Based Resource Performance Task Force (IRPTF), a joint task force of the NERC Operating Committee (OC) and Planning Committee (PC), developed the <a href="#">draft Reliability Guideline: Inverter-Based Resource Performance</a>. This Reliability Guideline supports recommendations in the ERO Risk Priorities Report to address potential reliability impacts of the changing resource mix by developing guidance and recommended practices for the performance of inverter-based resources when connected to the bulk power system. The guideline specifies recommended steady-state and dynamic performance for inverter-based resources, and also covers a wide range of related aspects from protective functions to monitoring capability. The material presented throughout the guideline is based on extensive discussions with industry experts and members of the IRPTF.</p> <p>The OC and PC reviewed the initial draft of the guideline and approved it to be posted for industry comment.</p>	<p>Submit comments via <a href="#">email</a> using the <a href="#">comment form</a>.</p>	<p>05/04/18</p>	<p>06/29/18</p>

## STANDARDS NEWS

**NEW Resources Posted**

NERC has posted the [streaming webinar](#) and [slide presentation](#) for the March 14, 2018 Supply Chain Risk Management webinar.

**NEW Nomination Period Open for Project 2017-07 – Standards Alignment with Registration**

Nominations are being sought for drafting team members for Project 2017-07 Standards Alignment with Registration through **May 14, 2018**.

By submitting a nomination form, you are indicating your willingness and agreement to actively participate in face-to-face meetings and conference calls. The time commitment for this project is expected to be two face-to-face meetings per quarter (on average two full working days each meeting) with conference calls scheduled as needed to meet the agreed upon timeline the team sets forth. Team members may also have side projects, either individually or by sub-group, to present for discussion and review. Lastly, an important component of the team effort is outreach. Members of the team will be expected to conduct industry outreach during the development process to support a successful ballot. Previous drafting or periodic review team experience is beneficial, but not required. See the project page and unofficial nomination form for additional information. The Standards Committee is expected to appoint members to the team in June 2018. Nominees will be notified shortly after they have been selected.

Use the [electronic form](#) to submit a nomination. If you experience any difficulties in using the electronic form, contact [Nasheema Santos](#). An unofficial Word version of the nomination form is posted on the [Drafting Team Vacancies](#) page and the [project page](#).

**NEW Guidelines and Technical Basis Review Team Nomination Period Extended**

In support of the [Technical Rationale Transition Plan](#), the nomination period for the Guidelines and Technical Basis (GTB) review team has been extended through **8 p.m. Eastern, Friday, May 25, 2018**.

## Quick Links

[Register in the SBS](#)  
[Projected Standards Posting Schedule](#)  
[Project Tracking Spreadsheet](#)  
[Standards Related Questions – Single Portal](#)  
[2017–2019 Reliability Standards Development Plan](#)  
[Quality Review Application](#)  
[One-Stop Shop \(Status, Purpose, Implementation Plans, FERC Orders, RSAWs\)](#)

By submitting a nomination form, you are indicating your willingness and agreement to actively participate in face-to-face meetings and conference calls. The time commitment for this project is expected to be one face-to-face meeting per quarter (on average two full working days each meeting) with conference calls scheduled as needed to meet the agreed upon timeline the team sets forth. Team members may also have side projects, either individually or by sub-group, to present for discussion and review. Lastly, an important component of the team effort is outreach. Members of the team will be expected to conduct industry outreach during the development process to support a successful ballot. Previous team experience is beneficial but not required.

GTB Review Teams will be tasked with identifying GTB containing only technical guidance or Rationale information, and clearly *do not* contain compliance examples or approaches. In addition, they will work with NERC staff to transition those examples of GTB to Technical Rationale. Team members will be designated to the following work teams:

- Cyber Security – CIP
- Operations & Data Exchange – BAL, INT, IRO, TOP
- Personnel & Emergency Planning – COM, EOP, PER
- Modeling & Long-term Planning – FAC, MOD, NUC, TPL
- System Performance – PRC, VAR

Use the [electronic form](#) to submit a nomination. If you experience any difficulties using the electronic form, contact [Nasheema Santos](#). An unofficial Word version of the nomination form is posted on the [Standard Drafting Team Vacancies](#) page and the [project page](#). The Standards Committee is expected to appoint members to the review team in June 2018. Nominees will be notified shortly after they have been appointed.

