Introductions and Chair’s Remarks
Ms. Metro announced changes to the agenda, including adding remarks by Ken McIntyre from NERC and Eric Schmitt from CAISO.

CAISO Welcome
Eric Schmitt, VP of Operations CAISO, provided welcome remarks.

Remarks NERC Board Member – Jan Schori
Ms. Schori provided opening remarks on the focus of the CCC with the changing landscape of the energy industry.

NERC Antitrust Compliance Guidelines and Public Announcement
Ms. Metro reminded participants that the NERC Antitrust Guidelines apply and that the meeting was publicly announced.

Discussion Items
1. Administrative – Secretary and Patti Metro
   a. Compliance and Certification Committee (CCC) Roster

   The attendance sheet is appended to the minutes. The following individuals served as proxies for the listed CCC members:

   Kristie Cocco for Ben Engelby
   James Crawford for Barb Kedrowski

   Quorum was achieved with over two-thirds of voting members present.

2. Committee Business
   a. Consent Agenda

   Mr. Terrill moved to approve the consent agenda items i and ii below, and Ms. Mitchell seconded. The CCC approved the consent agenda with no objections or abstentions. There was no discussion.

   i. Meeting Agenda (Approve)
   ii. Draft CCC March 2016 Meeting Minutes – (Approve) Patti Metro
b. Review of CCC Action Items and Work Plan Status – Jennifer Flandermeyer

Ms. Flandermeyer reviewed the status of CCC action items and work plan projects. Ms. Metro noted that hearing training will be provided at a future meeting and that members do not need to take the training again if they have taken it in the past. There will be a separate registration link from the regular CCC meeting for hearing training.

c. NERC Board Enterprise-wide Risk Committee Report – Patti Metro

Ms. Metro reported that the Enterprise-wide Risk Committee (EWRC) meeting did not have a lot of action items and provided mostly updates on the NERC Compliance Monitoring and Enforcement Program (CMEP) and Organization and Registration Program (ORCP) audit and NERC self-certifications for Standards Applicable to NERC and the Standard Processes Manual.

d. NERC Board and MRC Update from May 2016 Meetings (Information only)* – Jennifer Flandermeyer

Ms. Flandermeyer noted the meeting attendees received the NERC Board and MRC Update report via email and that it would be included in the final package. She added that Tom Coleman from NERC presented on the Clean Power Plan and Essential Reliability Services and CCC members should be aware of these activities. She reported that there was discussion about the compliance working group that reports to the CIP Committee and the appropriate structure within the ERO Enterprise for that group.

e. Independent Audits

i. Status Update on Independent Audit for NERC CMEP and ORCP – Matt Gibbons

Mr. Gibbons presented on the status of the CMEP and ORCP audit since the last CCC meeting. Ms. Metro stated that the audit report would likely be transmitted to the EWRC by its August meeting but will not be publicly posted until all mitigation is complete. Ms. Metro commented that future audits of NERC will continue to focus on a more risk-based approach. Ms. Metro asked that CCC members let her know if they would like to be involved as observers in the next audit, which will be on the Standard Processes Manual, by the next meeting in September.

f. Compliance Guidance Update* – Matt Goldberg, Patti Metro, and Marisa Hecht

Mr. Goldberg, Ms. Metro, and Ms. Hecht presented on the status of implementation of the Compliance Guidance Policy. Mr. Goldberg noted that there have been some reviews of Reliability Standard Audit Worksheets (RSAWs) as part of this project. There was discussion that RSAWs provide a valuable tool for auditors and industry but are not necessarily implementation guidance. Ms. Metro noted she would take the content of this discussion back to the Board to request more clarity on the task to review RSAWs and measures. In addition, the 2017 CCC Work Plan will include a periodic review of Implementation Guidance by industry to ensure that the guidance stays current and is presented in an organized manner.
3. **Reliability Issues Steering Committee (RISC) Update—Terry Bilke**

   Mr. Bilke was not present. Therefore, Ms. Metro provided the RISC update. She reported that the RISC moved its leadership summit to March 2017. In addition, the RISC is performing its annual review and update of the risk profiles.

