

Dec. 1, 2023

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

Save the Date! RF Fall Reliability and Security Summit, Sept. 17-18

Formerly known as the Fall Workshop, next year's Fall Reliability and Security Summit will take place **September 17-18** at the vibrant Conrad Indianapolis (50 West Washington Street, Indianapolis, IN 46204). Please save the date, mark your calendars, and stay tuned for additional information on topics and agendas.

NEW! RF to host Critical Infrastructure Protection Committee (RF CIPC) in January 2024

The RF Critical Infrastructure Protection Committee (RF CIPC) will be holding its first quarterly meeting of 2024 at the RF offices on Jan. 16 – 17. The purpose of the RF CIPC is to promote the physical and cyber security of critical electricity infrastructure in accordance with the NERC Critical Infrastructure Protection (CIP) Standards within the RF footprint.

The RF CIPC provides an industry-led forum for discussion and input among RF CIPC representatives responsible for physical and cyber security, including supply chain management. Each RF Regular Member organization, each RF Associate Member organization, and each non-member entity registered in the RF footprint may designate multiple RF CIPC Representatives. These Representatives must be regular employees of their respective organizations. One Representative from each RF Regular Member will be designated as a Voting Representative. Individuals employed under a consulting or contractual arrangement are not eligible to participate as an RF CIPC Representative.

The first quarterly meeting of 2024 will be held at the RF offices in Independence, Ohio, from 1 p.m. EST, Tuesday, Jan. 16 through 12 p.m., Wednesday, Jan. 17. Advance registration will be required to attend. Additional registration information including a link to Eventbrite registration will be forthcoming very soon.

To prepare for this meeting, please ensure your list of RF CIPC Representatives is up to date. To obtain the list of your representatives or to make changes to this list please email Lew Folkerth at lew.folkerth@rfirst.org or Nicholas Morton at namorton@aep.com.

Save the Dates! 2024 RF Protection System and Human Performance Workshops

Please mark your calendars for the 2024 RF Protection System and Human Performance Workshops that will be held Aug. 7-8 at the RF offices in Independence, Ohio. The agenda and registration information will be made available closer to the meeting dates.

NEW! NERC Publishes the 2024 Periodic Data Submittal Schedule

The [2024 ERO Enterprise Periodic Data Submittal Schedule](#) has been published by NERC. This schedule was updated to reflect that TPL-001-5.1 is fully in effect and that new versions of Standards FAC-003-5, PRC-002-4, and PRC-023-5 come into effect on April 1, 2024. A copy of 2024 schedule is attached to this month's update letter for your convenience.

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 with a consistent list of required Reliability Standard Periodic Data Submittals throughout the Electric Reliability Organization (ERO) Enterprise.

Some of the included reporting dates may be impacted as potential enhancements to PDS functionality in Align are further 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 established dates as possible. NERC and the Regional Entities may also request additional data or information under Sections 800 or 1600 of the NERC ROP; these data requests are not included in this schedule.

IMPORTANT! NERC Issues Section 800 Data Request to Assess the Extent of Cross-Border Operation Control of Bulk Power System Elements - Deadline is 1/12/24.

Over the past year, NERC has identified instances of cross-border operation or control of bulk power system elements. Technological advancements, which were previously not available, have enabled dispersed management systems used by distributed energy resource aggregators, Internet-of-Things devices and outage management systems and have increased automation/integration of operational technology networks, increasing the opportunity for cross-border operations.

NERC developed a Section 800 data request (survey) that would enable NERC to identify the extent to which non-U.S. entities have the ability to operate or control U.S. bulk power system assets. Those cross-border operations would include activities stemming from Canada and Mexico, as well as outside of North America.

This data request will be sent to all **Generator Owners, Generator Operators, and Transmission Owners and Transmission Operators**. This data request as presented at the recent Reliability Steering Technical Committee meeting, will allow NERC to assess the extent of risk and begin to evaluate potential next steps.

UPDATE - NERC has posted this data request to the ERO Portal to affected registered entities. **The deadline for applicable entities to complete and submit their responses to the data submittal is Jan. 12, 2024.**

Important NERC Registration Information You Need to Know

Notification of Additional Changes in Status

Section 501.1.3.5 of NERC's Rules of Procedure requires the **registered entity to notify NERC through its corresponding Regional Entity of any changes in ownership, corporate structure, or similar matters that affect the entity's responsibilities with respect to the Reliability Standards**. Failure to notify NERC through its corresponding Regional Entity will not relieve the registered entity from any responsibility to comply with the Reliability Standards or be liable for any penalties or sanctions associated with failing to comply with such standards. RF requests that registered entities provide RF Registration with 30-60 days advance notice of any such changes impacting NERC Registration. Contact Bob Folt, Principal Analyst, RAM and NERC Registration, with any questions at bob.folt@first.org.

