

**RELIABILITY FIRST**

Jan. 10, 2023

To: ReliabilityFirst Compliance Contacts  
Subject: RF Compliance Program Update Letter – January 2023



## Internal Controls Workshop returns in February

RF's Internal Controls Workshop is back! Your reliability and security journey continues Feb. 23, 2023 in the Cleveland area! Entity PCCs and SMEs are encouraged to attend, however each PCC is required to bring at least one SME with them.

During this workshop, we will deep dive into internal controls with short lectures and collaborative group activities to facilitate an understanding of the principles behind each. We will focus on the five components of the COSO Internal Controls Framework and scenarios will concentrate on FAC-008, CIP-005 and CIP-007 risks.

The one-day workshop is free to attend with a reception to follow. Registration and room block information is available [here](#).

### **NEW! NERC Reliability Standards Effective Jan. 1, 2023**

- TPL-007-4 - Transmission System Planned Performance for Geomagnetic Disturbance (R3, R4, 4.1, 4.1.1-4.1.2, 4.2, 4.3, 4.3.1, R8, 8.1, 8.1.1-8.1.2, 8.3, 8.3.1)

IMPORTANT - If your entity is party to an approved CFR for TPL-007, please make sure you make the necessary updates.



## **Align Update – January**

Align Release 4.5 (Inherent Risk Assessments and Compliance Oversight Plans) has been deployed into the production environment on Nov. 3, 2022. Even though Release 4.5 has been deployed, the Regions will be utilizing a staggered Pilot and Rollout. The Regions will be piloting the Inherent Risk Assessment functionality in Q1 2023 and the Compliance Oversight Plan functionality in the Q2 2023 timeframe. At this time, it is expected that full time use of Inherent Risk Assessment functionality will begin in Q2 2023 and full-time use of Compliance Oversight Plans will begin in Q3 2023. Entity training will occur closer to full rollout of Release 4.5.

The ERO project team will now focus on data migrations from legacy systems (webCDMS). The data team (a sub-group of the Align project team) is executing a data migration plan in partnership with each Region. This data will include a subset of past scheduled engagements as well as closed and open violations; however, not all historical data will be migrated. The data migration is the final key element to completing the scope outlined in the Align business case. At this time, ReliabilityFirst is scheduled for data migration in the February 2023 timeframe.

As a reminder, if Registered Entities have any suggestions or other feedback that they would like to share about Align they can email [AskAlign@nerc.net](mailto:AskAlign@nerc.net). NERC also has created an Align User Group (AUG) which is a hybrid group consisting of individuals representing the Entities, Regions and NERC. There are three Stakeholder Compliance and Certification Committee (CCC) members assigned to the AUG which represent Entities. If you have any additional feedback on Align, please provide that feedback to any of the CCC AUG representatives. The AUG uses the Align Project Governance Model to outline its roles and responsibilities.

## **NERC Training Resources**

In addition to the [RF Align page](#), the [NERC Align Project page](#) and [FAQ](#) document also contain helpful information. Self-service training resources provided for Registered Entity staff, including training videos and user guides, are available on the [NERC Training Site](#).

As always, stakeholders are welcome to send comments or questions to [AskAlign@nerc.net](mailto:AskAlign@nerc.net).



## **NEW!** Upcoming Changes to Functional Mapping in CORES

### Upcoming Enhancements

- **Functional Mapping capabilities in CORES will be improved and have several expected benefits, which include:**
  - New “acknowledgment” functionality
  - New notifications for both registered entities; and the ERO Enterprise
  - Improved user interfaces
  - Improved data entry controls
  - Improved data architecture
  - Consolidate existing data from other systems and applications

### Implementing in 2023

- **Phase 1**
  - Webinar – Data Verification and Data Entry
  - Training videos, user guides and updated registration procedure
  - Industry wide software release – Verification and Data Entry Workshops
  - Completion of Data Verification; Data Entry Period Continues
- **Phase 2**
  - Webinar – Data Acknowledgement
  - Industry wide software release – Acknowledgement
  - Completion of Data Acknowledgement Period
- **Phase 3**
  - Targeted Outreach and Data Entry and Acknowledgement Continues for Registration Changes

The Functional Mapping process is used to identify critical functional relationships between registered entities. During the registration process, the ERO Enterprise performs a review of functional relationships identified by the NERC Rules of Procedure (ROP), certain Reliability Standards and other important entity relationships.

CORES Functional Mapping functionality is used to record the relationships between registered entities by their function, which may also be used by registered entities for compliance purposes. NERC standards also use the registered functions to create compliance relationships. When registered entities map to each other, they ensure there are no gaps in their compliance nor functional registration. The ERO Enterprise also uses functional mapping information for ensuring that there are not any gaps in registration, for determining entity risk and for other CMEP activities.

**ACTION REQUIRED – UPDATE COMPLIANCE CONTACT INFORMATION in CORES and webCDMS**

Registered Entities are reminded to periodically review and update your Compliance Contacts information as changes occur. Updating contact information is critical to ensure that our contact data remains fresh, accurate and current always.

**Please verify the names, addresses, phone numbers (cell) and email addresses for each Primary Compliance Contact (PCC), Primary Compliance Officer (PCO/AO) and Alternate Compliance Contact (ACC) in RF webCDMS and CORES systems.**

This helps ensure our Compliance Contact data is consistent in both systems. This process will continue until further notice or until the RF legacy CDMS system is retired (Q1-2023).

## NERC Registration and Certification News and Updates

### **NEW! Annual Reminder - Organization Certification reviews**

RF is providing this reminder to ensure Entities registered as a **Balancing Authority (BA), Reliability Coordinator (RC), and/or Transmission Operators (TOP)** are aware of the Organization Certification Review and Readiness Evaluation processes. Readiness Evaluations may be required for Entities taking on responsibilities for certified Entities (e.g., Transmission Owners (TO-LCCs) in the PJM footprint).

[Appendix 5A Sec. V](#) of the NERC Rules of Procedure governs Certification Reviews. Readiness Evaluations are also governed by Appendix 5A Sec. V and states, "Each Entity that has taken responsibility for Reliability Standards and/or Requirements/sub-Requirements applicable to the certifiable functions by virtue of being a member of a JRO, CFR, or other agreement, shall be the entity NERC certifies to operate their portion of the RC, TOP, or BA Area(s)."

