

Minutes Compliance Committee

February 5, 2020 | 9:15–10:15 a.m. Pacific Time

Westdrift Manhattan Beach, Autograph Collection
1400 Parkview Avenue
Manhattan Beach, CA 90266

Ms. Jan Schori, 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 February 5, 2020, at approximately 9:05 a.m., and a quorum was declared present.

Present at the meeting were:

Committee Members

Jan Schori, Chair
Frederick W. Gorbet
George S. Hawkins
Robin E. Manning
Roy Thilly, *ex officio*

Board of Trustees Members

Janice B. Case
Robert G. Clarke
Kenneth W. DeFontes
Suzanne Keenan
James B. Robb, President and Chief Executive Officer
Colleen Sidford

NERC Staff

Tina Buzzard, Associate Director
Manny Cancel, Senior Vice President and Chief Executive Officer of the E-ISAC
Howard Gugel, Vice President, Engineering and Standards
Stan Hoptroff, Vice President, Business Technology
Ed Kichline, Senior Counsel and Director of Enforcement Oversight
Mark Lauby, Senior Vice President and Chief Engineer
Bill Lawrence, Vice President, ERO Enterprise Security Initiatives
Sônia Mendonça, Senior Vice President, General Counsel, and Corporate Secretary
Steven Noess, Director, Regulatory Programs
Janet Sena, Senior Vice President, External Affairs
Andy Sharp, Vice President and Interim Chief Financial Officer
Mechelle Thomas, Vice President, Compliance

NERC Antitrust Compliance Guidelines

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

Chair's Remarks

Ms. Schori welcomed the BOTCC members and thanked Mr. Gorbet and Ms. Case for their service on the BOTCC.

Minutes

Upon motion duly made and seconded, the BOTCC approved the November 1, 2019 minutes.

Follow-up Regarding Action Items from Prior Meeting

Ms. Schori provided an overview of the BOTCC's actions at the February 4, 2020, Executive Session, noting the addition of Facility Ratings as a focus area in the 2019-2020 Compliance Committee Work Plan. Ms. Schori stated the BOTCC would be composing a panel of subject matter experts for a panel on cloud computing during the May Member Representatives Committee meeting.

Compliance Monitoring and Enforcement Program Annual Report

Mr. Noess and Mr. Kichline presented on enforcement metrics, efforts to support the implementation of Align, coordinated focus on higher risk violations, and violation aging and mitigation completion.

Annual Review of Compliance Committee Mandate

Ms. Mendonça noted that the BOTCC is required to annually review its mandate. Based on the Legal department's review, the BOTCC concurred with the approach.

Adjournment

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

Submitted by,



Sônia Mendonça
Corporate Secretary

Meeting Agenda Compliance Committee

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(Please note the Schedule may be adjusted real-time should meetings conclude early or extend past their scheduled end time.)

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Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines and Public Announcement

Agenda Items

1. **Minutes* – Approve**
 - a. November 1, 2019, Meeting
2. **Follow-up Regarding Action Items from Prior Meeting – Discussion**
3. **Compliance Monitoring and Enforcement Program Annual Report* – Update**
4. **Annual Review of Compliance Committee Mandate* – Information**
5. **Adjournment**

*Background materials included.