E-ISAC Membership

As a registered entity, it is important, and expected, that you will join the Electricity Information Sharing and Analysis Center (E-ISAC). E-ISAC membership is available to North American asset owners and operators (AOOs) and select partner organizations, and there is no cost to join. The E-ISAC encourages security individuals with cyber, physical, or operational technology security responsibilities to apply for membership.

Please complete the E-ISAC Membership application here: <https://www.eisac.com/portal>. You may also contact the E-ISAC at memberservices@eisac.com with any questions.

NERC Alert System Registration

NERC's Alert System is the tool used to disseminate information that is critical to ensuring the reliability of the BPS in North America. NERC distributes Alerts broadly to owners, operators, and users of the BPS utilizing the listing of the NCR. Entities registered with NERC are required to provide and maintain up-to-date compliance and cyber security contacts.

As a separate part of the NERC registration process and inclusion on the NCR, please contact NERC via email at NERC.Alert@nerc.net to register or revise your listing for the NERC Alert System. Alternately, you may call the NERC Alerts Hotline at 404.446.9797 to speak with someone. Each registered entity identified in the NCR is required to notify NERC Alert 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.



Monthly Technical Talk with RF Call

The next Tech Talk with RF will be held on **Monday, Dec. 18**, from 2 to 3:30 p.m. EST.

December 2023 Technical Talk with RF

Monday, Dec. 18, 2023, 2 p.m. | (UTC-05:00) Eastern Time (US & Canada)

Join link:

<https://reliabilityfirst.webex.com/reliabilityfirst/j.php?MTID=m4c7838a4633307e6a77220efb6086dcd>

Webinar number: 2306 850 0269

Webinar password: 0123456 (0123456 from phones and video systems)

Join by phone:1-650-479-3207 Call-in toll number (US/Canada)

Access code: 230 685 00269

Join us on Slido.com using **#TechTalkRF** as the event code.

Agenda Topics

EOP-011 and future EOP-012 on-site walkdowns

Beth Rettig, Senior Technical Auditor, ReliabilityFirst

James Baird, Interim Plant Manager, Springdale Energy

Colleen Campbell, Director of Generation NERC Compliance, LS Power

- Beth Rettig will introduce ReliabilityFirst's perspective on EOP-011 and EOP-012 walkdowns.
- James Baird will provide a high-level overview of Springdale Energy's EOP-011 winterization plan and EOP-012 preparation steps.
- Colleen Campbell will review LS Power's EOP-011 walkdown experience and discuss lessons learned, and offer a look-ahead at her organization's EOP-012 preparations.

ERO Enterprise 2024 CMEP Implementation Plan

Rashida Caraway, Manager, Risk Assessment, Texas RE

- The 2024 CMEP Implementation Plan describes the risks that will be priorities for the ERO Enterprise's CMEP activities in 2024. Rashida Caraway will review of these risk priorities and how they factor into the overall reliability of the bulk power system.

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](#), Manager External Affairs, with any questions, suggestions, or topics of interest for future calls.



IMPORTANT REMINDER – UPDATE COMPLIANCE CONTACT INFORMATION in CORES

Registered entities are expected to review and update their compliance contacts information as changes occur. Updating compliance contact information is critical to ensure that our contact data remains fresh, accurate and current always. **Please periodically verify the names, addresses, phone numbers (cell) and email addresses for each Primary Compliance Contact (PCC), Primary Compliance Officer (PCO) and Alternate Compliance Contact (ACC) in the ERO Portal/CORES system.**

**NEW! Align Release Notes Posted**

The ERO is continuously working to improve the Align system to fix system bugs, make improvements to system, and enhance system functionality and the user experience for the registered entities, Regional Entities and NERC. Accordingly, NERC has started to publish Release Notes that provide details on the specific changes or improvements made, specify the users affected, as well as inform users about modifications made to any training materials. **The detailed release notes can be found on the NERC public website [Align and SEL web page](#) under the Release Materials section.**

NERC Align 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](#).

