

Minutes Compliance Committee

November 4, 2020 | 1:30–2:30 p.m. Eastern

Conference Call

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 November 4, 2020, at approximately 1:30 p.m., and a quorum was declared present.

Present at the meeting were:

Committee Members

Jan Schori, Chair
Jane Allen
George S. Hawkins
Robin E. Manning
Jim Piro
Roy Thilly, *ex officio*

Board of Trustees Members

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

NERC Staff

Tina Buzzard, Assistant Corporate Secretary
Kelly Hanson, Senior Vice President and Chief Administrative Officer
Kiel Lyons, Senior Manager, Compliance Assurance
James McGrane, Senior Counsel
Sônia Mendonça, Senior Vice President, General Counsel, and Corporate Secretary
Steven Noess, Director, Regulatory Programs
Teri Stasko, Assistant General Counsel and Director of Enforcement
Mechelle Thomas, Vice President, Compliance

NERC Antitrust Compliance Guidelines

Ms. Buzzard 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 members of the BOTCC to the meeting.

Minutes

Upon motion duly made and seconded, the BOTCC approved the February 5, 2020 minutes.

Follow-up Regarding Action Items from Prior Meeting

Ms. Schori noted that there were no action items from the February 5, 2020, open meeting.

COVID-19 Lessons Learned

Ms. Stasko and Mr. Noess provided an update on lessons learned amid COVID-19. Ms. Stasko reviewed the March 18, 2020 joint FERC/NERC industry guidance to ensure grid reliability amid potential coronavirus impacts and the extension of the May 28, 2020 ERO Enterprise Guidance temporarily expanding the Self-Logging Program for COVID-19-related noncompliance. Mr. Noess presented on compliance monitoring and certification activities during COVID-19, highlighting enhanced collaboration across the ERO Enterprise and engagement with registered entities.

2021 Compliance Monitoring and Enforcement Program Implementation Plan

Mr. Noess introduced the annual 2021 Compliance Monitoring and Enforcement Program Implementation Plan (CMEP IP), referencing the material provided in the advance agenda package. Mr. Lyons provided an update on the annual 2021 CMEP IP. He discussed changes to make the 2021 CMEP IP more user-friendly and more relevant to registered entities, including efforts to more effectively and efficiently fulfill the timing and risk assessment obligations of the CMEP IP. Mr. Lyons reviewed the 2021 risk elements, noting that they reflect a maturation of the risk-based approach to compliance monitoring. The BOTCC discussed the 2021 risk elements as compared to the 2020 risk elements.

Facility Ratings Activities

Mr. Noess introduced the update on Facility Ratings activities noting their continuation as an area of focus for the ERO Enterprise. Mr. Lyons provided an update on Facility Ratings activities, highlighting the publication of the ERO Enterprise CMEP Practice Guide on June 17, 2020. He discussed risk mitigation activities outside of the CMEP and the ongoing coordination and collaboration with registered entities, Federal Energy Regulatory Commission (FERC), North American Transmission Forum, Regional Entities, and Compliance and Certification Committee (CCC) Facility Ratings Task Force.

Compliance Monitoring and Enforcement Program Quarterly Report

Mr. McGrane presented on third quarter CMEP activities, referencing the material provided in the advance agenda package. He highlighted collaboration with FERC and the CCC Supply Chain Task Force, prioritization of the Critical Infrastructure Protection Reliability Standards, and streamlining dispositions.

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

November 4, 2020 | 12:30-1:30 p.m. Eastern

Conference Call

Panelist WebEx: [Join Meeting](#)

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines

Agenda Items

1. **Minutes* – Approve**
 - a. February 4, 2020, Meeting
2. **Follow-up Regarding Action Items from Prior Meeting – Discussion**
3. **COVID-19 Lessons Learned – Update**
4. **2021 Compliance Monitoring and Enforcement Program Implementation Plan* - Update**
5. **Facility Ratings Activities* – Update**
6. **Compliance Monitoring and Enforcement Program Quarterly Report* - Update**
7. **Adjournment**

*Background materials included.