

# Agenda

## Standards Committee Process Subcommittee

## Conference Call

February 3, 2020 | 3:00 – 4:00 p.m. Eastern

Dial-in: 1-415-655-0002 | Access Code: 739 109 209 | Password: 020320

Click here for [WebEx Access](#)

### Introduction and Chair's Remarks

**NERC Antitrust Compliance Guidelines and Public Announcement\***  
**NERC Participant Conduct Policy**

### Agenda Items

- 1. Review Meeting Agenda — Approve**
- 2. Review Roster\* — Approve**
- 3. Chair and Vice Chair Nomination(s)\* — Discuss**
- 4. Standards Resource Document\* — Discuss**
- 5. New Project - Review of Standards Committee Guideline “Drafting Team Nominee Selection Criteria”**
  - a. Select team
  - b. Develop scope and deliverables
- 6. Review of Actions/Assignments**
- 7. Future Meetings**
  - a. Meetings in coordination with Standards Committee:
    - i. March 17, 2020: Atlanta, GA
    - ii. June 16, 2020: Denver, CO
    - iii. September 23, 2020: Salt Lake City, UT (Joint with CCC)
    - iv. December 8, 2020: Atlanta, GA
- 8. Adjourn**

\*Background materials included.

# NERC Antitrust Compliance Guidelines

## I. General

It is NERC's policy and practice to obey the antitrust laws and to avoid all conduct that unreasonably restrains competition. This policy requires the avoidance of any conduct that violates, or that might appear to violate, the antitrust laws. Among other things, the antitrust laws forbid any agreement between or among competitors regarding prices, availability of service, product design, terms of sale, division of markets, allocation of customers or any other activity that unreasonably restrains competition.

It is the responsibility of every NERC participant and employee who may in any way affect NERC's compliance with the antitrust laws to carry out this commitment.

Antitrust laws are complex and subject to court interpretation that can vary over time and from one court to another. The purpose of these guidelines is to alert NERC participants and employees to potential antitrust problems and to set forth policies to be followed with respect to activities that may involve antitrust considerations. In some instances, the NERC policy contained in these guidelines is stricter than the applicable antitrust laws. Any NERC participant or employee who is uncertain about the legal ramifications of a particular course of conduct or who has doubts or concerns about whether NERC's antitrust compliance policy is implicated in any situation should consult NERC's General Counsel immediately.

## II. Prohibited Activities

Participants in NERC activities (including those of its committees and subgroups) should refrain from the following when acting in their capacity as participants in NERC activities (e.g., at NERC meetings, conference calls and in informal discussions):

- Discussions involving pricing information, especially margin (profit) and internal cost information and participants' expectations as to their future prices or internal costs.
- Discussions of a participant's marketing strategies.
- Discussions regarding how customers and geographical areas are to be divided among competitors.
- Discussions concerning the exclusion of competitors from markets.
- Discussions concerning boycotting or group refusals to deal with competitors, vendors or suppliers.
- Any other matters that do not clearly fall within these guidelines should be reviewed with NERC's General Counsel before being discussed.

## III. Activities That Are Permitted

From time to time decisions or actions of NERC (including those of its committees and subgroups) may have a negative impact on particular entities and thus in that sense adversely impact competition. Decisions and actions by NERC (including its committees and subgroups) should only be undertaken for the purpose of promoting and maintaining the reliability and adequacy of the bulk power system. If you do not have a

legitimate purpose consistent with this objective for discussing a matter, please refrain from discussing the matter during NERC meetings and in other NERC-related communications.

You should also ensure that NERC procedures, including those set forth in NERC's Certificate of Incorporation, Bylaws, and Rules of Procedure are followed in conducting NERC business.

In addition, all discussions in NERC meetings and other NERC-related communications should be within the scope of the mandate for or assignment to the particular NERC committee or subgroup, as well as within the scope of the published agenda for the meeting.

No decisions should be made nor any actions taken in NERC activities for the purpose of giving an industry participant or group of participants a competitive advantage over other participants. In particular, decisions with respect to setting, revising, or assessing compliance with NERC reliability standards should not be influenced by anti-competitive motivations.

