



Pacific Gas and Electric Company

PG&E NERC Supplier Packet

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1 EXPLANATION OF NERC CONTRACT/ADDENDUM CHANGES



Dear Valued Supplier,

As of August 6, 2016, Suppliers must have the updated NERC contract/addendum in place to onboard new contractors who require NERC Access.

All PG&E Suppliers who provide non-employee workers (“contractors”) that require NERC Access **must agree to the updated NERC contract terms** by signing a change order. It is highly recommended that all Suppliers sign the change the order as soon as possible, so that when the Supplier needs to onboard a new non-employee worker in a NERC role there will be no delays.

NOTE: This requirement **WILL NOT** apply to Suppliers filling non-NERC contractor roles and does not affect existing contractors in NERC roles. It only applies to new and renewing contractors in NERC roles.

For Suppliers who sub-contract to a PG&E Prime Supplier exclusively, e.g. Agile-1 or Canus, please discuss requisite steps with your Prime Supplier.

For Suppliers who are both a direct Supplier to PG&E and a sub-contractor to a Prime Supplier, please sign the change order, *and* speak with your Prime Supplier to discuss requisite steps.

Please share this information with other relevant members of your team.

For **NERC contract/addendum** questions, contact **Sourcing**:

- Review the **FAQ's** below or
- Email NERCSourcing@pge.com

For **NERC PRA background check** questions, contact the **HR Solutions Center**:

- Email at HumanResources@pge.com or
- Call 415-973-4357 Monday-Friday between 8am-5pm

Best regards,

Olivia McBride

Sourcing Compliance Team | Supply Chain Strategic Programs, Governance & Policy

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2 GUIDE FOR USING ESFT TO SUBMIT PRA DOCUMENTS



Enterprise Secure File Transfer Guide for PG&E Suppliers of Non-Employee Workers in NERC Roles

PG&E's Enterprise Secure File Transfer (ESFT) system enables secure transfer of confidential information to PG&E. NERC stands for the North American Electric Reliability Corporation which sets standards governing the security of all bulk power system owners, operators, and users.

As a pre-requisite to providing non-employee worker candidates for PG&E NERC roles, all Suppliers must agree to updated NERC contract terms, either by completing and emailing a Change Order Form (Addendum) to NERCSourcing@pge.com, or during contract renewals. As an approved Supplier, you will use the ESFT process to upload two documents when submitting a candidate:

1. **PG&E NERC Personnel Risk Assessment (PRA) Report** —identifying completed background checks and their status;
2. **PG&E NERC CIP Program Non-Employee Attestation Form (Exhibit 8A)** confirming that the non-employee candidate has successfully completed required background checks.

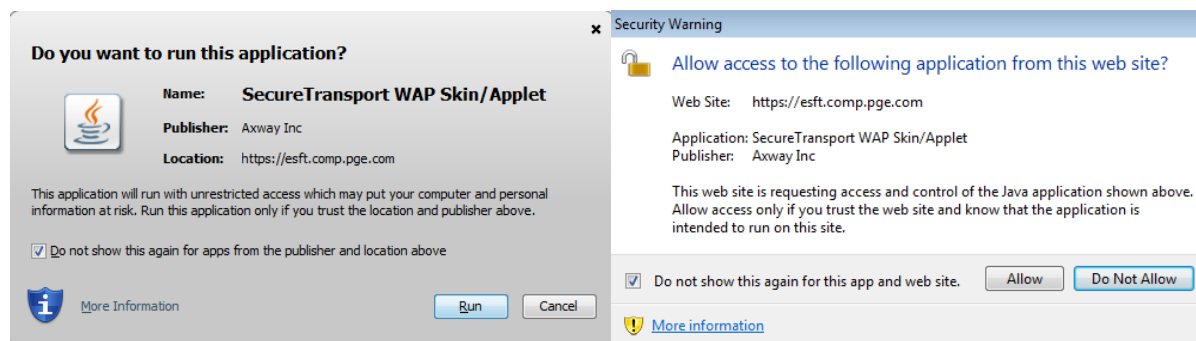
Register your ESFT Account

PG&E will send you an email confirming your status as an approved supplier with the Subject line: **PG&E New Registration Confirmation** (from authentication@pge.com).

Use the PG&E-issued user name and temporary password:

1. From your browser go to the PG&E network ESFT website <https://esft.pge.com>
2. Enter your unique credentials at the ESFT login screen and enter:
 - User Name: Assigned Username
 - Password: Temporary Password
3. Follow the prompts to change your password. This sets up your account.

Note: When logging in for the first time, you will be prompted with two screens shown below. Click the box on both screens that says: **Do not show this again...** and click **Run** and **Allow** respectively.