Please read the *Certification Reminder* bulletin attached to this email for more valuable, detailed, information pertaining to the associated Organization Certification Review and Readiness Evaluation processes.

If you have any questions about Organization Certification or the processes outlined in this document, please contact [Sam Ciccone](#), Principal Reliability Consultant for more information.

## **REMINDER! Reporting Changes to Entities Registration Status to RF**

RF wants to remind our Registered Entities of the importance of following the rules as set forth in the NERC Rules of Procedures for establishing and maintaining the NERC Compliance Registry (NCR) based upon the Registration criteria as set forth in **Appendix 5B** *Statement of Registry Criteria*.

More specifically, we want to stress the importance of Section 500 of the ROP Page 42, section 1.3.5 that states **"Each Registered Entity identified on the NCR shall notify its corresponding Regional Entity(s) of any corrections, revisions, deletions, changes in ownership, corporate structure, or similar matters that affect the Registered Entity's responsibilities with respect to the Reliability Standards.** Failure to notify the Region will not relieve the Registered Entity from any responsibility to comply with the Reliability Standards or shield it from any Penalties or sanctions associated with failing to comply with the Reliability Standards applicable to its associated Registration."

Please notify RF Registration ([compliance@rfirst.org](mailto:compliance@rfirst.org)) of any pending changes to an entity's registration status, to assets or ownership prior to the effective dates of the change. RF asks Entities to provide 30 days advance notice as this will give us ample time to review and understand the requested changes and assess any impacts to Registration and assist you with making the appropriate changes in CORES and other Regional tools.

## **New! RF MKInsight Entity Profile Questionnaire (EPQ) Annual Update**

RF has requested an Annual Refresh of all Entity Profile Questionnaire (EPQ) information in MKInsight with a **due date of Feb. 3, 2023**. The purpose of this exercise is to update any EPQ information which is no longer accurate or relevant. The Annual Refresh includes a review and update (as necessary) of all previously submitted information by the Entity for all six EPQ Observations (Entity Profile Questionnaire, Entity Information, Compliance Pre-Audit Survey, Compliance History, Critical Infrastructure Protection, Risk and Internal Controls).

## **RF announces upcoming changes to Tech Talk call schedule**

RF's monthly Technical Talk with RF calls typically take place on the third Monday of each calendar month. However, due to the upcoming holidays, RF will adjust our Tech Talk schedule as noted below. Please note these changes in your work calendars so you don't miss out on any of our monthly calls! The new dates are:

- Jan. 23, 2023 (1 week later) (Due to holiday)
- Feb. 13, 2023 (1 week early) (Due to holiday)



## Monthly Technical Talk with RF Call



**The next Tech Talk with RF will be held on **Monday, Jan. 23**, from 2-3:30 p.m. EST.**

ReliabilityFirst (RF) offers a regularly scheduled monthly call to provide entities and stakeholders with a forum for addressing topics and questions relevant to reliability, resilience and security. These calls are typically held on the third Monday of each month from 2 p.m. to 3:30 p.m. EST, **however this call is moved up one week earlier**, due to Martin Luther King, Jr. Day.

While RF Subject Matter Experts (SMEs) will provide presentations and updates, they will not address entity-specific questions and issues. These types of questions can be handled offline by using the RF [Assist Visit Program](#). If you have any questions, please reach out to Michelle Cross, Entity Engagement Manager, via [email](#) or 216-503-0603.

### **Event Information**

Monday, Jan. 23, 2023

2 – 3:30 p.m. EST (US & Canada)

<https://reliabilityfirst.webex.com/reliabilityfirst/j.php?MTID=mab506beabaab03f02875edeb5279fb4a>

Meeting Number: 2319 505 3847

Meeting Password: 0123456789

Join by phone: 1-650-479-3207, Access Code: 2319 505 3847

Please join us on Slido.com using #TechTalkRF as the event code



## Agenda Topics

### The ReliabilityFirst 2023-2028 Strategic Plan and 2023 Kickoff

Jeff Craig – Senior Vice President, Reliability and Risk

Diane Holder – Vice President, Entity Engagement and Corporate Services

- RF proudly presents our new five-year strategic plan including our strategies for addressing the biggest risks facing our footprint. Jeff and Diane will introduce the plan, plus share their aspirations for a reliable, resilient and secure 2023.
- After Jeff presents the Strategic Plan, Diane will introduce herself and provide further detail around the State Outreach portion of the plan including:
  - Background on how it began to surface as a key area of focus for RF
  - The State Outreach Roadmap and plans for 2023
  - Our top reliability concerns regarding some of the policies proposed/enacted

### Resource Assessments Summary

Tim Fryfogle – Principal Engineer, Engineering and System Performance

- Tim will share the results of the NERC Winter Reliability Assessment, Long Term Reliability Assessment (LTRA), plus ReliabilityFirst's Winter and LTRA Assessments.
- This presentation is especially relevant for policy makers, state PUCs, Transmission Planners and anyone interested in the challenges facing our footprint from a resource planning perspective as we continue to embark on the great energy transition.

**For all Technical Talk with RF calls:** [WebEx dial-in details](#) will be posted on a monthly basis to the RF website. Please contact [Michelle Cross](#), Entity Engagement Manager, with any questions, suggestions or topics of interest for future calls.

## Violations reporting

As a reminder, any new violation of a Reliability Standard identified by a Registered Entity should be immediately self-reported to RF via the new Align system. Contact [Shirley Ortiz](#), Senior Paralegal, at (216) 503-0674 with any questions concerning self-reports.

## Align support – ERO Help Desk Ticketing System

If users encounter any access or system problems with Align, CORES or any of the other NERC applications, first and foremost, try to resolve the issues yourself by using any one of the many self-service resources, guides and videos NERC has made available to you at [training.nerc.net](https://training.nerc.net).

If you are unable to resolve the issue on your own, place a ticket using the NERC Helpdesk Ticket Submission System: [support.nerc.net](https://support.nerc.net).