Subject to the foregoing restrictions, participants in NERC activities may discuss:

- Reliability matters relating to the bulk power system, including operation and planning matters such as establishing or revising reliability standards, special operating procedures, operating transfer capabilities, and plans for new facilities.
- Matters relating to the impact of reliability standards for the bulk power system on electricity markets, and the impact of electricity market operations on the reliability of the bulk power system.
- Proposed filings or other communications with state or federal regulatory authorities or other governmental entities.
- Matters relating to the internal governance, management and operation of NERC, such as nominations for vacant committee positions, budgeting and assessments, and employment matters; and procedural matters such as planning and scheduling meetings.

## Public Announcements

REMINDER FOR USE AT BEGINNING OF MEETINGS AND CONFERENCE CALLS THAT HAVE BEEN PUBLICLY NOTICED AND ARE OPEN TO THE PUBLIC

**Conference call version:**

Participants are reminded that this conference call is public. The access number was posted on the NERC website and widely distributed. Speakers on the call should keep in mind that the listening audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

**Face-to-face meeting version:**

Participants are reminded that this meeting is public. Notice of the meeting was posted on the NERC website and widely distributed. Participants should keep in mind that the audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

**For face-to-face meeting, with dial-in capability:**

Participants are reminded that this meeting is public. Notice of the meeting was posted on the NERC website and widely distributed. The notice included the number for dial-in participation. Participants should keep in mind that the audience may include members of the press and representatives of various governmental authorities, in addition to the expected participation by industry stakeholders.

August 10, 2010

# NERC Participant Conduct Policy

## General

Consistent with its Rules of Procedure, Bylaws, and other governing documents, NERC regularly collaborates with its members and other stakeholders to help further its mission to assure the effective and efficient reduction of risks to the reliability and security of the grid. Many NERC members and other bulk power system experts provide time and expertise to NERC, and the general public, by participating in NERC committees, subcommittees, task forces, working groups, and standard drafting teams, among other things. To ensure that NERC activities are conducted in a responsible, timely, and efficient manner, it is essential to maintain a professional and constructive work environment for all participants, including NERC staff; members of NERC committees, subcommittees, task forces, working groups, and standard drafting teams; as well as any observers of these groups. To that end, NERC has adopted the following Participant Conduct Policy (this “Policy”) for all participants engaged in NERC activities. Nothing in this Policy is intended to limit the powers of the NERC Board of Trustees or NERC management as set forth in NERC’s organizational documents, the NERC Rules of Procedure, or under applicable law. This Policy does not apply to the NERC Board of Trustees or the Member Representatives Committee.

## Participant Conduct Policy

All participants in NERC activities must conduct themselves in a professional manner at all times. This Policy includes in-person conduct and any communication, electronic or otherwise, made as a participant in NERC activities. Examples of unprofessional conduct include, but are not limited to, verbal altercations, use of abusive language, personal attacks or derogatory statements made against or directed at another participant, and frequent or patterned interruptions that disrupt the efficient conduct of a meeting or teleconference.

Additionally, participants shall not use NERC activities for commercial purposes or for their own private purposes, including, but not limited to, advertising or promoting a specific product or service, announcements of a personal nature, sharing of files or attachments not directly relevant to the purpose of the NERC activity, and communication of personal views or opinions, unless those views are directly related to the purpose of the NERC activity. Unless authorized by an appropriate NERC officer, individuals participating in NERC activities are not authorized to speak on behalf of NERC or to indicate their views represent the views of NERC, and should provide such a disclaimer if identifying themselves as a participant in a NERC activity to the press, at speaking engagements, or through other public communications.

Finally, participants shall not distribute work product developed during the course of NERC activities if that work product is deemed Confidential Information consistent with the NERC Rules of Procedure Section 1500. Participants also shall not distribute work product developed during the course of NERC activities if distribution is not permitted by NERC or the relevant committee chair or vice chair (e.g., an embargoed report), provided that NERC, or the committee chair or vice chair in consultation with NERC staff, may grant in writing a request by a participant to allow further distribution of the work product to one or more specified entities within its industry sector if deemed to be appropriate. Any participant that distributes

work product labeled “embargoed,” “do not release,” or “confidential” (or other similar labels) without written approval for such further distribution would be in violation of this Policy. Such participants would be subject to restrictions on participation, including permanent removal from participation on a NERC committee or other NERC activity.

## **Reasonable Restrictions on Participation**

If a participant does not comply with this Policy, certain reasonable restrictions on participation in NERC activities may be imposed as described below.

