Standard Development Timeline

This section is maintained by the drafting team during the development of the standard and will be removed when the standard is adopted by the NERC Board of Trustees (Board).

Description of Current Draft

CIP-014-4 is posted for a 45-day formal comment period with initial ballot.

Completed Actions	Date
Standards Committee approved Standard Authorization Request (SAR) for posting	June 21, 2023
SAR posted for comment	July 26, 2023 – August 24, 2023
Accepted Revised SAR	January 17, 2024

Anticipated Actions	Date
45-day formal or informal comment period with ballot	May 20, 2024 – July 3, 2024
45-day formal or informal comment period with additional ballot	September 23, 2024 – November 6, 2024
10-day final ballot	February 3, 2025 – February 12, 2025
Board adoption	April 4, 2025

New or Modified Term(s) Used in NERC Reliability Standards

This section includes all new or modified terms used in the proposed standard that will be included in the *Glossary of Terms Used in NERC Reliability Standards* upon applicable regulatory approval. Terms used in the proposed standard that are already defined and are not being modified can be found in the *Glossary of Terms Used in NERC Reliability Standards*. The new or revised terms listed below will be presented for approval with the proposed standard. Upon Board adoption, this section will be removed.

Term(s):

None.

A. Introduction

1. **Title:** Physical Security

2. **Number:** CIP-014-4

3. **Purpose:** To identify and protect Transmission stations and Transmission substations, and their associated primary control centers, that if rendered inoperable or damaged as a result of a physical attack could result in instability, uncontrolled separation, or Cascading within an Interconnection.

4. **Applicability:**

   4.1. Functional Entities:

   4.1.1. Transmission Owner that owns Transmission station(s) or Transmission substation(s) that meet the applicability criteria of Attachment 1.

   4.1.2. Transmission Operator.

   Exemption: Facilities in a "protected area," as defined in 10 C.F.R. § 73.2, within the scope of a security plan approved or accepted by the Nuclear Regulatory Commission are not subject to this Standard; or Facilities within the scope of a security plan approved or accepted by the Canadian Nuclear Safety Commission are not subject to this Reliability Standard.

5. **Effective Date:** See Implementation Plan for CIP-014-4.

B. Requirements and Measures

R1. Each Transmission Owner, at least once every 36 calendar months, shall ~~establish and maintain~~document a list of applicable Transmission station(s) and Transmission substation(s) meeting any of the criteria ~~for performing risk assessments in accordance with the criteria~~ in Attachment 1 that are either existing or planned to be in service within 36 calendar months. ~~Each Transmission Owner shall:~~ *[Violation Risk Factor: High; Time-Horizon: Long-term Planning]*

~~**1.1.** Consider all Transmission station(s) and Transmission substation(s) that are existing or planned to be in service within 36 months; and~~

~~**1.2.** Review the list every 36 months and update the list, if necessary.~~

~~**1.3.** If the Transmission Owner identifies no applicable Transmission station(s) and Transmission substation(s), then no additional actions are required to fulfill the remainder of the standard.~~

M1. Examples of evidence may include, but are not limited to, dated written or electronic documentation of the Transmission stations and Transmission substations (existing ~~or~~ and those planned to be in service within 36 calendar months) that meet any of the criteria in Attachment 1 ~~as specified in Requirement R1~~.

R2. Each Transmission Owner shall ~~establish and implement~~have documented criteria ~~for identifying~~to determine those Transmission station(s) and Transmission substation(s) ~~in proximity to those identified in Requirement R1~~, irrespective of ownership, within ½ mile of an applicable Transmission station or Transmission substation documented in Requirement R1, that could be impacted by a single physical attack. The criteria shall address at a minimum the following:~~that shall be included in the risk assessment.~~ *[Violation Risk Factor: Medium; Time-Horizon: Long-term Planning]*

2.1. Line of sight between multiple Transmission station(s) or Transmission substation(s) from a single location without obstruction.

2.2. Ease of access from a common roadway that exists between multiple Transmission station(s) or Transmission substation(s).