#### **NEW Updated Effective Dates for CIP-003-6**

Following FERC's approval of CIP-003-7 and its associated implementation plan, NERC has updated the effective dates for CIP-003-6 R2, Attachment 1, Sections 2 and 3. See the below table for full detail:

Standard: CIP-003-6				
Requirement	Effective Date of Standard	Phased-In Implementation Date (if applicable)	Inactive Date	Notes
R1	7/1/2016		12/31/2019	
1.1	7/1/2016		12/31/2019	
1.2	7/1/2016	4/1/2017	12/31/2019	
R2	7/1/2016	4/1/2017	12/31/2019	
R2, Attachment 1, Section 1	7/1/2016	4/1/2017	12/31/2019	
R2, Attachment 1, Section 2	7/1/2016	<b>UPDATED 9/1/2018*</b>	12/31/2019	*With the approval of CIP-003-7 and its associated Implementation Plan, registered entities are not required to comply with CIP-003-6, Requirement R2, Attachment 1, Section 2 until 1/1/2020. See Implementation Plan for CIP-003-7.
R2, Attachment 1, Section 3	7/1/2016	<b>UPDATED 9/1/2018*</b>	12/31/2019	*With the approval of CIP-003-7 and its associated Implementation Plan, registered entities are not required to comply with Requirement R2, Attachment 1, Section 3 until 1/1/2020. See Implementation Plan for CIP-003-7.
R2, Attachment 1, Section 4	7/1/2016	4/1/2017	12/31/2019	
R3	7/1/2016		12/31/2019	
R4	7/1/2016			

### **Nomination Period Open for Project 2016-02 – Modifications to CIP Standards**

Nominations are being sought for additional standard drafting team members for Project 2016-02 through **May 23, 2018**. This solicitation for nominations is to augment the existing drafting team that is continuing to address the Standards Authorization Request. NERC is seeking individuals from the United States and Canada who possess experience in one or more of the following areas, but are not limited to:

- Virtualization;
- Cyber Asset and BES Cyber Asset Definitions; and
- Network and Externally Accessible Devices.

The following standards are affected: CIP-002-5.1, CIP-003-6, CIP-004-6, CIP-005-5, CIP-006-6, CIP-007-6, CIP-008-5, CIP-009-6, CIP-010-2, CIP-011-2, and CIP-012-1.

Use the [electronic form](#) to submit a nomination. If you experience difficulties using the electronic form, contact [Wendy Muller](#). An unofficial Word version of the nomination form is posted on the [Standard Drafting Team Vacancies](#) and the [project page](#). By submitting a nomination form, you are indicating your willingness and agreement to actively participate in face-to-face meetings and conference calls. The time commitment for this project is expected to be up to two face-to-face meetings per quarter (on average two full working days each meeting) with conference calls scheduled as needed to meet the agreed-upon timeline the review or drafting team sets forth. Team members may also have side projects, either individually or by subgroup, to present to the larger team for discussion and review. Lastly, an important component of the review and drafting team effort is outreach. Members of the team will be expected to conduct industry outreach during the development process to support a successful project outcome. Previous drafting or review team experience is beneficial, but not required.

The Standards Committee is expected to appoint members to the team in June 2018. Nominees will be notified shortly after they have been appointed. For more information or assistance, contact [Mat Bunch](#) or [Jordan Mallory](#).



## GENERAL COMPLIANCE AND ENFORCEMENT NEWS

**NEW ERO Enterprise CMEP Implementation Plan Updated**

NERC has posted an updated [2018 ERO Enterprise CMEP Implementation Plan](#). Details on the specific updates can be found in the document's revision history section.

**NEW Q1 2018 ERO Enterprise Compliance Monitoring and Enforcement Program Report Posted**

This [report](#) highlights key ERO Enterprise Compliance Monitoring and Enforcement Program (CMEP) activities that occurred in Q1 2018 and provides information and statistics regarding those activities. In Q1 2018, CMEP activities throughout the ERO Enterprise reflected continuing implementation of a risk-based approach that has allowed the ERO Enterprise to focus resources on risks to the reliability of the bulk power system, entity-specific risks, and serious risk noncompliance with Reliability Standards. NERC and the REs also collaborated on various compliance monitoring activities to identify lessons learned and provide additional insight and information to industry stakeholders. Most significantly, in Q1 2018, the ERO Enterprise focused on the continued alignment of core CMEP activities.

## Quick Links

[Risk-Based CMEP](#)  
[CIP V5 Transition Program](#)  
[ERO Enterprise Program Alignment Process](#)  
[Consistency Reporting Tool \(EthicsPoint\)](#)  
[Risk-Based Registration Initiative](#)  
[Reliability Standard Audit Worksheets](#)  
[Enforcement & Mitigation: Enforcement Actions](#)

## OTHER NEWS

**NEW NERC Continues Work on Sharing Potential Risks, Recommendations on Inverter Settings through Reports, Webinars and Industry Alerts**

Enhancing and improving the reliability and security of the bulk power system is the hallmark of NERC's work as the Electric Reliability Organization. NERC does this in a variety of ways, one of which is the identification, analysis and sharing of information regarding potential risks to the grid. A recent example of how NERC is assuring the effective and efficient reduction of risks to the grid is the work related to the performance of inverter-based resources connected to the bulk power system. See the full announcement [here](#).

