

Minutes

Compliance Committee

November 6, 2018 | 10:00-11:00 a.m. Eastern

Grand Hyatt Atlanta in Buckhead
3300 Peachtree Rd NE
Atlanta, GA 30305

Janice B. Case, Chair, called to order the duly noticed meeting of the Board of Trustees Compliance Committee (BOTCC) of the North American Electric Reliability Corporation (NERC) on November 6, 2018, at approximately 10:00 a.m. Eastern, and a quorum was declared present.

Present at the meeting were:

Committee Members

Janice B. Case, Chair
Robert G. Clarke
Kenneth W. DeFontes, Jr.
Jan Schori
Roy Thilly

Board of Trustees Members

Frederick W. Gorbet
David Goulding
George S. Hawkins
Suzanne Keenan
Robin E. Manning
James B. Robb, President and Chief Executive Officer

NERC Staff

Charles A. Berardesco, Senior Vice President, General Counsel, and Corporate Secretary
Tina Buzzard, Associate Director to Office of the President and Chief Executive Officer
Mark Lauby, Senior Vice President and Chief Reliability Officer
Ken McIntyre, Vice President and Director of Regulatory Programs
Sônia Mendonça, Vice President, Deputy General Counsel, and Director of Enforcement
Steve Noess, Director of Compliance Assurance and Program Oversight
Janet Sena, Senior Vice President and Director of Policy and External Affairs

Introduction and Chair's Remarks

Ms. Case discussed the upcoming Annual Closed meeting, noting that the topics of discussion would include the Electric Reliability Organization (ERO) Enterprise's continued focus on Program Alignment. She also explained that a topic of discussion would include ERO Enterprise-wide concerns regarding registered entity practices and internal controls related to some of the most significant violations of Operations and Planning and Critical Infrastructure Protection Reliability Standards.

NERC Antitrust Compliance Guidelines

Ms. Case directed the participants' attention to the NERC Antitrust Compliance Guidelines.

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Upon motion duly made and seconded, the BOTCC approved the August 15, 2018, meeting minutes as presented.

Policy Input Regarding ERO Enterprise Program Alignment Efforts

Mr. McIntyre updated the BOTCC on policy input regarding ERO Enterprise Program Alignment (Program) efforts. He noted the positive feedback and support regarding the Compliance and Certification Committee's (CCC) role within the Program. Mr. McIntyre discussed policy input concerning enhancements to the Program, including increased Program visibility through outreach efforts and on NERC's website. He also summarized policy input related to the development of a process for stakeholders to obtain information on specific items resolved through the Program and to provide feedback regarding Compliance Monitoring and Enforcement Program (CMEP) practice guides.

2019 CMEP Implementation Plan

Mr. Noess reviewed the purpose of the annual CMEP Implementation Plan (CMEP IP). He discussed the content of the 2019 CMEP IP, noting the identification of specific Risk Elements, areas of focus, and ongoing CMEP activities. Mr. Noess also discussed enhancements to the 2019 CMEP IP Risk Elements approach. He highlighted the focus on discrete issues that can more effectively link to CMEP activities and specific Reliability Standard requirements.

CMEP Quarterly Report

Ms. Mendonça and Mr. McIntyre discussed highlights regarding third quarter CMEP activities. Ms. Mendonça discussed the significant percentage of self-reported noncompliance. She also noted that serious risk violations continue to represent less than five percent of violations.

Mr. McIntyre updated the BOTCC on various NERC compliance activities. He discussed the Implementation Guidance currently underway. Mr. McIntyre noted two requests for participation in the Coordinated Oversight Program for Multi-Region Registered Entities. He also discussed the status of Program Alignment issues, noting 15 completed items and 4 in progress. Mr. McIntyre outlined Program Alignment efforts, including continued outreach in collaboration with the CCC Alignment Working Group at Regional Entity workshops.

Adjournment

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

Submitted by,



Charles A. Berardesco
Corporate Secretary