~~**2.1.** The criteria shall, at a minimum include the following:~~

~~**2.1.1.** Line of sight between multiple Transmission station or Transmission substation yards from a single site.~~

~~**2.1.2.** Ease of access from a common public roadway that exists between multiple Transmission stations or Transmission substation yards.~~

~~**2.1.3.** The Transmission station or Transmission substation yards are in close enough proximity that a single event can impact multiple Transmission stations or Transmission substations.~~

M2. Examples of evidence may include, but are not limited to, dated written or electronic documentation of the criteria established in Requirement R2. ~~used to determine the Transmission station(s) and Transmission substation(s) in proximity to those identified in Requirement R1 and the list of groups of Transmission station(s) and Transmission substation(s) identified in Requirements R1 and R2.~~

R3. Each Transmission Owner shall have a documented risk assessment methodology, including criteria for steady-state and dynamic simulations, for evaluating the loss due to a physical attack of each applicable Transmission station(s) and Transmission substation(s) documented in Requirement R1 and Transmission substation(s) or Transmission station(s) determined to be in proximity per Requirement R2~~identified as applicable~~. The methodology shall include, at a minimum, the following: *[Violation Risk Factor: ~~Lower~~High; Time-Horizon: Long-term Planning]*

3.1. Technically supported thresholds and rationale for determining the amount of acceptable load loss, the amount of acceptable generation loss, ~~and~~ post-event response, and any additional considerations recognized as resulting in instability, uncontrolled separation, or Cascading within an Interconnection. The technical rationale shall include:

3.1.1. Steady-state and dynamic system response to events that could lead to ~~L~~load loss, generation loss, and other unacceptable post-event response within an Interconnection.~~post-event response within an Interconnection shall be evaluated, using at a minimum the following:~~

~~**3.1.1.1.** Steady state voltages~~

~~**3.1.1.2.** Transient voltage response~~

~~**3.1.1.3.** Thermal loading of Facilities~~

~~**3.1.1.4.** Relay loadability~~

~~**3.1.1.5.** Post-contingency voltage deviation~~

~~**3.1.1.6.** Rotor angle stability~~

~~**3.1.1.7.** Loss of IBR generation~~

~~**3.1.1.8.** Frequency exceeding generator limits~~

~~**3.1.1.9.** Frequency stability~~

~~**3.1.1.10.** Acceptable damping of oscillations~~

~~**3.1.1.11.** Cascading line tripping~~

~~**3.1.1.12.** Steady-state voltage stability~~

~~**3.1.2.** Technically supported thresholds for acceptable load loss and acceptable generation loss.~~

3.2. Steady-state and dynamic simulations shall be performed under System conditions that are more likely to contribute~~Analysis at System peak, Off-Peak Load, and other System conditions susceptible~~ to instability, uncontrolled separation, or Cascading within an Interconnection~~ shall be conducted in dynamic and steady state simulations~~.

3.2.1. The simulations~~Steady state analysis~~ shall include the removal of all ~~e~~Elements that Protection Systems and other controls are expected to automatically disconnect for each event~~, including any tripped facilities from dynamic simulations~~.

3.2.2. If ~~A Transmission station or Transmission substation that is already identified as critical to the Interconnection in dynamic or steady~~ steady-state and dynamic simulations each show acceptable system response but additional Elements trip during the dynamic simulation of an event, then additional steady-state analysis including any tripped Elements from the dynamic simulations shall be conducted~~studies does not require any additional studies~~.

3.3. For each applicable Transmission station or Transmission substation listed in accordance with Requirement R1, analysis shall include a Fault at the applicable Transmission station or Transmission substation and each Transmission station or Transmission substation identified in accordance with Requirement R2 as being in proximity to the applicable Transmission station or Transmission substation. ~~Analysis of fault simulations, as follows:~~

~~**3.4.** If the Transmission station(s) or Transmission substation(s) identified in accordance with Requirement R1 is a singular Transmission station or Transmission substation, then fault simulations shall include a bolted 3-phase fault at the highest voltage level bus.~~

~~**3.5.** If the Transmission station(s) or Transmission substation(s) identified in accordance with Requirement R2 includes more than one Transmission station or Transmission substation, then fault simulations shall include simultaneous single-phase faults at the highest voltage level buses of each of the Transmission station(s) or Transmission substation(s).~~

~~**3.6.**~~**3.4.** Fault simulations ~~shall~~ that assume the loss of communication and Protection ~~s~~System ~~protection~~ at the Transmission station(s) or Transmission substation(s) studied under Requirement R3, Parts 3.2~~4~~ and 3.3~~5~~.

~~**3.6.1.**~~**3.4.1.** Delayed (remote) clearing times shall be used unless otherwise technically substantiated.

~~**3.6.2.**~~**3.4.2.** Actual or more conservative estimates of clearing times shall be used unless otherwise technically substantiated.

M3. Each Transmission Owner shall provide dated evidence, such as electronic or hard copies, of risk assessment methodology satisfying Requirement R3.