If a NERC staff member, or committee chair or vice chair after consultation with NERC staff, determines, by his or her own observation or by complaint of another participant, that a participant’s behavior is disruptive to the orderly conduct of a meeting in progress or otherwise violates this Policy, the NERC staff member or committee chair or vice chair may remove the participant from a meeting. Removal by the NERC staff member or committee chair or vice chair is limited solely to the meeting in progress and does not extend to any future meeting. Before a participant may be asked to leave the meeting, the NERC staff member or committee chair or vice chair must first remind the participant of the obligation to conduct himself or herself in accordance with this Policy and provide an opportunity for the participant to comply. If a participant is requested to leave a meeting by a NERC staff member or committee chair or vice chair, the participant must cooperate fully with the request.

Similarly, if a NERC staff member, or committee chair or vice chair after consultation with NERC staff, determines, by his or her own observation or by complaint of another participant, that a participant’s behavior is disruptive to the orderly conduct of a teleconference in progress or otherwise violates this Policy, the NERC staff member or committee chair or vice chair may request the participant to leave the teleconference. Removal by the NERC staff member or committee chair or vice chair is limited solely to the teleconference in progress and does not extend to any future teleconference. Before a participant may be asked to leave the teleconference, the NERC staff member or committee chair or vice chair must first remind the participant of the obligation to conduct himself or herself in accordance with this Policy and provide an opportunity for the participant to comply. If a participant is requested to leave a teleconference by a NERC staff member or committee chair or vice chair, the participant must cooperate fully with the request. Alternatively, the NERC staff member or committee chair or vice chair may choose to terminate the teleconference.

At any time, a NERC officer, after consultation with NERC’s General Counsel, may impose a restriction on a participant from one or more future meetings or teleconferences, a restriction on the use of any NERC-administered listserv or other communication list, or such other restriction as may be reasonably necessary to maintain the orderly conduct of NERC activities. Before approving any such restriction, the NERC General Counsel must provide notice to the affected participant and an opportunity to submit a written objection to the proposed restriction no fewer than seven days from the date on which notice is provided. If approved, the restriction is binding on the participant, and NERC will notify the organization employing or contracting with the restricted participant. A restricted participant may request removal of the restriction by submitting a request in writing to the NERC General Counsel. The restriction will be removed at the reasonable discretion of the NERC General Counsel or a designee.

Upon the authorization of the NERC General Counsel, NERC may require any participant in any NERC activity to execute a written acknowledgement of this Policy and its terms and agree that continued participation in any NERC activity is subject to compliance with this Policy.

## **Guidelines for Use of NERC Email Lists**

NERC provides email lists, or “listservs,” to NERC stakeholder committees, groups, and teams to facilitate sharing information about NERC activities. It is the policy of NERC that all emails sent to NERC listservs be limited to topics that are directly relevant to the listserv group’s assigned scope of work. NERC reserves the right to apply administrative restrictions to any listserv or its participants, without advance notice, to ensure that the resource is used in accordance with this and other NERC policies.

Prohibited activities include using NERC-provided listservs for any price-fixing, division of markets, and/or other anti-competitive behavior. Recipients and participants on NERC listservs may not utilize NERC listservs for their own private purposes. This may include lobbying for or against pending balloted standards, announcements of a personal nature, sharing of files or attachments not directly relevant to the listserv group’s scope of responsibilities, or communication of personal views or opinions, unless those views are provided to advance the work of the listserv’s group. Any offensive, abusive, or obscene language or material shall not be sent across the NERC listservs.

Any participant who has concerns about this Policy may contact NERC’s General Counsel.

<b>Version History</b>		
<b>Version</b>	<b>Date</b>	<b>Revisions</b>
1	February 6, 2019	Initial version
2	February 22, 2019	Clarified policy does not apply to Board or MRC  Address participants speaking on behalf of NERC



# Standards Committee Process Subcommittee (SCPS) Roster

January 2020

Term	Participant	Entity
2018–19	Sean Bodkin (Chair)	Dominion Resources Services, Inc.
2020-21	Matt Carden	Southern Company
2020-21	Kent Feliks	American Electric Power (AEP)
2018–19	Daniela Hammons	CenterPoint Energy Houston Electric, LLC
2018–19	Matt Harward	Southwest Power Pool, Inc. (SPP)
2018–19	Jill Loewer	Utility Services, Inc.
2018–19	Paul Malozewski	Hydro One
2019-20	Linn Oelker	LG&E and KU
2019-20	Steve Rueckert	Western Electricity Coordinating Council (WECC)
N/A	Al McMeekin (NERC Staff)	NERC
N/A	Lauren Perotti (NERC Legal Advisor)	NERC



