

December 30, 2015

Ms. Kimberly D. Bose
Secretary
Federal Energy Regulatory Commission
888 First Street NE
Washington, DC 20426

**Re: NERC Spreadsheet Notice of Penalty
FERC Docket No. NP16-__-000**

Dear Ms. Bose,

The North American Electric Reliability Corporation (NERC) hereby provides the attached Spreadsheet Notice of Penalty¹ (Spreadsheet NOP) in Attachment A,² in accordance with the Federal Energy Regulatory Commission's (Commission or FERC) rules, regulations, and orders, as well as NERC Rules of Procedure including Appendix 4C (NERC Compliance Monitoring and Enforcement Program (CMEP)).³

The violations at issue in the Spreadsheet NOP are being filed with the Commission because the Regional Entities have respectively entered into settlement agreements with, or have issued Notices of Confirmed Violations (NOCVs) to, the Registered Entities identified in Attachment A and have resolved all outstanding issues arising from preliminary and non-public assessments resulting in the Regional Entities' determination and findings of the enforceable violation of the Reliability Standards identified in Attachment A. Accordingly, all of the violations, identified as NERC Violation Tracking Identification Numbers in Attachment A, are being filed in accordance with the NERC Rules of Procedure and the CMEP.

NERC respectfully requests that the Commission accept this Spreadsheet NOP.

¹ *Rules Concerning Certification of the Electric Reliability Organization; and Procedures for the Establishment, Approval, and Enforcement of Electric Reliability Standards* (Order No. 672), 111 FERC Stats. & Regs. ¶ 31,204 (2006); *Notice of New Docket Prefix "NP" for Notices of Penalty Filed by the North American Electric Reliability Corporation*, Docket No. RM05-30-000 (February 7, 2008). See also 18 C.F.R. Part 39 (2011). *Mandatory Reliability Standards for the Bulk-Power System*, FERC Stats. & Regs. ¶ 31,242 (2007) (Order No. 693), *reh'g denied*, 120 FERC ¶ 61,053 (2007) (Order No. 693-A). See 18 C.F.R. § 39.7(c)(2). See also *Notice of No Further Review and Guidance Order*, 132 FERC ¶ 61,182 (2010).

² Attachment A is an excel spreadsheet.

³ See 18 C.F.R. § 39.7(c)(2).

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Statement of Findings Underlying the Alleged Violations

The descriptions of the violations and related risk assessments are set forth in Attachment A.

This filing contains the basis for approval in accordance with Section 39.7 of the Commission's regulations, 18 C.F.R. § 39.7 (2015). Each Reliability Standard at issue in this Notice of Penalty is set forth in Attachment A.

Status of Mitigation⁴

The mitigation activities are described in Attachment A for each respective violation. Information is also provided regarding the dates of Registered Entity certification and the Regional Entity verification of such completion where applicable.

Statement Describing the Proposed Penalty, Sanction or Enforcement Action Imposed⁵

Basis for Determination

Taking into consideration the Commission's direction in Order No. 693, the NERC Sanction Guidelines and the Commission's July 3, 2008, Guidance Order; the October 26, 2009, Guidance Order; the August 27, 2010, Guidance Order; and the March 15, 2012, Compliance Enforcement Initiative Order,⁶ the violations in the Spreadsheet were approved by NERC Enforcement staff under delegated authority from the NERC Board of Trustees Compliance Committee.

Pursuant to Order No. 693, the penalties will be effective upon expiration of the 30-day period following the filing of this Notice of Penalty with FERC, or, if FERC decides to review any specific penalty, upon final determination by FERC.

⁴ See 18 C.F.R. § 39.7(d)(7).

⁵ See 18 C.F.R. § 39.7(d)(4).

⁶ *North American Electric Reliability Corporation*, "Guidance Order on Reliability Notices of Penalty," 124 FERC ¶ 61,015 (2008); *North American Electric Reliability Corporation*, "Further Guidance Order on Reliability Notices of Penalty," 129 FERC ¶ 61,069 (2009); *North American Electric Reliability Corporation*, 132 FERC ¶ 61,182 (2010); *North American Electric Reliability Corporation*, "Order Accepting with Conditions the Electric Reliability Organization's Petition Requesting Approval of New Enforcement Mechanisms and Requiring Compliance Filing," 138 FERC ¶ 61,193 (2012).

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Attachments to be included as Part of this Spreadsheet Notice of Penalty

The attachments to be included as part of this Spreadsheet Notice of Penalty are the following documents and material:

- a) Spreadsheet Notice of Penalty, included as Attachment A; and
- b) Additions to the service list, included as Attachment B.

Notices and Communications

Notices and communications with respect to this filing may be addressed to the following as well as to the entities included in Attachment B to this Spreadsheet NOP:

Sonia C. Mendonça* Vice President of Enforcement and Deputy General Counsel North American Electric Reliability Corporation 1325 G Street NW Suite 600 Washington, DC 20005 (202) 400-3000 (202) 644-8099 – facsimile sonia.mendonca@nerc.net	Edwin G. Kichline* Senior Counsel and Associate Director, Enforcement North American Electric Reliability Corporation 1325 G Street NW Suite 600 Washington, DC 20005 (202) 400-3000 (202) 644-8099 – facsimile ed.kichline@nerc.net
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*Persons to be included on the Commission’s service list are indicated with an asterisk. NERC requests waiver of the Commission’s rules and regulations to permit the inclusion of more than two people on the service list.