The ERO Help Desk Ticketing System (Footprints) is available to Registered Entity users 24/7 and is monitored by the Regions and NERC. We will do our best to address your questions, concerns or issues as promptly as possible during normal business hours.

## WebCDMS Support

Any issues or questions related to the webCDMS system should be directed to the OATI Help Desk. The Help Desk is available during normal business hours (7 a.m. to 7 p.m. CST) for non-emergencies and 24/7/365 for critical system emergencies. Contact the OATI [Help Desk](#) by email or at (763) 201-2020. (Any questions pertaining to compliance with the NERC Reliability Standards should be directed to RF, not the Help Desk).

<b>2023 Upcoming Standards Subject to Future Enforcement</b>		
EOP-011-2	Emergency Preparedness and Operations	April 1, 2023
IRO-010-4	Reliability Coordinator Specification and Collection	April 1, 2023
TOP-003-5	Operational Reliability Data	April 1, 2023
TPL-001-5.1	Transmission System Planning Performance Requirements	July 1, 2023

<b>2024 Upcoming Standards Subject to Future Enforcement</b>		
CIP-004-7	Cyber Security – Personnel & Training	Jan. 1, 2024
CIP-011-3	Cyber Security – Information Protection	Jan. 1, 2024
<a href="#">FAC-001-4</a>	<a href="#">New! Facility Interconnection Requirements</a>	<a href="#">Jan. 1, 2024</a>
<a href="#">FAC-002-4</a>	<a href="#">New! Facility Interconnection Studies</a>	<a href="#">Jan. 1, 2024</a>
TPL-007-4	Transmission System Planned Performance for Geomagnetic Disturbance Events (Requirements R7, 7.1–7.3, 7.3.1–7.3.2, 7.4,	Jan. 1, 2024



	7.4.1–7.4.3, 7.5, 7.5.1., R11, 11.1–11.3, 11.3.1–11.3.2, 11.4, 11.4.1–11.4.3, 11.5, and 11.5.1)	
FAC-003-5	Transmission Vegetation Management	April 1, 2024
FAC-011-4	System Operating Limits Methodology for the Operations Horizon	April 1, 2024
FAC-014-3	Establish and Communicate System Operating Limits	April 1, 2024
IRO-008-3	Reliability Coordinator Operational Analyses and Real-time Assessments	April 1, 2024
PRC-023-5	Transmission Relay Loadability   Implementation Plan	April 1, 2024
PRC-002-3	Disturbance Monitoring and Reporting Requirements   Implementation Plan	April 1, 2024
PRC-026-2	Relay Performance During Stable Power Swings   Implementation Plan	April 1, 2024
TOP-001-6	Transmission Operations	April 1, 2024

Please refer to the [U.S. Effective Dates](#) page on the NERC website for additional detail.

### Periodic Data Submittals Due in January 2023

1/20/2023	FAC-003	GO, TO	FAC-003-4 - Transmission Vegetation Management: Q4, 2022 Vegetation Outage Reporting – <b>Align Data Submittal</b>
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### Periodic Data Submittals Due in February 2023

2/28/2023	PRC-004	GO, TO, DP	Protection System Misoperations - Section 1600 data request for Q4-2022 (Oct. 1 – Dec. 31). <b>Submit in MIDAS portal.</b>
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**Important note:** If you have a current, Active, Approved Attestation in Align for FAC-003, you will not receive a request for submittal. Refer to the Active Attestation tab under My Align – Attestations to find a list of active, approved attestations for your entity. If your Attestation is up for renewal, you will receive a Request for Reaffirmation in Align. You will be required to respond to the Reaffirmation Request to keep your Attestation(s) active if there is no change to applicability with the standard. Review the Periodic Data Submittal or Attestation User Guide and training videos for additional information regarding this process. Attestations, once re-affirmed will be

**effective for 12 months unless circumstances change that require an entity to rescind their Attestation.**



## CERTIFICATION REMINDER

*Reminder to certified Transmission Operators (TOP), Balancing Authorities (BA) and Reliability Coordinators (RC) (including Entities taking on certain standard obligation per an agreement with a certified Entity) of the need to contact your Regional Entity regarding operational changes as described in this letter.*

Dear Primary Compliance Contact,

This reminder is to ensure Entities registered as a Balancing Authority (BA), Reliability Coordinator (RC), and/or Transmission Operator (TOP) are aware of the Organization Certification Review and Readiness Evaluation processes. Readiness Evaluations may be required for Entities taking on responsibilities for certified Entities (e.g., Transmission Owners (TO-LCCs) in the PJM footprint).

[Appendix 5A Sec. V](#) of the Rules of Procedure governs Certification Reviews. Readiness Evaluations are also governed by Appendix 5A Sec. V and states, “Each Entity that has taken responsibility for Reliability Standards and/or Requirements/sub-Requirements applicable to the certifiable functions by virtue of being a member of a JRO, CFR, or other agreement, shall be the entity NERC certifies to operate their portion of the RC, TOP, or BA Area(s).”

The decision to certify and evaluate changes to an already operating and certified Registered Entity is a collaborative decision between the affected Regional Entity and NERC. NERC has the final authority regarding this decision. Items that are to be considered in this decision include one or more of the following:

- Changes to Registered Entity’s footprint (including de-certification changes to existing JRO/CFR assignments or subset list of requirements):
  - The review of changes to an already registered and operational Entity’s footprint<sup>1</sup> is primarily concerned with ensuring the gaining functional Entity has the tools, training, and security in place to reliably operate with new responsibilities. Changes to an Entity’s footprint can be characterized by new metered boundaries associated with the integration or dis-association of existing electrical areas of the BPS (Reliability Coordinator Area, Transmission Operator Area, or Balancing Authority Area).
- Relocation of the Control Center:
  - Fundamental to the reliable operation of the interconnected transmission network are the control centers that continuously monitor, assess, and control the generation and transmission power flows on the BES. Of interest are impacts to the

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<sup>1</sup> This includes changes in ownership of BES Facilities, changes in the applicability of the BES Definition to a Facility, and newly installed BES Facilities.