NERC's training site provides training and materials on a variety of topics for Align and other tools used by NERC, Regional Entity, and registered entity staff. Your Primary Compliance Contact is the designated Access Approver for Align for your company. Remember to check out NERC's Align project page or reach out to AskAlign@NERC.net for additional information.

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.

If you are unable to resolve the issue on your own, place a ticket using the NERC Helpdesk Ticket Submission System: 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, issues, and tickets as promptly as possible during normal business hours.

Align 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 ERO Align system. Contact [Shirley Ortiz](#), Senior Paralegal, at (216) 503-0674 with any questions concerning self-reports.

2023 Upcoming Standards Subject to Future Enforcement - NONE

2024 Upcoming Standards Subject to Future Enforcement

CIP-004-7	Cyber Security – Personnel & Training	Jan. 1, 2024
CIP-011-3	Cyber Security – Information Protection	Jan. 1, 2024
FAC-001-4	Facility Interconnection Requirements	Jan. 1, 2024
FAC-002-4	Facility Interconnection Studies	Jan. 1, 2024
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, 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)	Jan. 1, 2024

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-002-3	Disturbance Monitoring and Reporting Requirements Implementation Plan	April 1, 2024
PRC-023-5	Transmission Relay Loadability 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
EOP-012-1	Extreme Cold Weather Preparedness and Operations (Requirements 1–2 effective 4/1/28; Requirement 4 effective 10/1/29)	Oct. 1, 2024

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

Periodic Data Submittals Due in December 2023 - None

Periodic Data Submittals Due in January 2024

1/12/2024	Section 800	GO, GOP, TO, TOP	Section 800 Reliability Assessment Request: Assess the Extent of Cross-Border Operation Control of Bulk Power System Elements – ERO Portal Submittal (PCs only respond)
1/20/2024	FAC-003	GO, TO	FAC-003-4 - Transmission Vegetation Management: Q4, 2023 Vegetation Outage Reporting – Align Data Submittal

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
BAL-003-2 ¹	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
EOP-004-4 ²	R2	NERC	Per Standard	Event Driven
EOP-008-2	R8	RE	Per Standard	Within six calendar months of the date when the functionality is lost

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

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

ERO Enterprise Data Submittal Schedule				
ERO-Wide Data Submittal Schedule				
Reliability Standard	Requirement(s)	Submit To	Submittal Frequency	Proposed Due Dates
FAC-003-4	C.1.4	RE	Quarterly	20 days after the end of the quarter
PRC-002-2	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
PRC-023-4	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.
PRC-023-4	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
TPL-001-4³ TPL-001-5.1	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.
TPL-007-4	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
TPL-007-4	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
RE-Specific Data Submittal Schedule				
Reliability Standard	Requirement(s)	Submit To	Submittal Frequency	Proposed Due Dates
BAL-001-TRE-2	R1	Texas RE	Per Standard	Within 14 calendar days after each Frequency Measurable Event
BAL-001-TRE-2	R2.2	Texas RE	Per Standard	By the end of the month in which the Primary Frequency Response calculation results were completed

³ 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
BAL-003-2	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.
EOP-004-4	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).
EOP-008-2	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.
FAC-003-4	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"> 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. <p>A Sustained Outage is to be categorized as one of the following:</p> <ul style="list-style-type: none"> 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;

Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
		<ul style="list-style-type: none"> • 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; • 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; • 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; • Category 3 — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines from outside the ROW; • 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; • 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. <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>
PRC-002-2	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"> • Restore the recording capability, or • Submit a Corrective Action Plan (CAP) to the Regional Entity and implement it.
PRC-023-4	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>
PRC-023-4	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.
TPL-001-4 TPL-001-5.1	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.
TPL-007-4	R7.4	<p>The CAP shall:</p> <p>R7.4 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"> • 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; • 7.4.2. Revisions to the selected actions in Part 7.1, if any, including utilization of Operating Procedures, if applicable; and • 7.4.3. Updated timetable for implementing the selected actions in Part 7.1.
TPL-007-4	R11.4	<p>The CAP shall:</p> <p>R11.4 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"> • 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; • 11.4.2. Revisions to the selected actions in Part 11.1, if any, including utilization of Operating Procedures, if applicable; and • 11.4.3. Updated timetable for implementing the selected actions in Part 11.1.
BAL-001-TRE-2	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.
BAL-001-TRE-2	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-001-4⁴

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

Background

This Electric Reliability Organization (ERO) Enterprise⁵ 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.

⁴ 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.