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Conclusion

Accordingly, NERC respectfully requests that the Commission accept this Spreadsheet Notice of Penalty as compliant with its rules, regulations, and orders.

Respectfully submitted,

/s/ Edwin G. Kichline

Edwin G. Kichline
Senior Counsel and Associate Director,
Enforcement
North American Electric Reliability Corporation
1325 G Street NW
Suite 600
Washington, DC 20005
(202) 400-3000
(202) 644-8099 – facsimile
ed.kichline@nerc.net

Sonia C. Mendonça
Vice President of Enforcement and
Deputy General Counsel
North American Electric Reliability Corporation
1325 G Street NW
Suite 600
Washington, DC 20005
(202) 400-3000
(202) 644-8099 – facsimile
sonia.mendonca@nerc.net

cc: Entities listed in Attachment B

Attachment A

**Spreadsheet Notice of Penalty
(Included in a Separate Document)**

Attachment B

Additions to the service list

ATTACHMENT B

**REGIONAL ENTITY SERVICE LIST FOR
DECEMBER 2015 SPREADSHEET NOP FILING**

For FRCC:

Stacy Dochoda
President and Chief Executive Officer
Florida Reliability Coordinating Council, Inc.
3000 Bayport Drive, Suite 600
Tampa, Florida 33607-8411
(813) 207-7960
(813) 289-5646 – facsimile
sdochoda@frcc.com

Linda Campbell
VP and Executive Director Standards & Compliance
Florida Reliability Coordinating Council, Inc.
3000 Bayport Drive, Suite 600
Tampa, Florida 33607-8411
(813) 207-7961
(813) 289-5646 – facsimile
lcampbell@frcc.com

Barry Pagel
Director of Compliance
Florida Reliability Coordinating Council, Inc.
3000 Bayport Drive, Suite 600
Tampa, Florida 33607-8402
(813) 207-7968
(813) 289-5646 – facsimile
bpagel@frcc.com

For MRO:

Daniel P. Skaar
President
Midwest Reliability Organization
380 St. Peter Street, Suite 800
Saint Paul, MN 55102
P: (651) 855-1731
dp.skaar@midwestreliability.org

Sara E. Patrick
Vice President of Regulatory Affairs and Enforcement
Midwest Reliability Organization
380 St. Peter Street, Suite 800
Saint Paul, MN 55102
P: (651) 855-1708
se.patrick@midwestreliability.org

For RF:

Deandra Williams*
Director of Enforcement
ReliabilityFirst Corporation
3 Summit Park Drive, Suite 600
Cleveland, OH 44131
216-503-0689
216-503-9207 facsimile
deandra.williams@rfirst.org

Megan Gambrel*
Senior Counsel – Legal and External Affairs
ReliabilityFirst Corporation
3 Summit Park Drive, Suite 600
Cleveland, OH 44131
216-503-0665
216-503-9207 facsimile
megan.gambrel@rfirst.org

For SERC:

Marisa A. Sifontes
General Counsel
SERC Reliability Corporation
3701 Arco Corporate Drive, Suite 300
Charlotte, NC 28273
(704) 494-7775
(704) 357-7914 – facsimile
msifontes@serc1.org

James M. McGrane
Managing Counsel – Enforcement
SERC Reliability Corporation
3701 Arco Corporate Drive, Suite 300
Charlotte, NC 28273
(704) 494-7787
(704) 357-7914 – facsimile
jmcgrane@serc1.org

Drew R. Slabaugh
Legal Counsel
SERC Reliability Corporation
3701 Arco Corporate Drive, Suite 300
Charlotte, NC 28273
(704) 414-5244
(704) 357-7914 – facsimile
dslabaugh@serc1.org

Gary Taylor
Vice President and Chief Operating Officer
SERC Reliability Corporation
3701 Arco Corporate Drive, Suite 300
Charlotte, NC 28273
(704) 940-8205
(704) 357-7914 – facsimile
gtaylor@serc1.org

FOR SPP:

Mr. Ron Ciesiel
General Manager,
Southwest Power Pool Regional Entity
201 Worthen Drive
Little Rock, AR 72223
Rciesiel.re@spp.org
501-614-3265

Mr. Joe Gertsch
Manager of Enforcement,
Southwest Power Pool Regional Entity
201 Worthen Drive
Little Rock, AR 72223
jgertsch.re@spp.org
501-688-1672

For WECC:

Jim Robb
Chief Executive Officer
Western Electricity Coordinating Council
155 North 400 West, Suite 200
Salt Lake City, UT 84103
(801) 883-6853
(801) 883-6894 – facsimile
jrobb@wecc.biz

Michael Moon
Vice President Entity Oversight
Western Electricity Coordinating Council
155 North 400 West, Suite 200
Salt Lake City, UT 84103
(801) 819-7608
(801) 883-6894 – facsimile
mmoon@wecc.biz

Ruben Arredondo
Senior Legal Counsel
Western Electricity Coordinating Council
155 North 400 West, Suite 200
Salt Lake City, UT 84103
(801) 819-7674
(801) 883-6894 – facsimile
rarredondo@wecc.biz

Heather Laws
Manager of Enforcement
Western Electricity Coordinating Council
155 North 400 West, Suite 200
Salt Lake City, UT 84103
(801) 819-7642
(801) 883-6894 – facsimile
hlaws@wecc.biz