4. **Subcommittee Updates**

   a. Nominating Subcommittee—**Helen Nalley**

      Ms. Nalley reported that members up for reappointment were confirmed by the Board. She further reported that she received an application for a new member to fill the U.S. State segment position that will need to go to the Board for approval. Finally, she noted that there will be a nomination solicitation period to fill the vacancies in the Transmission Dependent Utility, Canada Federal, Canada Provincial, and U.S. Federal positions.

   b. ERO Monitoring Subcommittee (EROMS)—**Ted Hobson**

      i. Stakeholder Perception Survey and Next Steps

         Mr. Hobson reported that the survey closed on June 8, and EROMS is waiting to perform analysis on the results. He noted that the goal is to complete the report by the September CCC meeting. The CCC discussed if analyzing the survey data gathered from the primary compliance contact (PCC) alone was reflective of all responses as some companies consolidated answers through a single recipient that may not have been the PCC. EROMS will discuss and respond with a path forward.

      ii. 2015 Self-certifications of Standards Applicable to NERC (SAN) and Standard Processes Manual (SPM)

         Mr. Hobson noted that NERC completed its self-certifications for 2015 and that the SAN self-certification will go away in the future as there are no more SAN. The 2017 CCC Work Plan will need to include how SAN references will be removed from CCC procedural documents. He reported that the SPM self-certification included one remediation. EROMS will prepare a letter on self-certifications to submit to the Board.

   c. Compliance Processes and Procedures Subcommittee (CPPS)—**Matt Goldberg**

      i. CCCPP-010 Revision Update

         Mr. Goldberg reported that the CPPS is streamlining the criteria and revisiting criteria regarding the Coordinated Oversight Program of Multi-Region Registered Entities. He noted that there was excellent involvement by Regional Entity staff to develop the criteria.

      ii. Quality Reviews Update

         Mr. Goldberg reported that the CPPS drafted a list of criteria for NERC and standards drafting teams to consider during quality reviews and that the CPPS would be sending a final draft to NERC personnel in Q3.

   d. Organization Registration and Certification Subcommittee (ORCS)—**Keith Comeaux**
6. NERC Rules of Procedure changes

Mr. Comeaux noted his appreciation for Regional Entity staff presence at ORCS meetings. He reported on the status of the Reserve Sharing Group and Frequency Sharing Group changes in the Rules of Procedure. He stated that the changes would be posted on June 23 and incorporated in October.

ii. Functional Model Advisory Group (FMAG) Proposed Revision Review

Mr. Comeaux reported that the FMAG proposed revisions will be posted for comment. There was discussion on how the functional model is used as a guide for standards development.

5. Focused Member Feedback on the Implementation with Suggested Improvements on Risk-based CMEP* – Patti Metro and Jennifer Flandermeyer

Ms. Metro provided background for the discussion and noted that the intent is to share positive observations and identify opportunities for improvement. Ms. Metro clarified the roundtable background document included in the agenda package was meant to facilitate discussion and was not meant to interpret, conflict with, or alter any ERO Enterprise documents. Ms. Flandermeyer recalled the conversation from the March CCC meeting on how to quantify the benefits of the risk-based CMEP, and she noted that this discussion may inform the work plan. Ms. Nalley and Mr. Goldberg facilitated the discussion.

Ms. Metro then opened up the discussion for CCC members to share their experiences with the IRA process, ICE process, self-logging, and other risk-based CMEP activities, while Ms. Kruppa and other NERC staff captured notes. NERC staff took an action item to capture discussion notes and consolidate the notes into a summary report to be shared and discussed with the CCC executive team, and eventually the CCC.

Ms. Kruppa summarized preliminary takeaways from the discussion as follows:

- Continued outreach on risk-based CMEP;
- More clarification and transparency on Regional Entity processes;
- Consistency in tools and processes; and
- More focus on internal controls and how they fit in risk-based CMEP.