R4. Each Transmission Owner with ~~jointly owned~~applicable Transmission station(s) and Transmission substation(s) per Requirement R1 owned by multiple Transmission Owners shall coordinate with those Transmission Owners to determine and document ~~identify each entity's~~their individual and joint responsibilities for performing any required risk assessments per Requirement R5~~at least once every 36 calendar months~~. *[VRF: Medium; Time-Horizon: Operations Planning, Long-term Planning]*

M4. Examples of acceptable evidence may include, but are not limited to, dated documentation, such as meeting minutes, agreements, and email correspondence, that identifies that agreement has been reached on individual and joint responsibilities for performing the required ~~studies and~~risk assessments.

R5. At least once every 36 calendar months, ~~E~~each Transmission Owner shall ~~conduct~~ perform a risk assessment~~, using the methodology established in Requirement R3, on each~~ to identify Transmission station(s) and Transmission substation(s) that if rendered inoperable or damaged as a result of a physical attack could result in instability, uncontrolled separation, or Cascading within an Interconnection, using the methodology established in Requirement R3 including any Transmission station(s) and Transmission substation(s) identified in accordance with documentation established per Requirement R4~~identified as applicable in accordance with Requirements R1, R2, and R4 at least once every 36 calendar months~~. *[VRF: ~~Medium~~High; Time-Horizon: Operations Planning, Long-term Planning]*

5.1. A Transmission station~~(s) and~~ or Transmission substation~~(s) previously~~ identified in dynamic or steady-state simulations as causing instability, uncontrolled separation, or Cascading within an Interconnection when rendered inoperable or damaged as a result of a physical attack does not require any additional simulations during the current risk assessment~~as critical do not require subsequent risk assessments if they continue to be classified as critical~~.

5.2. The Transmission Owner shall identify the primary control center that operationally controls each Transmission station or Transmission substation identified in the Requirement R5 risk assessment~~classified as critical~~.

M5. Examples of acceptable evidence may include, but are not limited to, dated written or electronic documentation of the risk assessment satisfying Requirement R5. For Requirement R5, Part 5.2, examples of acceptable evidence may include, but are not limited to, dated written or electronic documentation of the identification of the primary control center that operationally controls each identified Transmission station or Transmission substation~~ classified as critical~~.

R6. Each Transmission Owner shall have an unaffiliated third party verify the risk assessment performed under Requirement R5. The verification may occur concurrent with or after the risk assessment performed under Requirement R5. *[VRF: High; Time-Horizon: Long-term Planning]*

6.1. ~~Resiliency or security measures designed collectively to deter, detect, delay, assess, communicate, and respond to potential physical threats and vulnerabilities identified during the evaluation conducted in Requirement R5.~~ Each Transmission Owner shall select an unaffiliated verifying entity that is either:

6.1.1. A registered Planning Coordinator, Transmission Planner, or Reliability Coordinator; or

6.1.2. An entity that has transmission planning or analysis experience.

6.2. The unaffiliated third party verification shall verify the Transmission Owner's risk assessment performed under Requirement R5, which may include recommendations for the addition or deletion of a Transmission station(s) or Transmission substation(s). The Transmission Owner shall ensure the verification is completed within 90 calendar days following the completion of the Requirement R5 risk assessment.

6.3. ~~A timeline for executing the physical security enhancements and modifications specified in the physical security plan.~~ If the unaffiliated verifying entity recommends that the Transmission Owner add a Transmission station(s) or Transmission substation(s) to, or remove a Transmission station(s) or Transmission substation(s) from, its identification under Requirement R5, the Transmission Owner shall either, within 60 calendar days of completion of the verification, for each recommended addition or removal of a Transmission station or Transmission substation:

6.3.1. Modify its identification under Requirement R5 consistent with the recommendation; or

6.3.2. Document the technical basis for not modifying the identification in accordance with the recommendation.

6.4. Each Transmission Owner shall implement procedures, such as the use of non-disclosure agreements, for protecting sensitive or confidential information made available to the unaffiliated third party verifier and to protect or exempt sensitive or confidential information developed pursuant to this Reliability Standard from public disclosure.

M6. Examples of acceptable evidence may include, but are not limited to, dated written or electronic documentation that the Transmission Owner completed an unaffiliated third party verification of the Requirement R5 risk assessment and satisfied all of the applicable provisions of Requirement R6, including, if applicable, documenting the technical basis for not modifying the identification in Requirements R1, R2, R3, R4, and R5 as specified under Part 6.3. Additionally, examples of evidence may include, but are not limited to, written or electronic documentation of procedures to protect information under Part 6.4.

