

Agenda

Compliance Committee Meeting

May 10, 2023 | 9:00-9:45 a.m. Eastern
Hybrid Meeting

In-Person (*Board, MRC, NERC Staff ONLY*)

NERC DC Office
1401 H Street NW, Suite 410
Washington, DC 20005

Virtual Attendees

Webinar Link: [Join Meeting](#)
Password: AttendeesMay2023 (28836333 from phones and video systems)

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines*

Agenda Items

1. **Minutes* – Approve**
 - a. February 15, 2023 Meeting
2. **Report on Cold Weather Small Group Advisory Sessions* – Update**
3. **Other Matters and Adjournment**

*Background materials included.

DRAFT Open Meeting Minutes Compliance Committee

February 15, 2023 | 9:00-9:45 a.m. Mountain

Mr. Robin E. Manning, Chair, called to order the duly noticed meeting of the Board of Trustees Compliance Committee (CC or Committee) of the North American Electric Reliability Corporation (NERC) on February 15, 2023, at approximately 9:00 a.m. Eastern Time, and a quorum was declared present.

Present at the meeting were:

Committee Members

Robin E. Manning, Chair
Jane Allen
George S. Hawkins
Susan Kelly
Roy Thilly
Kenneth W. DeFontes, Jr., ex officio

Board of Trustees Members

Larry Irving
Jim Piro

NERC Staff

Tina Buzzard, Assistant Corporate Secretary
Manny Cancel, Senior Vice President and CEO of the E-ISAC
Howard Gugel, Vice President, Engineering and Standards
Kelly Hanson, Senior Vice President, Chief Administrative Officer
Stan Hoptroff, Vice President, Business Technology
Dee Humphries, Director, Project Management Office
Nina Jenkins-Johnston, Assistant General Counsel
Kristin Iwanechko, MRC and ERO Enterprise Leadership Secretary
Mark Lauby, Senior Vice President and Chief Engineer
James McGrane, Senior Counsel
Sônia Mendonça, Senior Vice President, General Counsel, and Corporate Secretary
Kristin Miller, Director, Internal Audit
John Moura, Director, Reliability Assessment and Performance Analysis
Lauren Perotti, Assistant General Counsel
Bryan Preston, Vice President, People & Culture
Lonnie Ratliff, Director, Compliance Assurance & Certification
Andy Sharp, Vice President, Chief Financial Officer
Teri Stasko, Assistant General Counsel and Director of Enforcement
Jim Stuart, Associate Director, Registration Services

Introduction and Chair's Remarks

Mr. Manning welcomed the members of the CC to the meeting. Mr. Manning provided a brief summary of the February 14, 2023 Committee closed meeting.

NERC Antitrust Compliance Guidelines

Ms. Buzzard directed the participants' attention to the NERC Antitrust Compliance Guidelines included in the advance agenda package and indicated that all questions regarding antitrust compliance or related matters should be directed to Ms. Mendonça.

Minutes

Upon motion duly made and seconded, the CC approved the November 15, 2022 Open Meeting minutes.

Compliance Monitoring and Enforcement Program (CMEP) and Organization Registration and Certification Program (ORCP) Annual Report

Messrs. Ratliff, Stuart, and McGrane presented the 2022 CMEP and ORCP Annual Report, noting 2022 ORCP and CMEP key accomplishments and 2023 CMEP and ORCP priorities. They also provided information and statistics regarding 2022 CMEP and ORCP activities. NERC staff welcomed feedback on the report structure, contents, and usefulness to industry.

Annual Review of Committee Mandate

Ms. Stasko stated that the Committee is considering potential modifications to its charter that will be done subsequent to this meeting. Therefore, the Committee did not propose any changes during this meeting.

Adjournment

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

Submitted by,



Sônia Mendonça
Corporate Secretary

Report on Cold Weather Small Group Advisory Sessions

Action Update

Summary

In an effort to increase awareness and ensure bulk power system reliability, in March 2023, the ERO Enterprise conducted Cold Weather Small Group Advisory Sessions to discuss cold weather preparedness Standards and possible compliance approaches in an open, non-audit environment. During the course of those discussions, the ERO Enterprise provided guidance on specific approaches for implementing Reliability Standards EOP-011-2, IRO-010-4, and TOP-003-5. In addition, the ERO Enterprise conducted a general session Live Webinar¹ to discuss the cold weather preparedness Standards and possible compliance concerns.

NERC staff will update the Board of Trustees Compliance Committee on the engagements, including lessons learned.

¹<https://www.nerc.com/pa/comp/CAOneStopShop/Cold%20Weather%20Preparedness%20Small%20Group%20Advisory%20Sessions%20-%20General%20Session.pdf>

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Small Group Advisory Sessions

Agenda Item 2

Howard Gugel, Vice President Compliance Assurance and Registration
Compliance Committee Meeting
May 10, 2023

RELIABILITY | RESILIENCE | SECURITY





- Small Group Advisory Session (SGAS) Purpose
- History
 - Supply Chain (CIP-013)
 - Control Center to Control Center Communication (CIP-012)
- Participation
- Lessons Learned

- Increase awareness and ensure bulk power system reliability through discussions on cold weather preparedness Standards
 - EOP-011-2
 - IRO-010-4
 - TOP-003-5
- Open environment, prior to Standard enforcement date
- Develop lessons learned

- 2019 – Supply Chain (CIP-013)
- 2020 – Additional Supply Chain Outreach (CIP-013)
- 2022 – Control Center to Control Center Protections (CIP-012)
- Lessons learned posted for all engagements
- Positive feedback from Regional Entity staff as well as industry

- General Webinar
 - Over 500 industry participants
- Individual Sessions
 - 31 Scheduled
 - 26 Conducted
 - registered entity cancelled as General Webinar answered their questions
- ERO Enterprise Value
 - 24 ERO Enterprise staff participating
 - Discuss upcoming Standards prior to enforcement date
- Lessons Learned – Posting Q2 2023
 - Common registered entity questions
 - Themes
 - ERO Enterprise observations



Questions and Answers