6. NERC Staff Reports Including Status of CCC Work Plan Deliverables

a. Enforcement Update – Ed Kichline and Teri Stasko

i. Hearing Process

Ms. Stasko reported on updates to possible changes to the CMEP hearing procedures. She stated that proposed revisions would allow Regional Entities to opt in to a uniform hearing process at NERC and that the proposed revisions are designed to increase consistency across the ERO Enterprise.

ii. Assessment of penalties, including credits for above and beyond activities and mitigating factors
Mr. Kichline delivered a preview of an upcoming presentation for the NERC Standards & Compliance Workshop in order to receive CCC member feedback.

b. Compliance Monitoring Update – **Adina Krupa**

Ms. Krupa reported on the status of IRA completion, future updates to the IRA Guide, updates to the 2016 CMEP Implementation Plan, and preparations for the development of the 2017 ERO Enterprise CMEP Implementation Plan.

c. Data Retention Action Item Update – Marisa Hecht

Ms. Hecht reported that the recommendations from the CCC on data retention will be discussed with the Standards Committee chair.

d. Future Outreach events Update – **Marisa Hecht**
i. 2016 Industry Outreach

Ms. Hecht reported on the upcoming NERC Standards & Compliance workshop and education on standards recently approved by FERC.

7. Member Round Table – **Patti Metro**

8. 2017 Meeting Dates – **Jennifer Flandermeyer**

The CCC reviewed the proposed meeting dates and locations. Ms. Flandermeyer noted the dates are final but there may be further changes on locations. The CCC selected the following meeting dates and proposed locations:

- **March 15 - 16, 2017**
  - Atlanta, GA
  - Wednesday, 8AM – 5PM and Thursday, 8AM – 12PM

- **May 17 – 18, 2017**
  - Salt Lake City, UT (Hosted by WECC)
  - Wednesday, 8AM – 5PM and Thursday, 8AM – 12PM

- **Week following NERC Board meetings**

- **September 13 – 14, 2017**
  - Atlanta, GA
  - Wednesday, 8AM – 5PM and Thursday, 8AM – 12PM

- **November 29 - 30, 2017**
  - West Palm Beach, FL (Hosted by FPL)
  - Wednesday, 8AM – 5PM and Thursday, 8AM – 12PM

   *Ms. Flandermeyer reviewed action items from the meeting.*

10. **Future Meeting Dates**
    
a. September 14-15, 2016: Little Rock, AR (SPP offices)

b. November 29-30, 2016: Arlington, VA (NRECA offices) with CCC Hearing Training

c. 2017: TBD

11. **Adjourn**

    *The meeting adjourned at approximately 10:30 a.m. Pacific.*
### Compliance and Certification Committee (CCC) Meeting
June 15-16, 2016 | Folsom, CA

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<tr>
<th>Attendee Name</th>
<th>Organization/Sector</th>
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<tbody>
<tr>
<td>Steven Masse</td>
<td>NERC</td>
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<td>Shane Sanders</td>
<td>Cooperative (AERC)</td>
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<td>Caroline Adams</td>
<td>HC/IT/Canadian Pec.</td>
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<td>Gregory Cameron</td>
<td>MHISO / ISO/RTS</td>
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<td>Matt Goldberge</td>
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<td>Helen Kelley</td>
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<td>Jared Henders</td>
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<td>Tom Allman</td>
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<td>Scott Tomasevsky</td>
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<td>M. Curtis Cross</td>
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<td>Jim Williams</td>
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<td>Jennifer Finnemeyer</td>
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<td>Patti Metre</td>
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<td>Stanley L. Kopman</td>
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<td>Vicki O'Leary</td>
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<td>Lisa Mihanek</td>
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<td>Keith Coomput</td>
<td>NRG Energy, Inc / ORC</td>
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<td>James C. Crawford</td>
<td>BMG (Proxy / TOU / ERC - Reg., BC Hydro)</td>
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<td>Patricia Robertson</td>
<td>PPL (NEXTRA) / Market Generators</td>
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<td>Silva Mitchell</td>
<td>Luminent - Large End / the Customer</td>
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<td>Rick Terrill</td>
<td>AZ Public Service Purn. / ABM, EPB</td>
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<td>Kristie Cocco</td>
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<td>Martha Hensen</td>
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RELIABILITY | ACCOUNTABILITY