R7. For a primary control center(s) identified by the Transmission Owner according to Requirement R5, Part 5.2 that a) operationally controls an identified Transmission station or Transmission substation verified according to Requirement R5, and b) is not under the operational control of the Transmission Owner: the Transmission Owner shall, within seven calendar days following completion of Requirement R5, notify the Transmission Operator that has operational control of the primary control center of such identification and the date of completion of Requirement R5 . *[VRF: Medium; Time-Horizon: Long-term Planning]*

7.1. If a Transmission station or Transmission substation previously identified under Requirements R1, R2, R3, R4, and R5 and verified according to Requirement R6 is removed from the identification during a subsequent risk assessment performed according to Requirement R5 or a verification according to Requirement R6, then the Transmission Owner shall, within seven calendar days following the verification or the subsequent risk assessment, notify the Transmission Operator that has operational control of the primary control center of the removal.

M7. Examples of acceptable evidence may include, but are not limited to, written or electronic notifications or communications that the Transmission Owner notified each Transmission Operator, as applicable, according to Requirement R7.

R8. Each Transmission Owner that identified a Transmission station, Transmission substation, or a primary control center in Requirement R5 and verified according to Requirement R6, and each Transmission Operator notified by a Transmission Owner according to Requirement R7, shall conduct an evaluation of the potential threats and vulnerabilities of a physical attack to each of their respective Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R5 and verified according to Requirement R6. The evaluation shall consider the following: *[VRF: Medium; Time-Horizon: Operations Planning, Long-term Planning]*

8.1. Unique characteristics of the identified and verified Transmission station(s), Transmission substation(s), and primary control center(s);

8.2. Prior history of attack on similar facilities taking into account the frequency, geographic proximity, and severity of past physical security related events; and

8.3. Intelligence or threat warnings received from sources such as law enforcement, the Electric Reliability Organization (ERO), the Electricity Sector Information Sharing and Analysis Center (ES-ISAC), U.S. federal and/or Canadian governmental agencies, or their successors.

M8. Examples of evidence may include, but are not limited to, dated written or electronic documentation that the Transmission Owner or Transmission Operator conducted an evaluation of the potential threats and vulnerabilities of a physical attack to their respective Transmission station(s), Transmission substation(s), and primary control center(s) as specified in Requirement R8.

R9. Each Transmission Owner that identified a Transmission station, Transmission substation, or primary control center in Requirement R5 and verified according to Requirement R6, and each Transmission Operator notified by a Transmission Owner according to Requirement R7, shall develop and implement a documented physical security plan(s) that covers their respective Transmission station(s), Transmission substation(s), and primary control center(s). The physical security plan(s) shall be developed within 120 calendar days following the completion of Requirement R6 and executed according to the timeline specified in the physical security plan(s). The physical security plan(s) shall include the following attributes: [*Violation Risk Factor*: *High; Time-Horizon: Long-term Planning*]

9.1. Resiliency or security measures designed collectively to deter, detect, delay, assess, communicate, and respond to potential physical threats and vulnerabilities identified during the evaluation conducted in Requirement R8.

9.2. Law enforcement contact and coordination information.

9.3. A timeline for executing the physical security enhancements and modifications specified in the physical security plan.

9.4. Provisions to evaluate evolving physical threats, and their corresponding security measures, to the Transmission station(s), Transmission substation(s), or primary control center(s).

M9. Examples of evidence may include, but are not limited to, dated written or electronic documentation of its physical security plan(s) that covers their respective identified and verified Transmission station(s), Transmission substation(s), and primary control center(s) as specified in Requirement R6, and additional evidence demonstrating execution of the physical security plan according to the timeline specified in the physical security plan.

R10. Each Transmission Owner that identified a Transmission station, Transmission substation, or primary control center in Requirement R5 and verified according to Requirement R6, and each Transmission Operator notified by a Transmission Owner according to Requirement R7, shall have an unaffiliated third party review the evaluation performed under Requirement R8 and the security plan(s) developed under Requirement R9. The review may occur concurrently with or after completion of the evaluation performed under Requirement R8 and the security plan development under Requirement R9. *[VRF: Medium; Time-Horizon: Long-term Planning]*

10.1. Each Transmission Owner and Transmission Operator shall select an unaffiliated third party reviewer from the following:

- An entity or organization with electric industry physical security experience and whose review staff has at least one member who holds either a Certified Protection Professional (CPP) or Physical Security Professional (PSP) certification.

- An entity or organization approved by the ERO.
- A governmental agency with physical security expertise.
- An entity or organization with demonstrated law enforcement, government, or military physical security expertise.

10.2. The Transmission Owner or Transmission Operator, respectively, shall ensure that the unaffiliated third party review is completed within 90 calendar days of completing the security plan(s) developed in Requirement R9. The unaffiliated third party review may, but is not required to, include recommended changes to the evaluation performed under Requirement R8 or the security plan(s) developed under Requirement R9.