## CERTIFICATION REMINDER

functionality provided within these facilities for continued reliable operations of the BES that affect:

- Tools and applications that System Operators use for BES situational awareness
- Data exchange capabilities
- Interpersonal (and alternate) Communications capabilities
- Power source(s)
- Physical and cyber security
- The impact of the relocation of the Control Center on the Entity's ability to perform the functions for which the Entity is registered under normal and emergency conditions should be explored and documented to understand the manner in which the Control Center continues to support the reliable operations of the BES.
- Modification of the Energy Management System (EMS) which is expected to materially affect CIP security perimeters or the System Operator's: 1) situational awareness tools, 2) functionality, or 3) machine interfaces.

If you are planning a change that falls into one of these categories, an Organizational Certification Review or Readiness Evaluation may need to be performed. Please complete the form titled "RF Certification Notification and Preliminary Questionnaire" that is located [here](#):

In order to allow for time in scheduling, it is requested, if possible, that you **provide 12 months advance notice** of your changes to allow sufficient time for RF to review the changes and begin the process.

Please let us know if you have any questions regarding this topic.

Sincerely,

*Brian Thiry*

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Cleveland, OH 44131  
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Cell: 330-690-7818  
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## ERO Enterprise Periodic Data Submittals Schedule

### 2023 Consolidated ERO Enterprise Periodic Data Submittals Schedule

#### Background

The Compliance Enforcement Authority (CEA) requires Periodic Data Submittals in accordance with the schedule stated in the applicable Reliability Standards, as established by the CEA, or as-needed, in accordance with the NERC Rules of Procedure (ROP), Appendix 4C Section 4.6. The purpose of this schedule is to provide registered entities a consistent list of required Reliability Standard Periodic Data Submittals throughout the Electric Reliability Organization (ERO) Enterprise. Some of the below reporting dates may be impacted as potential enhancements to PDS functionality in Align are developed. The Regional Entities will work with each entity, as the need arises, to extend any reporting deadlines while facilitating reporting as close to the below dates as possible. NERC and the Regional Entities may also request data or information under Sections 800 or 1600 of the NERC ROP; these data requests are not included on this schedule.

The registered entities must provide the required information to the CEA in the format and by the required date specified in the request. The CEA reviews the data submittal to determine compliance with the Reliability Standards and may request additional data and/or information if necessary. If the CEA's review of the data submittal indicates a potential noncompliance with a Reliability Standard requirement by the registered entity, the CEA performs a Preliminary Screen of the potential noncompliance in accordance with NERC ROP, Appendix 4C Section 4.8. As of 2021, all registered entities who use the Align tool for submitting data to their CEA will use the Align tool for the submission of Periodic Data Submittals, except as noted in the table. For additional information, please discuss with your CEA compliance contact.

ERO Enterprise Data Submittal Schedule				
ERO-Wide Data Submittal Schedule				
Reliability Standard	Requirement(s)	Submit To	Submittal Frequency	Proposed Due Dates
<a href="#">BAL-003-2</a> <sup>1</sup>	R1	NERC	Annually	Per dates as detailed in BAL-003-2 Reliability Standard Attachment A's Timeline for Balancing Authority Frequency Response and Frequency Bias Setting Activities
<a href="#">EOP-004-4</a> <sup>2</sup>	R2	NERC	Per Standard	Event Driven
<a href="#">EOP-008-2</a>	R8	RE	Per Standard	Within six calendar months of the date when the functionality is lost

<sup>1</sup> Data is reported through the NERC Balancing Authority Submittal Site (BASS) rather than through Align. This site is maintained by the NERC Resource Subcommittee.

<sup>2</sup> Data is reported to the NERC System Awareness team (per attachment 1 of EOP-004-4) as well as through Align.

<b>ERO Enterprise Data Submittal Schedule</b>				
<b>ERO-Wide Data Submittal Schedule</b>				
<b>Reliability Standard</b>	<b>Requirement(s)</b>	<b>Submit To</b>	<b>Submittal Frequency</b>	<b>Proposed Due Dates</b>
<a href="#">FAC-003-4</a>	C.1.4	RE	Quarterly	20 days after the end of the quarter
<a href="#">PRC-002-2</a>	R12	RE	Per Standard	Within 90 calendar days of the discovery of a failure of the recording capability for the SER, FR, or DDR data
<a href="#">PRC-023-4</a>	R5	RE	Annually	At least once each calendar year, with no more than 15 months between reports. This applies only if the entity chooses to set relays on circuits according to Criterion 12 of R1.
<a href="#">PRC-023-4</a>	R6.2	RE	Per Standard	Within 30 calendar days of the establishment of the initial list and within 30 days of any changes to list
<a href="#">TPL-001-4<sup>3</sup></a> <a href="#">TPL-001-5.1</a>	Multiple See Footnote 12	RE	Per Standard	After the PC or TP receives assurance that their applicable regulatory authorities or governing bodies responsible for electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12. See Appendix A for additional details on the ERO process for the determination as described in Attachment 1 of TPL-001-4.
<a href="#">TPL-007-4</a>	R7.4	RE	Per Standard	Within a timely manner following the identification of the responsible entity being unable to implement the CAP within the timetable submitted for Part 7.3 and prior to the end date of the submitted timetable
<a href="#">TPL-007-4</a>	R11.4	RE	Per Standard	Within 1 year of completion of the supplemental GMD Vulnerability Assessment and in a timely manner after determining that the implementation of the CAP by the responsible entity will require an extension of the timetable submitted per R11.3
<b>RE-Specific Data Submittal Schedule</b>				
<b>Reliability Standard</b>	<b>Requirement(s)</b>	<b>Submit To</b>	<b>Submittal Frequency</b>	<b>Proposed Due Dates</b>
<a href="#">BAL-001-TRE-2</a>	R1	Texas RE	Per Standard	Within 14 calendar days after each Frequency Measurable Event
<a href="#">BAL-001-TRE-2</a>	R2.2	Texas RE	Per Standard	By the end of the month in which the Primary Frequency Response calculation results were completed

<sup>3</sup> TPL-001-4 becomes inactive on June 30, 2023 and will be replaced by TPL-001-5.1 on July 1, 2023.