Prepare your files for uploading

You will need to submit two documents to PG&E in PDF format securely via ESFT:

1. A copy of the Non-Employee worker's **NERC Personnel Risk Assessment (PRA) Report**
2. A signed copy of the **PG&E NERC CIP Program Non-Employee Attestation Form** ("NERC Attestation Form"), attesting that the "...background investigation has been executed and satisfactory results received..."

Ensure that both a copy of the PRA and NERC Attestation Form are saved in **PDF format** with the following naming convention:

CandidateFirstName_CandidateLastName_SupplierName_FileType_PRACompletionDate (yyyymmdd).pdf

where **FileType** is either: **PRAResult** or **AttestationForm**

NERC PRA Example: **Robert_Smith_Agile-1_PRAResult_20170228.pdf**

NERC Attestation Form Example: **Robert_Smith_Agile-1_AttestationForm_20170228.pdf**

Upload Files

1. **Login to ESFT**
2. **Double-click to open the folder with your company name** ("CompanyName" _files)
3. **Upload files** (in PDF format)
 - NERC PRA
 - NERC Attestation Form
 - a. Select the file in the *MyComputer* section to upload by clicking on the '*Browse...*' button and browse to the location of the file
 - b. To select multiple files, hold down the *Ctrl* or *Shift* key
 - c. Click on the [**Upload**] button
 - d. If successfully uploaded, you will be able to see your files in your folder and the word **Finished** on the bottom left of your screen.

After review, PG&E will get back to you regarding whether the files meet compliance standards.

Frequently Asked Questions - Using the Enterprise Secure File Transfer Upload Process

Q: What browsers does PG&E's ESFT support?

A: If you have trouble gaining access or a technical issue, contact the ESFT Support Team (see below).

Software Type	Supported Software Versions
Web Browser	<ul style="list-style-type: none">• Firefox on Linux, Windows XP, Vista, & Windows 7• Internet Explorer 7, 8, 9, 10, 11 on Windows XP, Vista, & Windows 7 <p>* IE Chrome is not supported by Axway in any capacity</p> <p>Axway SecureClient also supported for HTTPS transfers</p>
FTP and HTTP Clients	<ul style="list-style-type: none">• cURL 7.19 (HTTPS only)• CuteFTP Professional 8.3.2• FDX 4.5.2• Igloo FTP Professional 3.9• SmartFTP Client 3.0• SecureTransport 4.9 Rich Internet Client• SecureTransport Windows Client 4.2• SecureTransport Windows Client 4.5 <p>WinSCP 4.1.9 or later versions</p>

SSH Clients	<ul style="list-style-type: none"> • FDX 4.5.2 • FileZilla 3.0.0 or later versions • PuTTY SecureFile Transfer 0.60 • SCP and SFTP (shipped with Solaris 10) <p>WinSCP 4.1.9 or later versions; for instructions on how to install and configure the WinSCP SSH Client, go to the WinSCP website and follow the prompts to download and install</p>
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Q: How do I retrieve my password if I forget it?

A: Go to the <https://esft.pge.com>. Click on the 'Forgot your Password' and enter your email address, then click submit. You will receive an email for password reset instructions. After clicking on the link in the mail, you will get a new password in a separate email.

Q: If I end my contract with PG&E or need to break the contract, how do I alert PG&E to disable my ESFT access?

A: Submit an ESFT SMC request to the ESFT Support and include your external ID to be disabled on the system. NOTE: ESFT policy is to disable active accounts from the system when they are no longer required [within what period]. Go to this URL to update your status: <http://www.tsconline/forms/EntIntMiddleware/ESFTSupport.aspx>.

Once your vendor account has been disabled, the ESFT Admin Team will verify this step has been completed and send an email.

Q: Where can I get ESFT Support?

A: For general ESFT questions or support, contact the ESFT team.

- Send email: IESFTAdministrators@exchange.pge.com.
- Submit a request: <http://www.tsconline/forms/EntIntMiddleware/ESFTSupport.aspx>
- Call the ESFT Support hotline:
 - Primary On-Call **(925) 415-6572**
 - Secondary On-Call **(925) 415-2627**

Q: Where can I get PRA or Attestation Form Process Support?

A: Contact the HR Solutions Center (HRSC)

- Send email: HumanResources@pge.com
- Call HRSC: 415-973-HELP or 415-973-4357 (M-F, 8-12 and 12:30-5 Pacific)

Q: Where can I get Support for Contractual Issues?

A: Contact your PG&E Sourcing representative, or

- Send email: NERCSourcing@pge.com

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3 FAQ'S FOR NERC AND PRAS

Q. What is a NERC Background Check?

A. A Personnel Risk Assessment (PRA), or PRA Background Check, ensures the right level of security is conducted prior to providing access to PG&E's NERC sites, cyber systems and associated assets.