10.3. If the unaffiliated third party reviewer recommends changes to the evaluation performed under Requirement R8 or security plan(s) developed under Requirement R9, the Transmission Owner or Transmission Operator shall, within 60 calendar days of the completion of the unaffiliated third party review, for each recommendation:

- Modify its evaluation or security plan(s) consistent with the recommendation; or
- Document the reason(s) for not modifying the evaluation or security plan(s) consistent with the recommendation.

10.4. Each Transmission Owner and Transmission Operator shall implement procedures, such as the use of non-disclosure agreements, for protecting sensitive or confidential information made available to the unaffiliated third party reviewer and to protect or exempt sensitive or confidential information developed pursuant to this Reliability Standard from public disclosure.

M10. Examples of evidence may include, but are not limited to, written or electronic documentation that the Transmission Owner or Transmission Operator had an unaffiliated third party review the evaluation performed under Requirement R8 and the security plan(s) developed under Requirement R9 as specified in Requirement R10 including, if applicable, documenting the reasons for not modifying the evaluation or security plan(s) in accordance with a recommendation under Part 10.3. Additionally, examples of evidence may include, but are not limited to, written or electronic documentation of procedures to protect information under Part 10.4.

C. Compliance

1. Compliance Monitoring Process

1.1. Compliance Enforcement Authority: "Compliance Enforcement Authority" means NERC or the Regional Entity, or any entity as otherwise designated by an Applicable Governmental Authority, in their respective roles of monitoring

and/or enforcing compliance with mandatory and enforceable Reliability Standards in their respective jurisdictions.

1.2. Evidence Retention: The following evidence retention period(s) identify the period of time an entity is required to retain specific evidence to demonstrate compliance. For instances where the evidence retention period specified below is shorter than the time since the last audit, the Compliance Enforcement Authority may ask an entity to provide other evidence during an on-site visit to show that it was compliant for the full-time period since the last audit.

The Transmission Owner and Transmission Operator shall keep data or evidence to show compliance, as identified below, unless directed by its Compliance Enforcement Authority (CEA) to retain specific evidence for a longer period of time as part of an investigation:

The responsible entities shall retain evidence, as per Requirements R1 through R10, for three years.

If a Responsible Entity is found non-compliant, it shall keep information related to the non-compliance until mitigation is complete and approved, or for the time specified above, whichever is longer.

The Compliance Enforcement Authority shall keep the last audit records and all requested and submitted subsequent audit records.

1.3. Compliance Monitoring and Enforcement Program: As defined in the NERC Rules of Procedure, "Compliance Monitoring and Enforcement Program" refers to the identification of the processes that will be used to evaluate data or information for the purpose of assessing performance or outcomes with the associated Reliability Standard.

Violation Severity Levels

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s) per Attachment 1, but did so after 36 calendar months, but less than or equal to 38 calendar months. OR The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s)~~substations~~, but failed to identify less than or equal to 10% of the applicable Transmission station(s) or Transmission substation(s) per Attachment 1.	The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s) per Attachment 1, but did so after 38 calendar months, but less than or equal to 40 calendar months. OR The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s)~~substations~~, but failed to identify more than 10% and less than or equal to 20% of the applicable Transmission station(s) or Transmission substation(s) per Attachment 1.	The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s) per Attachment 1, but did so after 40 calendar months, but less than or equal to 42 calendar months. OR The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s)~~substations~~, but failed to identify more than 20% and less than or equal to 30% of the applicable Transmission station(s) or Transmission substation(s) per Attachment 1.	The Transmission Owner failed to document ~~identify~~ a list of applicable Transmission station(s) or Transmission substation(s) per Attachment 1. OR The Transmission Owner documented ~~identified~~ a list of applicable Transmission station(s) or Transmission substation(s) per Attachment 1, but did so after more than 42 calendar months. OR The Transmission Owner identified a list of applicable Transmission station(s) or Transmission substation(s)~~substations~~, but failed to identify more than 30% of the applicable Transmission station(s) or

				Transmission substation(s) per Attachment 1.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R2.			~~The Transmission Owner had insufficient documented criteria for determining when Transmission station(s) or Transmission substation(s) were in proximity for those identified in Requirement R1.~~ ~~OR~~ ~~The Transmission Owner failed to use the documented criteria to identify all Transmission station(s) or Transmission substation(s) in proximity.~~	The Transmission Owner did not have documented criteria to determine when Transmission station(s) or Transmission substation(s) were in proximity for those identified in Requirement R1. OR The Transmission Owner failed to use the documented criteria to identify which Transmission station(s) or Transmission substation(s) are in proximity to each other.
R3.	The Transmission Owner has a risk assessment methodology that failed to include one of the requirements listed in	The Transmission Owner has a risk assessment methodology that failed to include two of the requirements listed in	The Transmission Owner has a risk assessment methodology that failed to include three or more of the requirements listed in	The Transmission Owner has a risk assessment methodology that failed to include four of the requirements listed in Parts 3.1 through 3.4.