Version	Date	Description
1.0	02/13/14	Initial Posting.
2.0	05/19/14	Added B. Buckley, R. Crissman, B. Hampton, L. Jones, and E. Skiba. Removed B. Walker (NERC).
3.0	06/03/14	Added terms.
4.0	09/16/14	Replaced E. Chanzes (NERC) with K. Street (NERC). Replaced S. Tyrewalla (NERC) with W. Edwards (NERC).
5.0	02/04/15	Removed G. Zito, B. Hampton, and R. Rhodes.
6.0	03/25/15	Replaced W. Edwards (NERC) with A. Wills (NERC). Removed M. Benson (NERC).
7.0	04/30/15	Added J. Bussman, J. Flandermeyer, and J. Smith.
8.0	01/07/16	Replaced K. Street (NERC) with S. Crutchfield (NERC). Removed L. Lee, L. Jones, K. Porterfield, and J. Tarantino. Identified P. Heidrich as Chair and B. Li as Vice Chair.
9.0	08/09/16	Replaced S. Crutchfield (NERC) with M. Bunch (NERC). Replaced A. Wills (NERC) with L. Perotti (NERC). Added C. Gowder, J. Hagen, S. Bodkin, R. Shu, and R. Sporseen.
10.0	03/31/17	Replaced M. Bunch (NERC) with L. Harkness (NERC). Removed J. Bussman, R. Crissman, and P. Heidrich. Identified B. Li as Chair.
11.0	1/31/18	Replaced L. Harkness (NERC) with A. McMeekin (NERC). Removed B. Li. Identified S. Bodkin as Chair and J. Flandermeyer as Vice Chair.
12.0	05/10/18	Added M. Bailey, D. Hammons, M. Harward, J. Loewer, and P. Malozewski.
13.0	07/02/18	Removed Ed Skiba.
14.0	11/01/18	Removed Michael Bailey.
15.0	12/11/18	Removed Chris Gowder.
16.0	02/06/19	Removed Ruida Shu.
17.0	05/17/19	Removed John Hagen.
18.0	01/09/20	Removed Jennifer Flandermeyer. Added Kent Feliks and Matt Carden.

# Standards Committee Guideline

## Drafting Team Nominee Selection Criteria

<b>Background:</b>	At its December 2017 Standards Committee (SC) Meeting, SC members sought clarification on who could be nominated to a Drafting Team (DT). In determining its recommendation for DT members, NERC seeks to ensure all DT members provide value-added input, provide unbiased subject matter expertise, and promote the reliability of the Bulk Electric System.
<b>Purpose:</b>	To provide guidelines for individuals to serve on a DT.
<b>Criteria:</b>	<p>Members of a DT may include employees or agents of a NERC registered entity or other individuals with expertise related to reliability matters. For all individuals not directly employed by a Registered Entity which are recommended for appointment to a DT, NERC staff shall ensure one of the following criteria is met:</p> <ol style="list-style-type: none"><li>1. As part of the DT member nomination form, a NERC Registered Entity endorses in writing, the individual's participation on the DT as a subject matter expert<sup>1</sup>; or</li><li>2. The individual is a subject matter expert on the subject of the development activity.</li></ol>
<b>Expectations:</b>	All Drafting Team members are required to adhere to the <i>Standard Processes Manual</i> , <i>Standards Development Process – Participant Conduct Policy</i> <sup>2</sup> , and <i>Standards Drafting Team Scope</i> .

<sup>1</sup>In the event the Registered Entity ends the support/endorsement during the individual's appointment to the drafting team, the individual shall resign from the team.

<sup>2</sup>The *Standards Development Process – Participant Conduct Policy* shall contain the following statement: "Participants shall not use the standards development process for commercial purposes or for their own private purposes, including, but not limited to, advertising or promoting a specific product or service, announcements of a personal nature, sharing of files or attachments not directly relevant to the purpose of the standards development process, and communication of personal views or opinions, unless those views are directly related to the purpose of the standards development process."