⁵ 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.

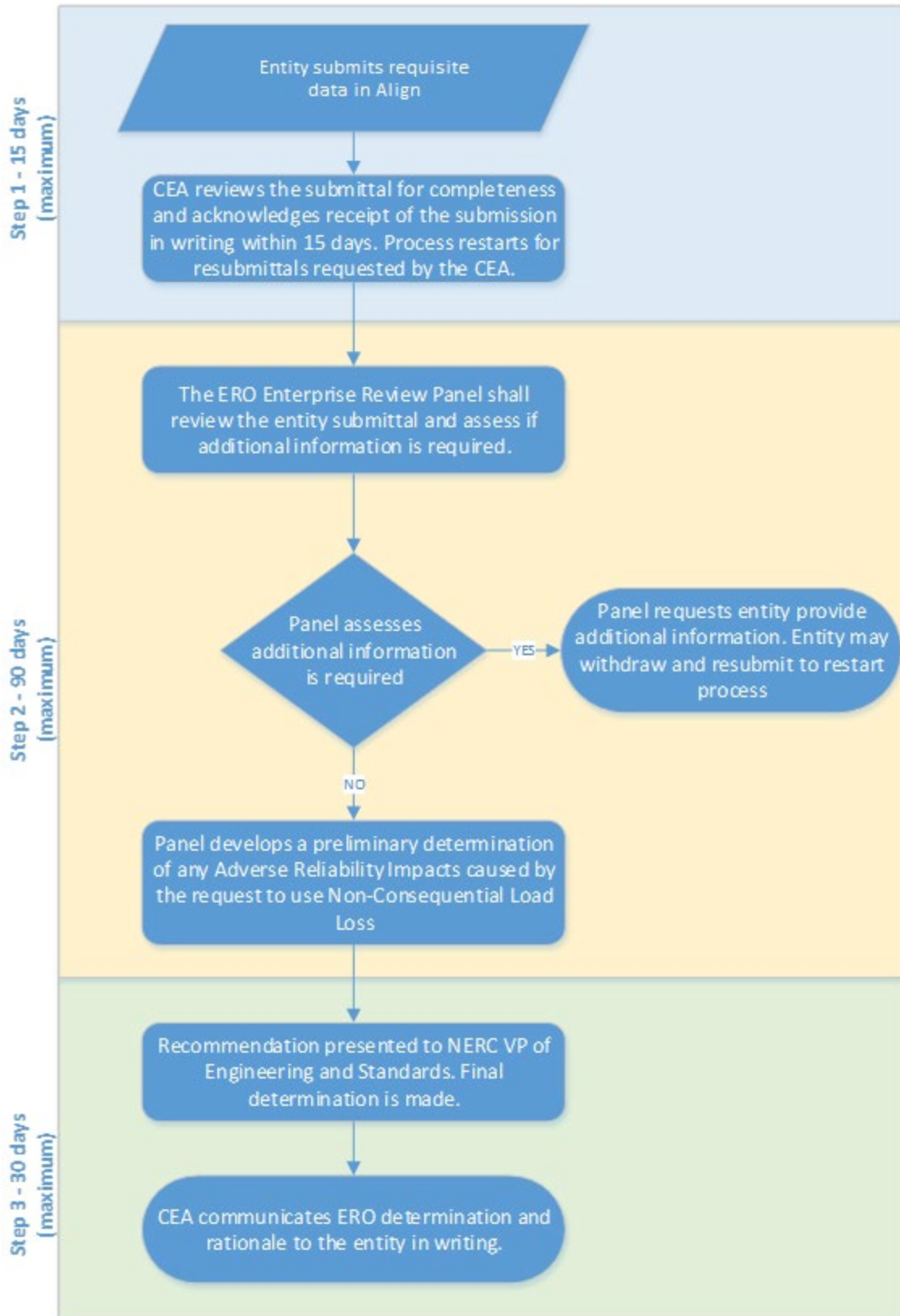


Figure 1: Non-Consequential Load Loss Review Process Flow Chart

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

ERO Enterprise Periodic Data Submittals Schedule

2024 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 it 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
BAL-003-2 ¹	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
EOP-004-4 ²	R2	NERC	Per Standard	Event Driven
EOP-008-2	R8	RE	Per Standard	Within six calendar months of the date when the functionality is lost