## Appendix A: Full Requirement Text or Subpart

Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
<a href="#">BAL-003-2</a>	R1	Each Frequency Response Sharing Group (FRSG) or Balancing Authority that is not a member of a FRSG shall achieve an annual Frequency Response Measure (FRM) (as calculated and reported in accordance with Attachment A) that is equal to or more negative than its Frequency Response Obligation (FRO) to ensure that sufficient Frequency Response is provided by each FRSG or BA that is not a member of a FRSG to maintain Interconnection Frequency Response equal to or more negative than the Interconnection Frequency Response Obligation.
<a href="#">EOP-004-4</a>	R2	Each Responsible Entity shall report events specified in EOP-004-4 Attachment 1 to the entities specified per their event reporting Operating Plan by the later of 24 hours of recognition of meeting an event type threshold for reporting or by the end of the Responsible Entity's next business day (4 p.m. local time will be considered the end of the business day).
<a href="#">EOP-008-2</a>	R8	Each Reliability Coordinator, Balancing Authority, and Transmission Operator that has experienced a loss of its primary or backup functionality and that anticipates that the loss of primary or backup functionality will last for more than six calendar months shall provide a plan to its Regional Entity within six calendar months of the date when the functionality is lost, showing how it will re-establish primary or backup functionality.
<a href="#">FAC-003-4</a>	C.1.4	<p>The applicable Transmission Owner and applicable Generator Owner will submit a quarterly report to its Regional Entity, or the Regional Entity's designee, identifying all Sustained Outages of applicable lines operated within their Rating and all Rated Electrical Operating Conditions as determined by the applicable Transmission Owner or applicable Generator Owner to have been caused by vegetation, except as excluded in footnote 2, and including as a minimum the following:</p> <ul style="list-style-type: none"> <li>The name of the circuit(s), the date, time and duration of the outage; the voltage of the circuit; a description of the cause of the outage; the category associated with the Sustained Outage; other pertinent comments; and any countermeasures taken by the applicable Transmission Owner or applicable Generator Owner.</li> </ul> <p>A Sustained Outage is to be categorized as one of the following:</p> <ul style="list-style-type: none"> <li>Category 1A — Grow-ins: Sustained Outages caused by vegetation growing into applicable lines, that are identified as an element of an IROL or Major WECC Transfer Path, by vegetation inside and/or outside of the ROW;</li> </ul>



Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
		<ul style="list-style-type: none"> <li>• Category 1B — Grow-ins: Sustained Outages caused by vegetation growing into applicable lines, but are not identified as an element of an IROL or Major WECC Transfer Path, by vegetation inside and/or outside of the ROW;</li> <li>• Category 2A — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines that are identified as an element of an IROL or Major WECC Transfer Path, from within the ROW;</li> <li>• Category 2B — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines, but are not identified as an element of an IROL or Major WECC Transfer Path, from within the ROW;</li> <li>• Category 3 — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines from outside the ROW;</li> <li>• Category 4A — Blowing together: Sustained Outages caused by vegetation and applicable lines that are identified as an element of an IROL or Major WECC Transfer Path, blowing together from within the ROW;</li> <li>• Category 4B — Blowing together: Sustained Outages caused by vegetation and applicable lines, but are not identified as an element of an IROL or Major WECC Transfer Path, blowing together from within the ROW.</li> </ul> <p>The Regional Entity will report the outage information provided by applicable Transmission Owners and applicable Generator Owners, as per the above, quarterly to NERC, as well as any actions taken by the Regional Entity as a result of any of the reported Sustained Outages.</p>
<a href="#">PRC-002-2</a>	R12	<p>Each Transmission Owner and Generator Owner shall, within 90-calendar days of the discovery of a failure of the recording capability for the SER, FR or DDR data, either:</p> <ul style="list-style-type: none"> <li>• Restore the recording capability, or</li> <li>• Submit a Corrective Action Plan (CAP) to the Regional Entity and implement it.</li> </ul>
<a href="#">PRC-023-4</a>	R5	<p>Each Transmission Owner, Generator Owner, and Distribution Provider that sets transmission line relays according to Requirement R1 criterion 12 shall provide an updated list of the circuits associated with those relays to its Regional Entity at least once each calendar year, with no more than 15 months between reports, to allow the ERO to compile a list of all circuits that have protective relay settings that limit circuit capability.</p>
<a href="#">PRC-023-4</a>	R6.2	<p>Provide the list of circuits to all Regional Entities, Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers within its Planning Coordinator area within 30-calendar days of the</p>

Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
		establishment of the initial list and within 30-calendar days of any changes to that list.
<a href="#">TPL-001-4</a> <a href="#">TPL-001-5.1</a>	Multiple See Footnote 12	An objective of the planning process is to minimize the likelihood and magnitude of Non-Consequential Load Loss following planning events. In limited circumstances, Non-Consequential Load Loss may be needed throughout the planning horizon to ensure that BES performance requirements are met. However, when Non-Consequential Load Loss is utilized under footnote 12 within the Near-Term Transmission Planning Horizon to address BES performance requirements, such interruption is limited to circumstances where the Non-Consequential Load Loss meets the conditions shown in Attachment 1. In no case can the planned Non-Consequential Load Loss under footnote 12 exceed 75 MW for US registered entities. The amount of planned Non-Consequential Load Loss for a non-US Registered Entity should be implemented in a manner that is consistent with, or under the direction of, the applicable governmental authority or its agency in the non-US jurisdiction.
<a href="#">TPL-007-4</a>	R7.4	<p>The CAP shall:</p> <p><b>R7.4</b> Be submitted to the Compliance Enforcement Authority (CEA) with a request for extension of time if the responsible entity is unable to implement the CAP within the timetable provided in Part 7.3. The submitted CAP shall document the following:</p> <ul style="list-style-type: none"> <li>• 7.4.1. Circumstances causing the delay for fully or partially implementing the selected actions in Part 7.1 and how those circumstances are beyond the control of the responsible entity;</li> <li>• 7.4.2. Revisions to the selected actions in Part 7.1, if any, including utilization of Operating Procedures, if applicable; and</li> <li>• 7.4.3. Updated timetable for implementing the selected actions in Part 7.1.</li> </ul>
<a href="#">TPL-007-4</a>	R11.4	<p>The CAP shall:</p> <p><b>R11.4</b> Be submitted to the CEA with a request for extension of time if the responsible entity is unable to implement the CAP within the timetable provided in Part 11.3. The submitted CAP shall document the following:</p> <ul style="list-style-type: none"> <li>• 11.4.1. Circumstances causing the delay for fully or partially implementing the selected actions in Part 11.1 and how those circumstances are beyond the control of the responsible entity;</li> <li>• 11.4.2. Revisions to the selected actions in Part 11.1, if any, including utilization of Operating Procedures, if applicable; and</li> <li>• 11.4.3. Updated timetable for implementing the selected actions in Part 11.1.</li> </ul>
<a href="#">BAL-001-TRE-2</a>	R1	The Balancing Authority shall identify Frequency Measurable Events (FMEs), and within 14 calendar days after each FME the Balancing Authority shall notify the Compliance Enforcement Authority and make

Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
		FME information (time of FME (t(0)), pre-perturbation average frequency, post-perturbation average frequency) publicly available.
<a href="#">BAL-001-TRE-2</a>	R2.2	The calculation results shall be submitted to the Compliance Enforcement Authority and made available to the Generator Owner by the end of the month in which they were completed.

# Appendix B: TPL-001-4<sup>4</sup>

## Use of Footnote 12 for Non-Consequential Load Loss Review Process

### Background

This Electric Reliability Organization (ERO) Enterprise<sup>5</sup> TPL-001-4: Use of Footnote 12 for Non-Consequential Load Loss Review Process document addresses how ERO Enterprise staff will jointly review requests to utilize footnote 12 for Non-Consequential Load Loss under TPL-001-4 to determine whether it would cause any Adverse Reliability Impact in a timely, structured, and consistent manner.

NERC Compliance Assurance will maintain this document under existing ERO Enterprise processes. This document will be reviewed and updated by NERC Compliance Assurance, as needed.

### Definitions

For purposes of this process, the following capitalized terms will have the definitions set forth in the NERC Glossary of Terms. For ease of reference, the definitions of the following terms that are used in this process are also included below.

**Adverse Reliability Impact** – The impact of an event that results in frequency-related instability; unplanned tripping of load or generation; or uncontrolled separation or cascading outages that affects a widespread area of the Interconnection.

**Consequential Load Loss** – All Load that is no longer served by the Transmission system as a result of Transmission Facilities being removed from service by a Protection System operation designed to isolate the fault.

**Non-Consequential Load Loss** – Non-Interruptible Load loss that does not include: (1) Consequential Load Loss, (2) the response of voltage sensitive Load, or (3) Load that is disconnected from the System by end user equipment.

These additional capitalized terms are also used in this process and have the definitions set forth below.

**Affected Regional Entity (ARE)** – A Regional Entity, other than the Lead Regional Entity, in which the Multi-Region Registered Entity participating in coordinated oversight is registered for various NERC functional responsibilities.

**Compliance Enforcement Authority (CEA)** – NERC or the Regional Entity in their respective roles of monitoring and enforcing compliance with the NERC Reliability Standards.

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<sup>4</sup> TPL-001-4 becomes inactive on June 30, 2023 and will be replaced by TPL-001-5.1 on July 1, 2023. Appendix B shall remain as written.

<sup>5</sup> The ERO Enterprise is comprised of NERC and the Regional Entities.

**Coordinated Oversight** – The agreed upon steps and activities that a Lead Regional Entity and Affected Regional Entity(ies) follow for coordinating activities associated with delegated functions (e.g., compliance and enforcement, system events, etc.) for Multi-Region Registered Entities that have been approved for participation in the Program.

**Lead Regional Entity (LRE)** – The Regional Entity selected by the Electric Reliability Organization (ERO) Enterprise to lead coordinated efforts related to oversight of a Multi-Region Registered Entity participating in the Program. When appropriate, the ERO Enterprise may designate more than one LRE. The designated LRE could be changed, as agreed upon by the ERO Enterprise. In the event of a change, the registered entity will be notified 60 days prior to the effective date of the change.

**Multi-Region Registered Entity (MRRE)** – For the purposes of this guide, a registered entity—or two or more registered entities that are corporate affiliates—performing bulk electric system (BES) functions in two or more Regional Entities that has been approved for coordinated functions and responsibilities by the ERO Enterprise. It is acknowledged there are other registered entities that are corporate affiliates and performing BES functions in two or more Regional Entities that are not included in the Program.

## Process Overview

If a Planning Coordinator (PC) or Transmission Planner (TP) (entity) has determined that the use of Non-Consequential Load Loss under Table 1, footnote 12 is needed as an element of a Corrective Action Plan in Year One of the Planning Assessment, then the entity must ensure that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12, and then submit a request the ERO for a determination of whether there are any Adverse Reliability Impacts caused by the request to utilize footnote 12 for Non-Consequential Load Loss, if certain conditions are met as outlined in Attachment 1 of TPL-001-4.

Attachment 1 indicates that the applicable regulatory authorities or governing bodies responsible for electric service must object or not object to the use of non-consequential load loss prior to a final ERO review and determination if either:

1. The voltage level of the Contingency is greater than 300 kV:
  - a. The Contingency analyzed involves BES Elements at multiple System voltage levels, the lowest System voltage level of the element(s) removed for the analyzed Contingency determines the stated performance criteria regarding allowances for Non-Consequential Load Loss under footnote 12, or
  - b. For a non-generator step up transformer outage Contingency, the 300 kV limit applies to the low side winding (excluding tertiary windings). For a generator or generator step up transformer outage Contingency, the 300 kV limit applies to the BES connected voltage (high-side of the Generator Step Up transformer)
2. The planned Non-Consequential Load Loss under footnote 12 is greater than or equal to 25 MW.

