

Agenda

Project Management and Oversight Subcommittee Meeting

May 6, 2020 | 1:00–3:00 p.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 476 797 369 | Meeting Password: 050620

Click here for: [WebEx Access](#)¹

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines and Public Announcement NERC Participant Policy

Agenda Items

1. **Consent Agenda – Approve** (C. Yeung)
 - a. March 18, 2020 Project Management and Oversight Subcommittee Meeting Minutes*
2. **Prior Action Items – Review** (E. Prince)
3. **Project Tracking Spreadsheet ([PTS](#)) – Review**
 - a. 2015-09 (Phase I) – Establish and Communicate System Operating Limits – **Update** (K. Lanehome)
 - b. 2016-02 – Modifications to CIP Standards (K. Lanehome, A. Mayfield, or K. Rosener)
 - i. (2016-02c) TO Control Centers performing TOP obligations (CIP-002) – **Update**
 - ii. (2016-02d) Version 5 TAG, Cyber Asset and BES CA (BCA) definitions, Network and Externally Accessible Devices (ESP, ERC, IRA), Virtualization, and CIP Exceptional Circumstances – **Update**
 - c. 2017-01 – Modifications to BAL-003-1 (L. Lynch or Mark Pratt)
 - i. 2017-01 (b) (Phase II) – **Update**
 - d. 2019-02 – BES Cyber System Information Access Management (CIP-004 and CIP-011) – **Update** (C. Bellville or K. Rosener)
 - e. 2019-03 – Cyber Security Supply Chain Risks – **Update** (L. Lynch, M. Bussey, or K. Rosener)
 - f. 2019-04 – Modifications to PRC-005 – **Update** (M. Pratt or L. Lynch)

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

- g. 2019-05 – Modifications to PER-003 – **Update** (C. Bellville or C. Yeung)
- h. 2019-06 – Cold Weather – **Update** (Q. Morrison or M. Brytowski)
- i. 2020-01 – Modifications to MOD-032-1 – **Update** (L. Lynch or Q. Morrison)
- j. 2020-02 – Transmission-connected Resources – **Update** (L. Lynch)
- k. 2020-03 – Supply Chain Low Impact Revisions – **Assign**
- l. 2020-04 – Modifications to CIP-012-1 – **Assign**

4. Other

- a. 2020 PMOS schedule
- b. Next meeting
 - i. Conference call on Wednesday, June 17, 2020 from 10:00 a.m.-1200 p.m. Eastern
- c. Other

5. Adjournment

*Background materials included.

NERC Antitrust Compliance Guidelines

I. General

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

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

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

II. Prohibited Activities

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

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

III. Activities That Are Permitted

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

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

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

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

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

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

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

Public Meeting Notice

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

Conference call/webinar version:

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

Face-to-face meeting version:

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

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

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

NERC Participant Conduct Policy

General

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

Participant Conduct Policy

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

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

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

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

Reasonable Restrictions on Participation

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

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

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

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

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

Guidelines for Use of NERC Email Lists

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

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

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

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

Minutes Project Management and Oversight Subcommittee

March 18, 2020 | 8:00-10:00 a.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 736 833 505 | Meeting Password: 031820

Introduction and Chair's Remarks

Chair C. Yeung called the meeting to order at 8:00 a.m. Eastern. The meeting was announced via the PMOS email distribution list on March 9, 2020, as well as, being publicly posted on the www.nerc.com website. The chair provided the subcommittee with opening remarks and welcomed members and guests.¹ The secretary held roll call for members and identified other attendees that were in attendance. Those in attendance included a quorum of voting members, (i.e. ten of ten).

NERC Antitrust Compliance Guidelines, Public Announcement, and Participant Conduct Policy

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

Agenda Items

1. Review of Agenda

Chair Yeung reviewed the agenda with members and attendees.

2. Consent Agenda

The January 29, 2020 Meeting Minutes were reviewed, motioned by Q. Morrison, seconded by K. Rosener, and approved by unanimous consent.

3. Project Tracking Spreadsheet (PTS) and Project Review

- a. **2015-09** – Establish and Communicate System Operating Limits (SOL) – K. Lanehome reported the following:
 - i. **Phase I (2015-09)** – The SDT has been meeting remotely over the last month to complete updates to FAC-011, FAC-014, TOP-001 and IRO-008. An update is being provided to the Standards Committee as agenda item 4. Next Steps: Edits are currently in QR, with a formal posting planned for April 23. Schedule: The project tracking spreadsheet has been updated to show a final ballot is planned for July 31, with the goal of going to the August BOT meeting.