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

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

ERO Enterprise Data Submittal Schedule				
FAC-003-4 ³ FAC-003-5	C.1.4	RE	Quarterly	20 days after the end of the quarter
PRC-002-2 ⁴ PRC-002-4	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
PRC-023-4 ⁵ PRC-023-5	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.
PRC-023-4 ⁶ PRC-023-5	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
TPL-001-5.1	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.
TPL-007-4	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
TPL-007-4	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
RE-Specific Data Submittal Schedule				
Reliability Standard	Requirement(s)	Submit To	Submittal Frequency	Proposed Due Dates
BAL-001-TRE-2	R1	Texas RE	Per Standard	Within 14 calendar days after each Frequency Measurable Event
BAL-001-TRE-2	R2.2	Texas RE	Per Standard	By the end of the month in which the Primary Frequency Response calculation results were completed

³ FAC-003-4 becomes inactive when replaced by FAC-003-5 on April 1, 2024.

⁴ PRC-002-2 becomes inactive when replaced by PRC-002-4 on April 1, 2024.

⁵ PRC-023-4 becomes inactive when replaced by PRC-023-5 on April 1, 2024.

⁶ PRC-023-4 becomes inactive when replaced by PRC-023-5 on April 1, 2024.

Appendix A: Full Requirement Text or Subpart

Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
BAL-003-2	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.
EOP-004-4	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).
EOP-008-2	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.
FAC-003-4⁷ FAC-003-5	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"> • 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. <p>A Sustained Outage is to be categorized as one of the following:</p> <ul style="list-style-type: none"> • Category 1A — Grow-ins: Sustained Outages caused by vegetation growing into applicable lines, that are identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as a Facility that if lost or

⁷ FAC-003-4 becomes inactive when replaced by FAC-003-5 on April 1, 2024. Text here is from FAC-003-5.

		<p>degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System by vegetation inside and/or outside of the ROW.</p> <ul style="list-style-type: none">• Category 1B — Grow-ins: Sustained Outages caused by vegetation growing into applicable lines, but are not identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as a Facility that if lost or degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System for a planning event by vegetation inside and/or outside of the ROW.• Category 2A — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines that are identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as Facility that if lost or degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System for a planning event from within the ROW.• Category 2B — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines, but are not identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as Facilities that if lost or degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System for a planning event from within the ROW.• Category 3 — Fall-ins: Sustained Outages caused by vegetation falling into applicable lines from outside the ROW.• Category 4A — Blowing together: Sustained Outages caused by vegetation and applicable lines that are identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as a Facility that if lost or degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System for a planning event blowing together from within the ROW.• Category 4B — Blowing together: Sustained Outages caused by vegetation and applicable lines, but are not identified by the Planning Coordinator, per its Planning Assessment of the Near-Term Transmission Planning Horizon as a Facility that if lost or degraded are expected to result in instances of instability, Cascading, or uncontrolled separation that adversely impacts the reliability of the Bulk Electric System for a planning event blowing together from within the ROW.
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		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.
PRC-002-2 ⁸ PRC-002-4	R12	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: <ul style="list-style-type: none"> • Restore the recording capability, or • Submit a Corrective Action Plan (CAP) to the Regional Entity and implement it.
PRC-023-4 ⁹ PRC-023-5	R5	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.
PRC-023-4 ¹⁰ PRC-023-5	R6.2	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 establishment of the initial list and within 30 calendar days of any changes to that list.
TPL-001-4 TPL-001-5.1	Multiple See Footnote 12	The 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.
TPL-007-4	R7.4	The CAP shall: R7.4 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:

⁸ PRC-002-2 becomes inactive when replaced by PRC-002-4 on April 1, 2024.

⁹ PRC-023-4 becomes inactive when replaced by PRC-023-5 on April 1, 2024.

¹⁰ PRC-023-4 becomes inactive when replaced by PRC-023-5 on April 1, 2024.

		<ul style="list-style-type: none"> 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. 7.4.2. Revisions to the selected actions in Part 7.1, if any, including utilization of Operating Procedures, if applicable; and 7.4.3. Updated timetable for implementing the selected actions in Part 7.1.
TPL-007-4	R11.4	<p>The CAP shall:</p> <p>R11.4 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"> 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; and 11.4.2. Revisions to the selected actions in Part 11.1, if any, including utilization of Operating Procedures, if applicable; and 11.4.3. Updated timetable for implementing the selected actions in Part 11.1.
Reliability Standard	Requirement(s)	Full Text of Requirement or subpart
BAL-001-TRE-2	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 FME information (time of FME (t(0)), pre-perturbation average frequency, post-perturbation average frequency) publicly available.
BAL-001-TRE-2	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-001-5.1

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

Background

This Electric Reliability Organization Enterprise¹¹ 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.

