

Agenda

Reliability Issues Steering Committee

September 20, 2018 | 2:00–3:00 p.m. Eastern

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Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines*

Agenda Items

1. **July 17, 2018 Meeting Minutes* – Approve**
2. **RISC Resilience Report* – Approve and Recommend to Board of Trustees for Approval**
3. **Future Meetings – Review**
 - a. October 5, 2018 – 2019 Reliability Leadership Summit Draft Agenda – **Update**
 - b. Confirm timing for next call – November/December?

*Background materials included.

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.

Draft Minutes

Reliability Issues Steering Committee

July 17, 2018 | 3:00–4:00 p.m. Eastern

Tina Buzzard took attendance and a quorum of the Reliability Issues Steering Committee (RISC) members was reached. Members on the phone were: Chair Peter Brandien, Mark Ahlstrom, Jeffrey Cook, David Osburn, Nelson Peeler, Woody Rickerson, Mark Rothleder, Brian Allen Slocum, Carol Chinn, Katherine Prewitt, Herb Schrayshuen, Patti Metro, and Chuck Abell. NERC staff attendees included Mark Lauby, Mike Walker, Bill Lawrence, Kristin Iwanechko, and Tina Buzzard.

Introduction and Chair's Remarks

Chair Brandien welcomed RISC members and observers and reviewed the agenda.

NERC Antitrust Compliance Guidelines

Ms. Buzzard called attention to the NERC antitrust guidelines in the agenda package.

Agenda Items

June 14 and April 9, 2018 Meeting Minutes

The June 14 and April 9, 2018 meeting minutes were approved as presented in the advance materials.

RISC Resilience Report Draft Outline

Chair Brandien and Mr. Lauby presented the RISC Resilience Report draft outline and requested input from the Committee members. RISC members provided suggestions and offered additional items for consideration, but overall felt the outline was strong and approved moving forward in producing the full report. Chair Brandien reviewed the schedule noting the distribution date of the draft report, the due date for comments, and proposed dates for the next call of the Committee.

2019 Reliability Leadership Summit Suggested Topics/Speakers/Panel Volunteers

Chair Brandien and Mr. Lauby reviewed the draft 2019 Reliability Leadership Summit agenda and submitted recommendations thus far on panel descriptions, panelists, and moderators and opened to the Committee for further input. Members agreed a stand-alone panel on resilience is not needed that resilience will naturally come out in the discussions through the current panel topics. At the conclusion of the discussion, Chair Brandien asked the members to further review the draft agenda and provide additional thoughts on panel descriptions, speakers, and willingness to moderate a panel to the RISC distribution list (risc@nerc.com).

FERC Technical Conference Comments

Chair Brandien and Mr. Lauby presented an overview of their remarks for the July 31 FERC Technical Conference.

Measuring Emerging Risks

Mr. Lauby reviewed the proposed survey included in the advance materials as a way to address concerns raised regarding the RISC's heat map to measure emerging risks. Ms. Chinn asked regarding a timeline for the survey and Mr. Lauby stated that at this time he is seeking input on the recommendation and if the Committee is interested, NERC staff will move forward with structuring a more formal timeline. In addition, Mr. Lauby noted that Chair Brandien will present a high level overview of the proposed survey at the August 2018 Member Representatives Committee meeting in Calgary.

Future Meeting Dates

Ms. Buzzard revisited the proposed dates for the next call of the Committee and requested the members send her an email with their availability.

Adjournment

The meeting concluded at 4:00 p.m. Eastern.