**NEW Grid Operators Have Sufficient 'Blackstart' Capability, Study Says**

Operators of the nation's power grid have sufficient capability to quickly restore their systems using "blackstart" resources in the event of widespread outages, according to a new report by staff at FERC and NERC.

The study is a follow-up to a 2016 joint FERC-NERC-Regional Entity staff review that assessed the plans of utilities for restoration and recovery of the bulk power system following a widespread outage or blackout. That review identified for further study issues dealing with availability of blackstart resources – generating facilities that can be started without support from the grid or that are designed to remain energized without connection to the rest of the grid. These blackstart resources are critical to maintaining the reliability and resilience of the nation's transmission grid. For more information, see the [full announcement](#) and [report](#).

**NEW NERC News Posted**

NERC News, NERC’s monthly newsletter, is now available for the month of [April](#). Highlights in this edition include:

- Executive Management Spotlight Features Jim Robb, President and Chief Executive Officer
- Statement on FERC’s April Open Meeting
- ERO Enterprise Guide for the Multi-Region Registered Entity Coordinated Oversight Program Now Available
- Upcoming Events

**STANDARDS SUBJECT TO FUTURE ENFORCEMENT**

The following standards are subject to future enforcement. Please refer to the [U.S. Effective Dates page](#) for more detail:

U.S. Effective Date	Standard(s)
<b>July 1, 2018</b>	<a href="#">CIP-009-6 – Cyber Security — Recovery Plans for BES Cyber Systems (Requirement 2.3);</a> <a href="#">CIP-010-2 – Cyber Security — Configuration Change Management and Vulnerability Assessments (Requirements 3.2, 3.2.1, 3.2.2);</a>
	<a href="#">MOD-026-1 – Verification of Models and Data for Generator Excitation Control System or Plant Volt/Var Control Functions (Requirements 2, 2.1–2.1.6);</a> <a href="#">MOD-027-1 – Verification of Models and Data for Turbine/Governor and Load Control or Active Power/Frequency Control Functions (Requirements 2, 2.1–2.1.5);</a>
	<a href="#">TOP-001-4 – Transmission Operations</a>
	<a href="#">TPL-007-1 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirement 2)</a>
<b>September 1, 2018</b>	
<b>January 1, 2019</b>	<a href="#">BAL-005-1 – Balancing Authority Control</a>

	<a href="#">FAC-001-3 – Facility Interconnection Requirements</a>
	<a href="#">TPL-007-1 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirement 5)</a>
<b>April 1, 2019</b>	<a href="#">EOP-004-4 – Event Reporting</a> <a href="#">EOP-005-3 – System Restoration from Blackstart Resources</a> <a href="#">EOP-006-3 – System Restoration Coordination</a> <a href="#">EOP-008-2 – Loss of Control Center Functionality</a>
<b>January 1, 2020</b>	<b>NEW EFFECTIVE DATE</b> <a href="#">CIP-003-6 – Cyber Security – Security Management Controls (Requirement 2, Att. 1, Sec. 2 and 3);</a> <a href="#">PRC-026-1 – Relay Performance During Stable Power Swings (Requirements 2–4)</a>
<b>July 1, 2020</b>	<a href="#">PRC-002-2 – Disturbance Monitoring and Reporting Requirements (50% compliance for Requirements 2–4, 6–11)</a>
<b>January 1, 2021</b>	<a href="#">PRC-012-2 – Remedial Action Schemes</a> <a href="#">TPL-007-1 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements 6, 6.1–6.4)</a>
<b>January 1, 2022</b>	<a href="#">TPL-007-1 – Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements 3,4,7)</a>
<b>July 1, 2022</b>	<a href="#">PRC-002-2 – Disturbance Monitoring and Reporting Requirements (100% compliance for Requirements 2–4, 6–11)</a> VAR-501-WECC-3 – Power System Stabilizer (Requirement 3 has an effective date of July 1, 2022 for units placed in service prior to final regulatory approval.)

**BOARD OF TRUSTEES AND FERC ACTION**

**UPDATED** NERC Board of Trustees Meeting Agenda Packages, Presentations, Policy Input, and Schedule of Events Posted  
 Agenda packages for the [Board of Trustees](#), [Compliance Committee](#), [Member Representatives Committee](#), [Corporate Governance and Human Resources Committee](#), **NEW** [Finance and Audit Committee](#), and [Technology and Security Committee](#) meetings on May 9–10, 2018 in Arlington, VA are available. The [schedule of events](#) and [policy input document](#) are also available.