	~~Requirement R3,~~ Parts 3.1 through 3.4~~6~~.	~~Requirement R3,~~ Parts 3.1 through 3.4~~6~~.	~~Requirement R3,~~ Parts 3.1 through 3.4~~6~~.	OR The Transmission Owner does not have a risk assessment methodology.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R4.	The Transmission Owner failed to coordinate less than or equal to 25% of jointly owned applicable Transmission station(s) and Transmission substation(s) with other owner(s). ~~performed a risk assessment, but did so after 36 calendar months, but less than or equal to 38 calendar months.~~ ~~OR~~ ~~The Transmission Owner performed a risk assessment inconsistent with one of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.6.~~	The Transmission Owner failed to coordinate more than 25% and less than or equal to 50% of jointly owned applicable Transmission station(s) and Transmission substation(s) with other owner(s). ~~performed a risk assessment, but did so after 38 calendar months, but less than or equal to 40 calendar months.~~ ~~OR~~ ~~The Transmission Owner performed a risk assessment inconsistent with two of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.6.~~ ~~OR~~ ~~The Transmission Owner performed a risk assessment that was insufficient with~~	The Transmission Owner failed to coordinate more than 50% and less than or equal to 75% of jointly owned applicable Transmission station(s) and Transmission substation(s) with other owner(s).~~performed a risk assessment inconsistent with three or more of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.6.~~ ~~OR~~ ~~The Transmission Owner performed a risk assessment, but failed to include the primary control center identified in Requirement R4, Part 4.3.~~	The Transmission Owner failed to coordinate more than 75% and less than or equal to 100% any evidence of jointly owned applicable Transmission station(s) and Transmission substation(s) with other owner(s).~~performed a risk assessment, but did so after more than 42 calendar months.~~

		~~respect to Requirement R4, Part 4.2.~~		
R5.	The Transmission Owner performed a risk assessment, but did so after 36 calendar months, but less	The Transmission Owner performed a risk assessment, but did so after 38 calendar months, but less	The Transmission owner performed a risk assessment, but did so after 40 calendar months, but less	The Transmission Owner performed a risk assessment, but did so after more than 42 calendar months. OR The Transmission Owner performed a risk assessment inconsistent with four of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.4.
	Violation Severity Levels			
	Lower VSL	**Moderate VSL**	**High VSL**	**Severe VSL**
	than or equal to 38 calendar months. OR The Transmission Owner performed a risk assessment inconsistent with one of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.~~4~~6.	than or equal to 40 calendar months. OR The Transmission Owner performed a risk assessment inconsistent with two of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.~~4~~6.	than or equal to 42 calendar months. OR The Transmission Owner performed a risk assessment inconsistent with three or more of the methodology requirements listed in Requirement R3, Parts 3.1 through 3.~~4~~6.	

		~~OR~~ ~~The Transmission Owner performed a risk assessment that was insufficient with respect to Requirement R4, Part 4.2.~~	OR The Transmission Owner performed a risk assessment, but failed to include the primary control center identified in ~~Requirement R4,~~ Part 5.24.~~3~~.	
R6.	The Transmission Owner had an unaffiliated third party verify the risk assessment performed under Requirement R5~~4~~, but did so in more than 90 calendar	The Transmission Owner had an unaffiliated third party verify the risk assessment performed under Requirement R5~~4~~, but did so more than 100 calendar	The Transmission Owner had an unaffiliated third party verify the risk assessment performed under Requirement R5~~4~~, but did so more than 110 calendar	The Transmission Owner had an unaffiliated third party verify the risk assessment performed under Requirement R5~~4~~, but did so more than 120 calendar days following completion of

	Violation Severity Levels			
	Lower VSL	**Moderate VSL**	**High VSL**	**Severe VSL**
	days, but less than or equal to 100 calendar days following completion of Requirement R5~~4~~. OR The Transmission Owner had an unaffiliated third party verify the risk assessment performed under	days, but less than or equal to 110 calendar days following completion of Requirement R5~~4~~. OR The Transmission Owner had an unaffiliated third party verify the risk assessment performed under	days, but less than or equal to 120 calendar days following completion of Requirement R5~~4~~. OR The Transmission Owner had an unaffiliated third party verify the risk assessment performed under	Requirement R5~~4~~. OR The Transmission Owner failed to have an unaffiliated third party verify the risk assessment performed under Requirement R5~~4~~. OR

