

# 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

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#### 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<br><br>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.<br>Removed B. Walker (NERC).  |
| 3.0     | 06/03/14 | Added terms.   |
| 4.0     | 09/16/14 | Replaced E. Chanzas (NERC) with K. Street (NERC).<br>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).<br>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).<br>Removed L. Lee, L. Jones, K. Porterfield, and J. Tarantino.<br>Identified P. Heidrich as Chair and B. Li as Vice Chair. |
| 9.0     | 08/09/16 | Replaced S. Crutchfield (NERC) with M. Bunch (NERC).<br>Replaced A. Wills (NERC) with L. Perotti (NERC).<br>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).<br>Removed J. Bussman, R. Crissman, and P. Heidrich.<br>Identified B. Li as Chair.   |
| 11.0    | 1/31/18  | Replaced L. Harkness (NERC) with A. McMeekin (NERC).<br>Removed B. Li.<br>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.<br>Added Kent Feliks and Matt Carden.   |

# Standards Committee Guideline

## Drafting Team Nominee Selection Criteria

- Background:** 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.
- Purpose:** To provide guidelines for individuals to serve on a DT.
- Criteria:** 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:
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
  2. The individual is a subject matter expert on the subject of the development activity.
- Expectations:** All Drafting Team members are required to adhere to the *Standard Processes Manual, Standards Development Process – Participant Conduct Policy<sup>2</sup>, and Standards Drafting Team Scope.*

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<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   |                      |  |