Once assurance has been received that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss

under footnote 12, the Planning Coordinator or Transmission Planner will submit a request to the ERO for a determination of whether there are any Adverse Reliability Impacts caused by the request to utilize footnote 12 for Non-Consequential Load Loss. The burden to provide a sufficient basis for why the use of Non-Consequential Load Loss under footnote 12 does not result in Adverse Reliability Impacts is on the submitting entity. It is the responsibility of the joint Regional Entity and NERC team to review the submission and make a determination of whether the entity has demonstrated that the use of Non-Consequential Load Loss under footnote 12 does not result in Adverse Reliability Impacts.

The steps outlined here should be followed to ensure a timely, structured, and consistent approach to determining whether any Adverse Reliability Impacts are caused by the request to utilize footnote 12 for Non-Consequential Load Loss.

The entity will work with the Regional Entity designated as its Compliance Enforcement Authority (CEA) as outlined in this process and shown in **Figure 1: Non-Consequential Load Loss Review Process Flow Chart**. For MRREs in Coordinated Oversight, the CEA for this process is the Lead Regional Entity (LRE). The LRE will coordinate with the Affected Regional Entity(ies) (ARE), and the ARE(s) may participate in the joint review as well.

### ***Step 1 – Registered Entity Submittal***

If a PC or TP has determined that the use of Non-Consequential Load Loss under footnote 12 is needed as an element of a Corrective Action Plan in Year One of the Planning Assessment and meets the criteria in Attachment 1 Section III.1 or III.2, and assurance has been received that the applicable regulatory authorities or governing bodies responsible for retail electric service issues do not object to the use of Non-Consequential Load Loss under footnote 12, then the entity will contact their Compliance Enforcement Authority (CEA) to coordinate submittal of the necessary information.

The entity shall submit the requisite data through the Align tool in the Periodic Data Submittal portlet; using the Secure Evidence Locker as needed. The CEA will acknowledge receipt of the submission within 15 days and review that all information requested in Align is provided in the entity's submittal. If the submittal is incomplete, the CEA will inform the entity to resubmit and the process will restart. The CEA will notify NERC Compliance Assurance when acknowledging receipt of the submission.

The entity submitting the request may withdraw the request any time prior to the CEA communicating the final determination.

### ***Step 2 – ERO Enterprise Review***

The CEA and NERC will form an ERO Enterprise Review Panel (review panel) comprised of not less than four (4) total individuals from the Region and NERC. The review panel will perform a review of the submitted information and develop a preliminary determination of whether any Adverse Reliability Impacts are caused by the request to utilize footnote 12 for Non-Consequential Load Loss within 90 days of its acknowledgement of the receipt of submission. During its review, the review panel may work through the CEA to request additional information from the entity submitting the request.

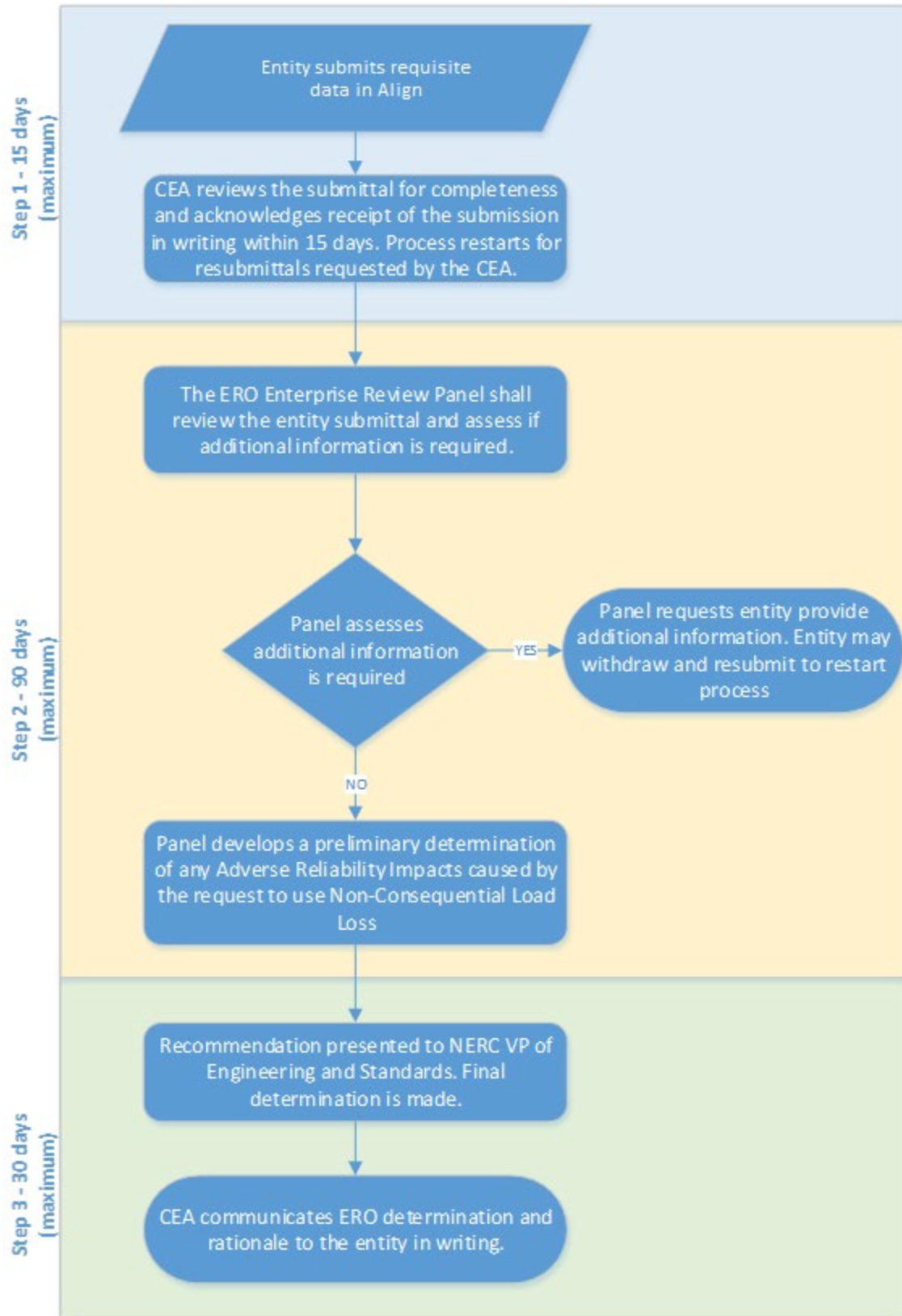
If the review panel determines it will be unable to complete its review within the established timeframe, the review panel, based on consultation with the managers of NERC Compliance Assurance and NERC Power System Analysis, will establish a revised timeline for completing its review. The revised timeline for review and determination will be provided to the entity by the CEA.