	Requirement R54 and modified or documented the technical basis for not modifying its identification under Requirement R54 as required by Part 6.35.2, but did so more than 60 calendar days and less than or equal to 70 calendar days from completion of the third party verification.	Requirement R54 and modified or documented the technical basis for not modifying its identification under Requirement R54 as required by Part 6.35.2, but did so more than 70 calendar days and less than or equal to 80 calendar days from completion of the third party verification.	Requirement R54 and modified or documented the technical basis for not modifying its identification under Requirement R54 as required by Part 5.26.3, but did so more than 80 calendar days from completion of the third party verification; OR The Transmission Owner had an unaffiliated third party verify the risk assessment performed under	The Transmission Owner had an unaffiliated third party verify the risk assessment performed under Requirement R54, but failed to implement procedures for protecting information per Part 5.26.4.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
			Requirement R54, but failed to modify or document the technical basis for not modifying its identification under R4 as required by Part 6.35.2.	
R7.	The Transmission Owner notified the Transmission Operator that operates the	The Transmission Owner notified the Transmission Operator that operates the	The Transmission Owner notified the Transmission Operator that operates the	The Transmission Owner notified the Transmission Operator that operates the

	primary control center as specified in Requirement R7~~6~~, but did so more than seven calendar days and less than or equal to nine calendar days following the completion of Requirement R6~~5~~. OR The Transmission Owner notified the Transmission Operator that operates the primary control center of the removal from the identification in Requirement R5~~4~~, but did so	primary control center as specified in Requirement R7~~6~~, but did so more than nine calendar days and less than or equal to 11 calendar days following the completion of Requirement R6~~5~~. OR The Transmission Owner notified the Transmission Operator that operates the primary control center of the removal from the identification in Requirement R5~~4~~, but did so	primary control center as specified in Requirement R7~~6~~, but did so more than 11 calendar days and less than or equal to 13 calendar days following the completion of Requirement R6~~5~~. OR The Transmission Owner notified the Transmission Operator that operates the primary control center of the removal from the identification in Requirement R5~~4~~, but did so	primary control center as specified in Requirement R7~~6~~, but did so more than 13 calendar days following the completion of Requirement R6~~5~~. OR The Transmission Owner failed to notify the Transmission Operator that it operates a control center identified in Requirement R5~~4~~. OR

	Violation Severity Levels			
	Lower VSL	**Moderate VSL**	**High VSL**	**Severe VSL**
	more than seven calendar days and less than or equal to nine calendar days following the verification or the subsequent risk assessment.	more than nine calendar days and less than or equal to 11 calendar days following the verification or the subsequent risk assessment.	more than 11 calendar days and less than or equal to 13 calendar days following the verification or the subsequent risk assessment.	The Transmission Owner notified the Transmission Operator that operates the primary control center of the removal from the identification in Requirement R5~~4~~, but did so more than 13 calendar days following the verification or