¹¹ 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.

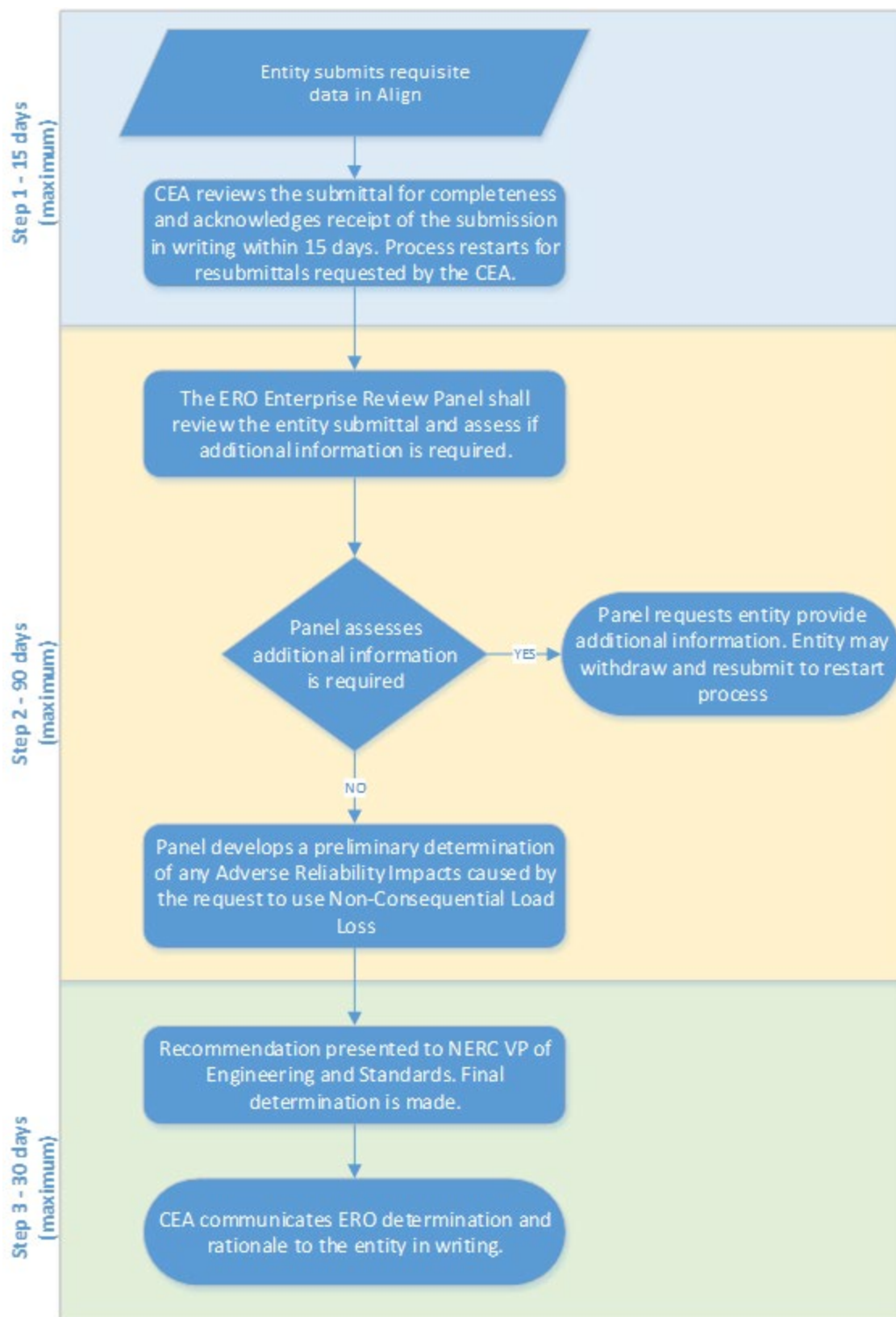


Figure 1: Non-Consequential Load Loss Review Process Flow Chart

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 with a revised timeline for when the determination will be provided.

Revision History		
Version	Date	Revision Details
1.0	10/31/2023	Initial Version – Updated from 2023 ERO Enterprise PDS Submittal Schedule