NATF Criteria and Questionnaire Revision Process

Version 3.0
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Version History

Date	Version	Notes
09/11/2020	1.0	Initial version
06/03/2022	2.0	Added process step for notification of changes to ERO
04/12/2025	3.0	Updated formatting, style, and grammar. Modified process to remove advisory team, add limit of two representatives per organization on the revision team, and remove hard requirement to consult the NATF Industry Organizations forum

Review and Update Requirements

- Review: every 5 years
- Update: as necessary

Contents

1. Purpose

The purpose of this process is to facilitate the periodic reviews and modifications of the *NATF Supply Chain Security Criteria* (Criteria) [1] and *Energy Sector Supply Chain Risk Questionnaire* (Questionnaire) [2]. These living documents were developed for industry-wide use to drive consistency of information obtained from suppliers of bulk power system hardware, software, and services.

2. Scope

This procedure covers modifications and maintenance of the Criteria and Questionnaire. Modifications are made with consideration of input from across industry and include addition, deletion, or modification of criterion statements in the Criteria, individual questions in the Questionnaire, or mappings to security frameworks (e.g., SOC 2, ISO/IEC 27001, etc.). This process involves both NATF members and non-NATF members.

3. Process Overview

The process provides for an annual cycle to modify or update the Criteria and Questionnaire based on inputs from industry. Inputs are accepted from across industry, including entities, suppliers, assessors, and other industry organizations (hereinafter "stakeholders"). The process provides for modifications or updates that are more urgent through a monthly review of industry inputs to identify and address those urgent modifications or updates.
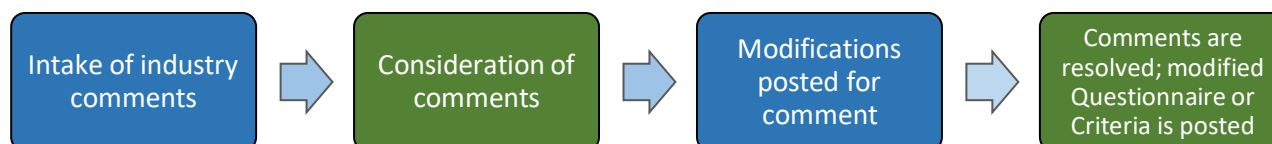
As the purpose of the Criteria and Questionnaire is to provide a consistent set of considerations with which entities can evaluate suppliers, it is optimal that the Criteria and Questionnaire remain as stable as possible. To help drive industry convergence on the use of these tools, however, industry inputs can assist with:

- Adapting to changing industry risks and concerns

- Reducing the number of questions in the Questionnaire

- Ensuring that all information needed to evaluate supplier risks is being obtained

- Providing mapping to helpful security frameworks

Modifications to the Criteria and Questionnaire are considered simultaneously to keep the documents aligned. This includes instances where the same modification would need to be made in both documents, such as an update for mappings to security frameworks, as well as instances where a revision to one of the documents would have an impact on and be the impetus for a different change in the other document.

The Criteria and Questionnaire revision team publicly posts potential changes to the Criteria and Questionnaire in early March of each year. Entities have 30 days to review and provide comments. Comments and concerns are reviewed and addressed by the revision team. The revised Criteria and Questionnaire is publicly posted in May and communication will be provided to industry.

Summary of major steps

| Intake of industry comments | → | Consideration of comments | → | Modifications posted for comment | → | Comments are resolved; modified Questionnaire or Criteria is posted |

Composition of the revision team

The revision team consists of NATF members, suppliers, service providers, and entities from across industry. The number of organizations on the revision team shall not exceed 25, although one organization may have up to two individuals attending. Active participation is required for a team member to remain on the revision team. The revision team may consult with the Industry Organizations Forum[1] for guidance on specific industry feedback or challenging revisions.

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[1] The Industry Organizations Forum consists of representatives from industry trade organizations, forums, suppliers, third-party assessors and solution providers. Information on the Industry Organizations Forum and its activities can be located on the NATF public website at: https://www.natf.net/industry-initiatives/supply-chain-industry-coordination.