				the subsequent risk assessment. OR The Transmission Owner failed to notify the Transmission Operator that operates the primary control center of the removal from the identification in Requirement R5~~4~~.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R8.	N/A	The Responsible Entity conducted an evaluation of the potential physical threats and vulnerabilities to each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54, but failed to consider one of Parts ~~7.1~~8.1 through ~~7.3~~8.3 in the evaluation.	The Responsible Entity conducted an evaluation of the potential physical threats and vulnerabilities to each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement ~~R4~~R5, but failed to consider two of Parts ~~7~~8.1 through ~~7~~8.3 in the evaluation.	The Responsible Entity failed to conduct an evaluation of the potential physical threats and vulnerabilities to each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54. OR The Responsible Entity conducted an evaluation of the potential physical threats and vulnerabilities to each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54, but failed to consider Parts ~~7~~8.1 through ~~7~~8.3.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
R9.	The Responsible Entity developed and implemented a documented physical security plan(s) that covers each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54, but did so more than 120 calendar days, but less than or equal to 130 calendar days after completing Requirement R65. OR The Responsible Entity developed and implemented a documented physical security plan(s) that covers its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54 and	The Responsible Entity developed and implemented a documented physical security plan(s) that covers each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R4R5, but did so more than 130 calendar days, but less than or equal to 140 calendar days after completing Requirement R65. OR The Responsible Entity developed and implemented a documented physical security plan(s) that covers its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54 and	The Responsible Entity developed and implemented a documented physical security plan(s) that covers each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54, but did so more than 140 calendar days, but less than or equal to 150 calendar days after completing Requirement R65; OR The Responsible Entity developed and implemented a documented physical security plan(s) that covers its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54 and	The Responsible Entity developed and implemented a documented physical security plan(s) that covers each of its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54, but did so more than 150 calendar days after completing the verification in Requirement R65. OR The Responsible Entity failed to develop and implement a documented physical security plan(s) that covers its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54 and verified according to Requirement R65.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	verified according to Requirement R6~~5~~, but failed to include one of Parts ~~8~~9.1 through ~~8~~9.4 in the plan.	verified according to Requirement R6~~5~~, but failed to include two of Parts ~~8~~9.1 through ~~8~~9.4 in the plan.	verified according to Requirement R6~~5~~, but failed to include three of Parts ~~8~~9.1 through ~~8~~9.4 in the plan.	OR The Responsible Entity developed and implemented a documented physical security plan(s) that covers its Transmission station(s), Transmission substation(s), and primary control center(s) identified in Requirement R54 and verified according to Requirement R6~~5~~, but failed to include Parts ~~8~~9.1 through ~~8~~9.4 in the plan.
R10.	The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~, but did so in more than 90 calendar days, but less than or equal to 100 calendar days.	The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~, but did so in more than 100 calendar days, but less than or equal to 110 calendar days.	The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~, but did so more than 110 calendar days, but less than or equal to 120 calendar days.	The Responsible Entity failed to have an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~ in more than 120 calendar days.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
	OR The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~ and modified or documented the reason for not modifying the security plan(s) as specified in Part ~~9~~10.3, but did so more than 60 calendar days and less than or equal to 70 calendar days following completion of the third party review.	OR The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~ and modified or documented the reason for not modifying the security plan(s) as specified in Part ~~9~~10.3, but did so more than 70 calendar days and less than or equal to 80 calendar days following completion of the third party review.	OR The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~ and modified or documented the reason for not modifying the security plan(s) as specified in Part ~~9~~10.3, but did so more than 80 calendar days following completion of the third party review. OR The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~, but	OR The Responsible Entity failed to have an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~. OR The Responsible Entity had an unaffiliated third party review the evaluation performed under Requirement R8~~7~~ and the security plan(s) developed under Requirement R9~~8~~, but failed to implement procedures for protecting information per Part ~~9~~10.4.

	Violation Severity Levels			
	Lower VSL	Moderate VSL	High VSL	Severe VSL
			did not document the reason for not modifying the security plan(s) as specified in Part ~~9~~10.3.	

D. Regional Variances

None.

E. Interpretations

None.

F. Associated Documents

CIP-014-4 Implementation Plan

CIP-014-4 Technical Rationale Document

Version History

Version	Date	Action	Change Tracking
1	October 1, 2015	Effective Date	New
2	April 16, 2015	Revised to meet FERC Order 802 directive to remove “widespread”.	Revision
2	May 7, 2015	Adopted by the NERC Board of Trustees	
2	July 14, 2015	FERC Letter Order in Docket No. RD15-4-000 approving CIP-014-2	
3	January 19, 2022	Revised to remove Compliance Section 1.4	Revision
3	June 16, 2022	FERC Letter Order in Docket No.RD22-3-000 approving Modifications to CIP-014-3	Revision
3	June 16,2022	Effective Date	Revision
4	TBD	Revisions made by the Project 2023-06 drafting team	Revision

Attachment 1 – Applicability Criteria

Applicable Transmission station(s) or Transmission substation(s) are those that meet any of the following criteria:

1. Transmission Facilities operated at 500 kV or higher. For the purpose of this criterion, the collector bus for a generation plant is not considered a Transmission Facility, but is part of the generation interconnection Facility.

2. Transmission Facilities that are operating between 200 kV and 499 kV at a single station or substation, where the station or substation is connected at 200 kV or higher voltages to three or more other Transmission stations or substations and has an "aggregate weighted value" exceeding 3000 according to the table below. The "aggregate weighted value" for a single station or substation is determined by summing the "weight value per line" shown in the table below for each incoming and each outgoing BES Transmission Line that is connected to another Transmission station or substation. For the purpose of this criterion, the collector bus for a generation plant is not considered a Transmission Facility, but is part of the generation interconnection Facility.

~~**2.1** Transmission station(s) or Transmission substation(s), that individually are not applicable, but are applicable when combined based on physical adjacency per Requirement R2, based on aggregated weighting value criteria from **Table 1** are to be considered as applicable.~~

Voltage Value of a Line	Weight Value per Line
less than 200 kV (not applicable)	(not applicable)
200 kV to 299 kV	700
300 kV to 499 kV	1300
500 kV and above	0

3. Transmission Facilities at a single station or substation location that are identified by its Reliability Coordinator, Planning Coordinator, or Transmission Planner as critical to the derivation of Interconnection Reliability Operating Limits (IROLs) and their associated contingencies.

4. Transmission Facilities identified as essential to meeting Nuclear Plant Interface Requirements.