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

- b. **2016-02** – Modifications to Critical Infrastructure Protection (CIP) Standards – K. Lanehome reported the following:
 - i. **(2016-02c)** CIP-002-5.1a: This passed the previous formal ballot, but has been on hold due to Texas RE having concerns that edits to Attachment 1 Criteria 2.12 would reduce impact rating of some Control Centers in their footprint from Medium to Low, which may result in risk to reliability. NERC has completed a risk analysis and determined there is not an issue. Next Steps: The region is in the process of verifying NERC’s analysis. Schedule: Assuming the region agrees, we should have a final ballot in April, and following passage this project will be complete.
 - ii. **(2016-02d)** Version 5 TAG, Cyber Asset and BES Cyber Asset (BCA) definitions, Network and Externally Accessible Devices (ESP, ERC, and IRA), Virtualization, and CIP Exceptional Circumstances: The team met in San Antonio Feb 25-27, and continued with edits to CIP-005, 007 and 010, as well as, the Implementation Guidance. Next Steps: Postings are still delayed while awaiting completion of work by the BCSI and Supply Chain CIP teams. The focus at this time is industry outreach. A few webinars are being planned over the next few months, as well as, an in-person industry workshop at the Atlanta NERC office on April 1. The next in-person meeting is scheduled for March 31-April 2. In-person meeting may not happen with the current travel restrictions companies have issued. Schedule: To be determined based on how quickly the other CIP SDTs can complete their projects. Assuming those projects are finished by summer of 2020, the team is hoping for the first formal posting in July 2020.
- c. **2017-01** – Modifications to BAL-003-1.1 – L. Lynch reported the following:
 - i. **Phase II (2017-01b)**: On March 12, 2020, the SDT had a six-hour conference call. The SDT had planned to meet for three days at Duke Energy’s offices, but the in-person SDT meeting was changed to a one-day WebEx meeting because of the travel bans associated with the coronavirus. Next Steps: The SDT is working on a white paper/technical justification document to provide additional insight to industry and help form next steps for potential changes to the Standard. Issue: Due to the changing work environments as a result of COVID-19, the SDT is taking the opportunity to develop and draft a white paper/technical justification document. The SDT will look at revising the project timeline for Phase II to align it with the changing environment. Schedule: The SDT has scheduled a weekly WebEx working call that will be conducted from 1:00 to 3:00 PM Eastern-time every Thursday through April, to develop and draft the white paper/technical justification document for posting and industry comment.
- d. **2017-07** – Standards Alignment with Registration – M. Brytowski reported that the standard was approved by the Board during the February meeting.
- e. **2018-04** – Modifications to PRC-024-2 – L. Lynch reported that the standard was approved by the Board during the February meeting.
- f. **2019-01** – Modifications to TPL-007-3 – M. Brytowski reported that the standard was approved by the Board during the February meeting.

- g. **2019-02** – BES Cyber System Information Access Management – L. Harkness reported that the SDT met on February 25-27, and March 10, to respond to industry comments, (revisions to CIP-004 and CIP-011). Draft revisions will be made to prepare for 45-day comment period and additional ballot. The project is scheduled to post the week of May 4, 2020. Project 2019-02 is schedule for BOT adoption in August. Details on the revision include: Restore all BCSI-access-control-related requirements, (and “Medium w/ ERC” applicability) in CIP-004-7 under a single requirement (R6); clarify the intent of the BCSI vendor risk assessment as a security and technical control method related to the vendor’s services and not the vendor; broaden the key management requirement to “electronic technical mechanisms to prevent the unauthorized logical access to BES Cyber System Information”; remove PCA as applicable for CIP-011-3, R1 and R2; and, other clarifying updates.
- h. **2019-03** – Cyber Security Supply Chain Risk – M. Bussey reported that on February 20 & March 16, 2020, the SDT hosted a WebEx meeting to discuss the Technical Rationale and Implementation Guidance documents, and the subgroups progress. Initial balloting was posted January 20, 2020 for 45-days and will end on March 11, 2020. Next: Each subgroup is tasked with having a draft document completed for a group review before the next team meeting that is scheduled for the end of March by WebEx. These documents should be completed before for the 2nd posting. In addition, the SDT on March 16, 2020 divided the initial balloting comments amongst the team members to respond to industry comments. A SDT member has resigned, so now it will require five SDT members to make quorum. Schedule: The next meeting in March 24-26, via a conference call due to the Coronavirus.
- i. **2019-04** – Modifications to PRC-005-6 – M. Pratt reported that the SAR Drafting Team had a team call on February 12 to address industry comments and refine the scope of the SAR. The SAR DT call scheduled for March 20 will be used to finalize the SAR and documents necessary for a 30-day formal comment posting period beginning during the last week in March. The baseline schedule will be developed during the call.
- j. **2019-05** – Modifications to PER-003-2 – C. Bellville reported that the Project 2019-05 drafting team met on January 14-15 to revise PER-003. The proposed standard revisions completed QR, and were sent to the Standards Committee for approval during its February meeting. The SC approved, and an initial comment and ballot posting is expected mid-March.
- k. **2019-06** – Cold Weather – Q. Morrison reported that the SAR was posted for a 30-day comment period from February – March 19. A Cold Weather webinar was conducted on February 27 by the Chair and Vice Chair, (the slides and recordings have been posted). The next SAR DT meeting is from March 24-26. The next steps are to review the comments received, modify the SAR, if necessary, determine next steps, (reposting or not), and adjust the project schedule accordingly.
- l. **2020-01** – Modifications to MOD-032-1 – The team will review the list of liaisons and L. Lynch will be the lead, Q. Morrison will be the backup liaison.

4. Action Items

The secretary updated the PMOS action log.

5. Adjournment

Chair Yeung adjourned the meeting at 9:00 a.m. Eastern by consent.

6. Attendees

PMOS Attendees		
Members	Attended	Absent
Charles Yeung (PMOS Chair)	X	
Michael Brytowski (PMOS Vice-chair)	X	
Colby Bellville	X	
Ken Lanehome	X	
Kirk Rosener	X	
Quinn Morrison	X	
Masuncha Bussey	X	
Mark Pratt	X	
Linda Lynch	X	
Ash Mayfield	X	
Amy Casuscelli (non-voting member)	X	
Observers		
Guy Zito (NPCC)	X	
Rui Da Shu (NPCC)	X	
Kent Feliks (AEP)	X	
Rachel Coyne (TRE)	X	
Karie Barczak (DTE)	X	
Holden Mann (RTO Insider)	X	
NERC		
Tom Coleman	X	
Elsa Prince (Secretary)	X	
Katrina Blackley	X	
Latrice Harkness	X	
Soo Jin Kim	X	
Marisa Hecht	X	