**NEW** Presentations are also available for the [Board of Trustees](#), [Compliance Committee](#), [Member Representatives Committee](#), [Finance and Audit Committee](#), and [Technology and Security Committee](#) meetings.

### NEW FERC Issuances

On May 2, 2018, FERC issued a [letter order](#) approving NERC's March 16, 2018 [filing](#) of proposed Reliability Standard PRC-025-2 – Generator Relay Loadability, the associated implementation plan, and the associated violation risk factors and violation severity levels.

On May 4, 2018, FERC issued a delegated [letter order](#) accepting NERC, MRO, and SERC's March 2018 [joint petition](#) requesting certain FERC approvals in connection with the dissolution of the SPP RE and the transfer of registered entities within the SPP RE footprint to MRO and SERC.

FERC's 2018 issuances are available [here](#).

## UPCOMING EVENTS

For information about other NERC events, such as meetings and conference calls for standard drafting teams, other standing committees, subcommittees, task forces, and working groups, please refer to the [NERC calendar](#).

### Workshops and Conferences

- [2018 Power System Modeling Conference](#) – June 20–21, 2018, New Albany, Ohio | [Register for Reception](#) | [Register for Conference](#) | [Register for Hotel](#)
- 2018 NERC Standards and Compliance Workshop – July 24–25, 2018, Columbus, Ohio | [In-person Registration](#) | [Webinar Workshop Registration](#) | [Hotel Registration](#) | [Agenda](#)
- GridSecCon 2018 – October 15–19, 2018, Las Vegas, Nevada | **Registration Information Coming Soon**

### Webinars

- **NEW** Level 2 NERC Alert: Loss of Solar Resources during Transmission Disturbances due to Inverter Settings – II Webinar – 1:00–2:00 p.m. Eastern, May 11, 2018 | [Register](#)
- [Inverter-Based Resource Webinar Series](#): Inverter Modeling for Protection, Harmonics, EMT Studies, and Review of Real-World VER-Related Events – 2:00–4:00 p.m. Eastern, May 17, 2018 | [Register](#)
- [Inverter-Based Resource Webinar Series](#): Recommended Performance for Inverter-Based Resources Connected to the Bulk Power System – NERC Reliability Guideline – 2:00–4:00 p.m. Eastern, June 13, 2018 | [Register](#)

### Standing Committee Meetings and Conference Calls

- Board of Trustees, Member Representatives Committee, and Board Committees Meetings – May 9–10, 2018, Arlington, VA | [Register](#)

- Operating Committee, Planning Committee, and Critical Infrastructure Protection Committee Meetings – June 5–6, 2018 | New Orleans, LA | [Register for OC](#) | [Register for PC](#) | [Register for CIPC](#) | [Register for Hotel](#)

### Standard Drafting Team Meetings and Conference Calls

The [Standards calendar](#) provides dial-in information for the in-person meetings below. The calendar also provides information about conference calls that drafting teams may hold in addition to in-person meetings.

- Project 2015-09 – Establish and Communicate System Operating Limits Standard Drafting Team Meeting – May 7–9, 2018, Atlanta, GA | [Register](#)
- Project 2016-02 – Modifications to CIP Standards Drafting Team Meeting – May 8–11, 2018, Austin, TX | [Register](#)
- Project 2015-10 – Single Points of Failure Standard Drafting Team Meeting – May 9–10, 2018, San Francisco, CA | [Register](#)
- Operations Planning Standards Efficiency Review Team Conference Call – 10:00 a.m.–Noon Eastern, May 14, 2018 | [Register](#)
- Long-Term Planning Standards Efficiency Review Team Conference Call – 9:30–11:30 a.m. Eastern, May 15, 2018 | [Register](#)
- Real-Time Operations Standards Efficiency Review Team Conference Call – 11:00 a.m.–1:00 p.m. Eastern, May 26, 2018 | [Register](#)
- Standards Efficiency Review Meetings – May 30–31, 2018, Kansas City, MO | [Register](#)
- Project 2016-02 – Modifications to CIP Standards Drafting Team Meeting – June 19–21, 2018, Atlanta, GA | [Register](#)

## ABOUT THE STANDARDS, COMPLIANCE, AND ENFORCEMENT BULLETIN

This weekly bulletin compiles a list of standards, compliance, and enforcement projects with actionable deadlines, as well as upcoming events, recently posted resources, other NERC documents posted for comment, and other relevant news and information. Please email [Amy Desselle](#) with feedback on this bulletin. The current bulletin and old bulletins are available under “Program News” on both the [Standards home page](#) and the [Compliance & Enforcement home page](#).

If you would like to receive this bulletin or be added to the distribution list for a particular project, please contact [Sandy Shiflett](#). For more information about any of the compliance news listed in the bulletin, please contact [Tiffany Whaley](#).