Q: What checks must the PRA Vendor perform?

A: The PRA Vendor confirms the candidate's identity, validates current and past residences for 7 years, and performs a 7-year history records check, including:

- Social Security Number Trace
- Social Security Number Validation
- Social Security Number Verification
- City, State and Federal (Nationwide) Criminal Felony & Misdemeanor Search
- Global Watch (prohibited parties & enforcement)
- Others as required

Q. When does my company need to have signed the updated NERC contract terms (Addendum)?

A. **As soon as possible! As of August 6, 2016**, it became a pre-requisite for onboarding or renewing a non-employee worker in a NERC role.

Q. What if I have existing contractors in NERC roles at PG&E. Do I need to re-do the PRA with the new process for them? Do they have to leave if I haven't yet agreed to the new NERC contract terms?

A. You do not need to re-do the PRA for existing contractors in NERC roles nor will they have to leave PG&E if their Supplier has not yet agreed to the new NERC contract terms. However, if they need to renew they will need to follow the new process and their Supplier will need to agree to the NERC contract terms.

Q. What if I don't agree with the NERC contract terms?

A. All Suppliers who wish to provide non-employees in NERC roles at PG&E will need to agree to the NERC contract terms. If you have a specific contractual question, check with your PG&E Sourcing contact.

Q. How long is the NERC PRA good for?

A. The initial PRA is sufficient for NERC CIP requirements for up to 7 years, although this term will not apply to most NERC contractors. After that, the NERC Background Check expires and must be renewed for continued access to PG&E's NERC sites, cyber systems and associated assets.

Q. What if I am unsure whether the position includes NERC responsibilities?

A. If you are unsure if the Non-Employee's new position or assignment includes NERC responsibilities, confirm with the hiring supervisor.

Q. Is a successful PRA sufficient for NERC access?

A. Personnel in NERC roles must also complete NERC Cyber & Physical Awareness Training (CORP-0804) for physical access to NERC sites and electronic access to NERC systems. This training is available in PG&E's MyLearning portal, except Canus Employees should contact FR@Canus.com to understand their process.

Q. What is ESFT?

A. ESFT, or Enterprise Secure File Transfer, is a secure, managed file transfer solution that simplifies and secures file transfers between external Suppliers and PG&E and is the tool that Suppliers will use to send PRA files to PG&E in a secure manner.

Q: How does a Supplier gain access to ESFT?

A: Once a Supplier signs the updated NERC contract (or Addendum), PG&E will initiate a request that a new ESFT account be set up and the Supplier will receive an email with the new account name, a temporary password, and instructions for registering the new account on the ESFT website. The Supplier should then follow the instructions provided to gain access.

Q: What if my company already has a PG&E ESFT account?

A: All approved Suppliers need to sign the updated PG&E NERC Supplier contract (or Addendum) which sets in motion the process for issuing a new ESFT account. You will need to register the new account before you can submit Non-Employee candidate information.

Q: Who can I contact if I still have questions about this process?

A: Contact NERCSourcing@PGE.com or call Schulmynn Leung or Olivia McBride at 415-973-3678 during regular business hours.

4 TEMPLATE FOR PRA ATTESTATION FORM

April 2016

Exhibit 8A
PG&E NERC CIP PROGRAM
NON-EMPLOYEE ATTESTATION FORM
COMPLETION OF PERSONNEL RISK ASSESSMENT (PRA) PROCESS

Please initial next to each line item below to verify that the following Non-Employee has received satisfactory results for each of the required background checks.

Non-Employee Name: _____

Vendor Name: _____

Requisition and/or PO #: _____

Date NERC Background Check Completed: _____

Background Investigation – Completed and Passed the Following (Includes International Components When Applicable) *Initial next to each:*

_____ Criminal Felony / Misdemeanor Search – Past 7 years, all names, all counties off the social trace (incl. past 7 years residency check)

_____ Federal Criminal Search – Past 7 years, all names off the social trace

_____ Prohibited Parties

_____ SSN Trace

_____ SSN Validation

_____ Statewide Criminal Search

By completing and signing this form, Vendor confirms that the background investigation has been executed and satisfactory results received according to PG&E NERC CIP Program specifications for the above stated Non-Employee. All supporting documents must be kept on file with Vendor for a minimum of 7 years following the end of the Vendor's last non-employee's assignment at PG&E. Random audits of supporting documents may be conducted by PG&E or its designee, consistent with its right under the PG&E/Vendor contract, to ensure compliance with the requirements designated in the certification and contract.

☐ I certify that I am authorized to sign on behalf of the aforementioned Vendor.

Vendor Representative Signature: _____

Vendor Representative Name: _____

Date Signed: _____

If you have any questions and need additional details regarding this process, please contact the Human Resources Department at nercaccess@pge.com.