## Version History

Version	Date	Owner	Change Tracking
1	March 14, 2018	NERC Standards Committee	N/A

Agenda Item 4  
Standards Committee  
Process Subcommittee  
February 3, 2020

Resources for Standards							
		Today is:	January 20, 2020	Approved by SC December 9, 2015			
DOCUMENT TITLE	DOCUMENT OWNER	Document Last Revised	Age of Document (in Months)	Periodic review frequency (months):	Party responsible for periodic review and proposed updates:	Overdue by (months):	Notes / Comments
Standards Committee Process Subcommittee (SCPS) Scope	SCPS	October 22, 2014	63	60	SCPS	3	
Standards Committee Guideline - Drafting Team Nominee Selection Criteria	STANDARDS COMMITTEE (SC)	March 14, 2018	22	24	SCPS	CURRENT	
Roles and Responsibilities: Standards Drafting Team Activities	STANDARDS COMMITTEE (SC)	June 13, 2018	19	24	SCPS	CURRENT	
Standard Drafting Team Scope	STANDARDS COMMITTEE (SC)	December 6, 2017	26	24	SCPS	2	
Approving the Posting of Supporting Technical Documents Under Section 11 of the Standard Processes Manual	STANDARDS COMMITTEE (SC)	March 1, 2019	11	24	SCPS	CURRENT	
Standards Committee Charter	STANDARDS COMMITTEE (SC)	March 20, 2019	10	24	SCPS	CURRENT	
Reliability Functional Model Function Definitions and Functional Entities	STANDARDS COMMITTEE (SC)	October 23, 2019					10/23/2019 - Endorsed as historic documents by SC, no longer maintained. Removed from Standards Resources page but maintained Functional Model page.
Guidance Document for Management of Remanded Interpretations	STANDARDS COMMITTEE (SC)	September 17, 2019	4	24	SCPS	CURRENT	
Acceptance Criteria of a Reliability Standard [Quality Objectives]	STANDARDS COMMITTEE (SC)	September 17, 2019	4	24	SCPS	CURRENT	
Drafting Team Reference Manual	STANDARDS COMMITTEE (SC)	October 19, 2016	39	24	SCPS	15	12/17/19 - SER and ROP postings are eminent and the SCPS should re-start this review project. AI will add to the next agenda for discussion.
Technical Rationale for Reliability Standards	STANDARDS COMMITTEE (SC)	June 14, 2017	31	24	TBD	7	
Violation Severity Level Guidelines	Standards Staff	NONE		24	Standards Staff		12/13/16 SCPS meeting - For NERC Staff owned items, block out Age and Overdue columns.
Periodic Review Template	Standards Staff	January 17, 2018		24	Standards Staff		
NERC Participant Conduct Policy	Standards Staff	April 9, 2018		24	Standards Staff		
Weighted Segment Voting Examples	Standards Staff	November 4, 2009		24	Standards Staff		
Reliability Principles	Standards Staff	March 18, 2010		24	Standards Staff		
Nomination Form Standard Drafting Team	Standards Staff	January 28, 2014		24	Standards Staff		
Time Horizons	Standards Staff	April 15, 2014		24	Standards Staff		
FERCs Criteria for Approving Reliability Standards from Order 672	Standards Staff	May 16, 2014		24	Standards Staff		
Market Principles	Standards Staff	May 16, 2014		24	Standards Staff		
Ten Benchmarks of an Excellent Reliability Standard	Standards Staff	May 16, 2014		24	Standards Staff		
Violation Risk Factors	Standards Staff	May 16, 2014		24	Standards Staff		
Reliability Standards Suggestions and Comments Form	Standards Staff	June 12, 2014		24	Standards Staff		
Request to Develop a Definition Form	Standards Staff	August 29, 2014		24	Standards Staff		
Results-Based Reliability Standard Development Guidance	Standards Staff	August 29, 2014		24	Standards Staff		
NERC Standards Numbering System	Standards Staff	July 1, 2015		24	Standards Staff		
NERC Standards Numbering System	Standards Staff	July 1, 2015		24	Standards Staff		
Standards Authorization Request Form	Standards Staff	January 18, 2017		24	Standards Staff		
Drafting Team Nomination Form	Standards Staff	March 30, 2017		24	Standards Staff		
Request for Interpretation Form	Standards Staff	June 28, 2017		24	Standards Staff		