***Step 3 – ERO Determination***

The review panel will present to the NERC Vice President of Engineering and Standards for approval of the preliminary determination as the ERO determination. The review panel will communicate the ERO determination and rationale to NERC Compliance Assurance and the CEA.

The CEA will then communicate the ERO determination in writing to the entity along with the rationale for the determination within 30 days of NERC's Vice President of Engineering and Standards receiving the review panel's preliminary determination.





**Figure 1: Non-Consequential Load Loss Review Process Flow Chart**

# Appendix C: TPL-007-4 CAP Extension Request Review Process

## Background

This Electric Reliability Organization (ERO) Enterprise TPL-007-4 Corrective Action Plan (CAP) Extension Review Process document addresses how ERO Enterprise Compliance Monitoring and Enforcement staff (CMEP staff) will jointly review requests for extensions to CAPs developed under TPL-007-4 to ensure a timely, structured and consistent approach to CAP extension request submittals and processing.

NERC Compliance Assurance will maintain this document under existing ERO Enterprise processes. This document will be reviewed and updated by NERC Compliance Assurance, as needed.

## Process Overview

If a registered entity (entity) has determined that a Corrective Action Plan (CAP) developed in accordance with TPL-007-4 Requirements R7 or R11 cannot meet the timetable provided per R7 Part 7.3 or R11 Part 11.3 due to situations beyond the control of the responsible entity, then the entity will submit an extension request to the ERO Enterprise for approval prior to the original required CAP completion date.

The steps outlined here should be followed to ensure a timely, structured, and consistent approach to extension request submittals and processing.

The entity will work with the Regional Entity designated as its CEA as outlined in this process. The entity submitting the extension request will be referred to as the 'submitting entity' and may represent only itself or multiple registered entities who have developed a joint extension request. The submitting entity is responsible for ensuring all registered entities who are jointly submitting the extension request are listed in the requested information below and for distributing any communications from its CEA to the other entities that are part of the joint extension request. If a joint extension request is submitted for multiple registered entities who have different Regional Entities designated as the CEA, the submitting entity's CEA will perform the steps outlined in this process and will be responsible for coordinating with the Regional Entity(ies) that are the designated CEA for the additional entities party to the joint extension request.

For entities in Coordinated Oversight, the CEA for this process is the Lead Regional Entity (LRE). The LRE will coordinate with the Affected Regional Entity(ies) (ARE) and the AREs may participate in the joint review as well.

### Step 1 – Registered Entity Submittal

If an entity determines that it cannot meet the required timetable for completing a CAP, the submitting entity will contact their CEA to coordinate submittal of an extension request. The submitting entity will submit the requisite data to their CEA through Align and the Secure Evidence Locker as needed.

Entities are encouraged to submit the extension request as soon as they are aware they will not meet the CAP completion date but no later than 60 days before the original required completion date to allow the CEA and NERC time to approve the extension request before the original required completion date.

If CAP extension requests are submitted less than 60 days before the original required completion date, the CEA and NERC may not have sufficient time to review the extension request before the required completion date. This could cause the entity not to meet its obligations under TPL-007-4 R7 Part 7.3 and R11 Part 11.3. It is the submitting entity's responsibility to ensure that all information detailed in TPL-007-4 Part 7.4 or 11.4 and requested in Align is provided in the entity's extension request submittal to facilitate the CEA and NERC review.

## **Step 2 – ERO Enterprise Review**

The CEA will acknowledge receipt of the submission in writing within 15 days and review that all information detailed in TPL-007-4 R7 Part 7.4 or R11 Part 11.4 and requested in Align is provided in the submitting entity's extension request submittal. The CEA will work with the submitting entity to provide any missing information and will notify NERC of the extension request submittal when acknowledging receipt of the submission.

CMEP staff from the CEA and NERC will then perform a joint review of (1) the situation(s) beyond the control of the entity preventing implementation of the CAP within the identified timetable, and (2) the revisions to the CAP and updated timetable for implementing the selected actions. Any additional information requested to support the extension request review will be coordinated with the submitting entity by the CEA. The CEA and NERC will complete the review within 45 days or provide notification to the submitting entity that they are extending the time needed for review.

The Standard language states that an entity will submit an extension request for a full or partial delay in the implementation of the CAP within the timetable provided in TPL-007-4 R7 Part 7.3 or R11 Part 11.3. The determination whether to approve the extension request will be based on the specific facts and circumstances provided as to how the situations causing the delay in completing the CAP are beyond the control of the entity.

Examples of situations beyond the control of the responsible entity include, but are not limited to:

- Delays resulting from regulatory/legal processes, such as permitting;
- Delays resulting from stakeholder processes required by tariff;
- Delays resulting from equipment lead times; or
- Delays resulting from the inability to acquire necessary Right-of-Way.

Due diligence to order equipment, plan Right-of-Ways, obtain permits, etc., will be considered as part of the determination of whether a particular set of facts and circumstances constitute situations beyond the control of the entity. Additionally, cost may be a factor in whether a particular set of facts and

circumstances constitute situations that are beyond the control of the entity. However, the cost of mitigation alone is not likely to be determined to be a situation that is beyond the control of the entity.

### **Step 3 – Registered Entity Notification**

The CEA will communicate the approval or denial of the extension request or continuation of the time needed to review the extension request in writing to the submitting entity including the rationale for the determination. For any continuation of the review, the CEA will also provide the submitting entity a revised timeline for when the determination will be provided.

## Revision History

Version	Date	Revision Details
1.0	08/01/2022	-Initial Version – Updated from 2022 ERO Enterprise PDS Submittal Schedule