

Minutes

Compliance Committee

May 10, 2017 | 9:45 a.m. Central

The Ritz-Carlton, St. Louis
100 Carondelet Plaza
St. Louis, MO 63105

Janice B. Case, Chair, called to order the duly noticed meeting of the Board of Trustees Compliance Committee (the Committee) of the North American Electric Reliability Corporation (NERC) on May 10, 2017, at approximately 9:45 a.m. Central, and a quorum was declared present.

Present at the meeting were:

Committee Members

Janice B. Case, Chair
Frederick W. Gorbet
David Goulding
Jan Schori
Roy Thilly

Board of Trustees Members

Gerry W. Cauley, President and Chief Executive Officer
Robert G. Clarke
Kenneth W. DeFontes, Jr.
George S. Hawkins
Deborah S. Parker
Kenneth G. Peterson

NERC Staff

Charles A. Berardesco, Senior Vice President, General Counsel, and Corporate Secretary
Tina Buzzard, Associate Director to Office of the Chief Executive Officer
Andrea Koch, Senior Director of Reliability Assurance
Ken McIntyre, Vice President and Director of Standards and Compliance
Sonia Mendonca, Vice President, Deputy General Counsel, and Director of Enforcement

Introduction and Chair's Remarks

Ms. Case reported on the March 23 and May, 9 2017, Executive Sessions. She highlighted the Committee's approval of several Notices of Penalty in the March meeting and an update from NERC staff on ERO Enterprise penalty alignment efforts in the May meeting.

NERC Antitrust Compliance Guidelines

Ms. Case directed the participants' attention to the NERC Antitrust Compliance Guidelines.

Minutes

Upon motion duly made and seconded, the Committee approved the February 8, 2017, meeting minutes as presented at the meeting.

Follow-up Regarding Action Items from Prior Meeting

Ms. Case described a framework to address ERO Enterprise consistency issues in a structured manner. She noted that Ms. Mendonca would provide an update on ERO Enterprise consistency efforts at the Committee's Open meeting in August.

Compliance Monitoring and Enforcement Program (CMEP) Quarterly Report

Ms. Mendonca and Ms. Koch discussed highlights regarding first quarter CMEP activities. Ms. Mendonca updated the Committee on the progress of various enforcement metrics. She noted that mitigation is complete for over 99% of violations discovered prior to 2014. She also discussed NERC staff's continued oversight of the self-logging, find, fix, track, and report, and compliance exception programs through process reviews.

Ms. Koch reported that the Regional Entities completed Inherent Risk Assessments for all remaining Reliability Coordinator, Balancing Authority, and Transmission Operator registered entities.

Ms. Koch also updated the Committee on various NERC compliance activities. She noted the Compliance and Certification Committee approved the Nuclear Energy Institute application to become a pre-qualified organization for the purpose of vetting and proposing industry developed Implementation Guidance.

Adjournment

There being no further business, and upon motion duly made and seconded, the meeting was adjourned.

Submitted by,



Charles A. Berardesco
Corporate Secretary

Agenda Compliance Committee

May 10, 2017 | 9:45 a.m. – 10:45 a.m. Central

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100 Carondelet Plaza
St. Louis, MO 63105

Room Name: Ritz-Carlton Ballroom (Lobby Level)

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines

Agenda Items

- 1. Minutes* – Approve**
 - a. February 8, 2017, Meeting
- 2. Follow-up Regarding Action Items from Prior Meeting – Discussion**
 - a. ERO Enterprise Consistency Efforts*
- 3. Compliance Monitoring and Enforcement Program Quarterly Report* – Update**
- 4. Adjournment**

*Background materials included.