4. Industry Input

All industry input should be provided to NATF through supplychain@natf.net. Industry stakeholders are encouraged to provide any input that reflects what information they would like to incorporate into their supplier risk assessments or that they believe would be helpful in converging industry on the use of the Criteria and Questionnaire. Some specific examples of input include:

- Are there any questions that are not needed?
- Do any of the questions need modification?
- Are there any topic areas that are missing?
- Are the criteria effective for measurement?

5. Consideration of Input and Modification

The Criteria and Questionnaire is reviewed and updated annually in May as needed. Although the cadence for making changes is annual and mid-year changes are discouraged, if the need for the change is urgent and the revision team determines the change is important to industry stakeholders, changes can be made at any time throughout the year.

The revision team convenes monthly to review any input received in the prior month and conducts annual reviews of the Criteria and Questionnaire in the January/February timeframe for potential updates and improvement opportunities.

Monthly reviews

The revision team meets once a month as needed to review industry inputs/suggestions for change and decides whether the change should either be expedited for an out-of-cycle update or considered in the annual review.

Considerations for making change include, but are not limited to:

- How urgent is the request?
- Should the change be expedited or can it be considered in the annual review?
- How broad is the request, i.e., how many industry entities would like to see the change?
- Could a current question be reworded to capture the concern?
- Does the question address an issue that supports a broader subsector (e.g., the gas industry)?
- Can a question be worded more generically to be applicable across subsectors?

The objective for the revision team is to not increase the number of statements in the Criteria or questions in the Questionnaire (or, if possible, to reduce the number of statements or questions) while still capturing information needed to conduct risk assessments (not limited to compliance) and to update mappings to frameworks that the revision team determines are useful to a significant portion of entities.

Annual reviews

Any suggested changes that were not made throughout the course of the year but were deemed possible changes to make are reviewed by the revision team during the annual review. The annual reviews take place in the January/February timeframe.

6. Updates to the Criteria and Questionnaire

Once the revision team has determined what changes, if any, should be made to the Criteria and Questionnaire through the review process, the changes are posted in a red-lined version of each document in early March for industry comments.

A notification of changes, if any, is also sent to the Electric Reliability Organization (ERO) Enterprise as specified in the ERO Enterprise Endorsed Implementation Guidance for CIP-013 documents: *NATF CIP-013 Implementation Guidance: Supply Chain Risk Management Plans* [3] and *NATF CIP-013 Implementation Guidance: Using Independent Assessments of Vendors* [4] for comments and concerns that would jeopardize continued ERO Enterprise endorsement.

Entities and the ERO Enterprise inform the revision team within 30 days if they have any comments or concerns. Comments and concerns, if any, are reviewed and considered by the revision team and addressed, as necessary.

7. Finalizing Modifications: NATF Approvals and Communication to Industry Stakeholders

After the revision team has reviewed and addressed any concerns raised by industry stakeholders in response to the posted redline, NATF is asked to approve the modifications. This approval may be given by the NATF Board or the NATF CEO. If the modifications are not approved, the process is repeated, with notification to the revision team describing why it was not approved.

Finally, the revised Criteria and Questionnaire is posted in May and communication is provided to industry.

8. References

[1] North American Transmission Forum, "NATF Supply Chain Security Criteria," 20 May 2025. [Online]. Available: https://www.natf.net/docs/natfnetlibraries/documents/resources/supply-chain/natf-supply-chain-security-criteria.xlsx.

[2] North American Transmission Forum, "Energy Sector Supply Chain Risk Questionnaire," 20 May 2025. [Online]. Available: https://www.natf.net/docs/natfnetlibraries/documents/resources/supply-chain/energy-sector-supply-chain-risk-questionnaire.xlsx.

[3] North American Transmission Forum, "NATF CIP-013 Implementation Guidance: Supply Chain Risk Management Plans," 28 January 2022. [Online]. Available: https://www.natf.net/docs/natf/documents/resources/supply-chain/natf-cip-013-implementation-guidance-supply-chain-risk-management-plans.pdf.

[4] North American Transmission Forum, "NATF CIP-013 Implementation Guidance: Using Independent Assessments of Vendors," 23 October 2023. [Online]. Available: https://www.nerc.com/pa/comp/SupplyChainRiskMitigationProgramDL/CIP-013%20Using%20Independent%20Assessments%20of%20Vendors%20(NATF)%201.pdf.