

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Scope Document

Compliance and Certification Committee ERO
Monitoring Subcommittee

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RELIABILITY | ACCOUNTABILITY



**3353 Peachtree Road NE
Suite 600, North Tower
Atlanta, GA 30326
404-446-2560 | www.nerc.com**

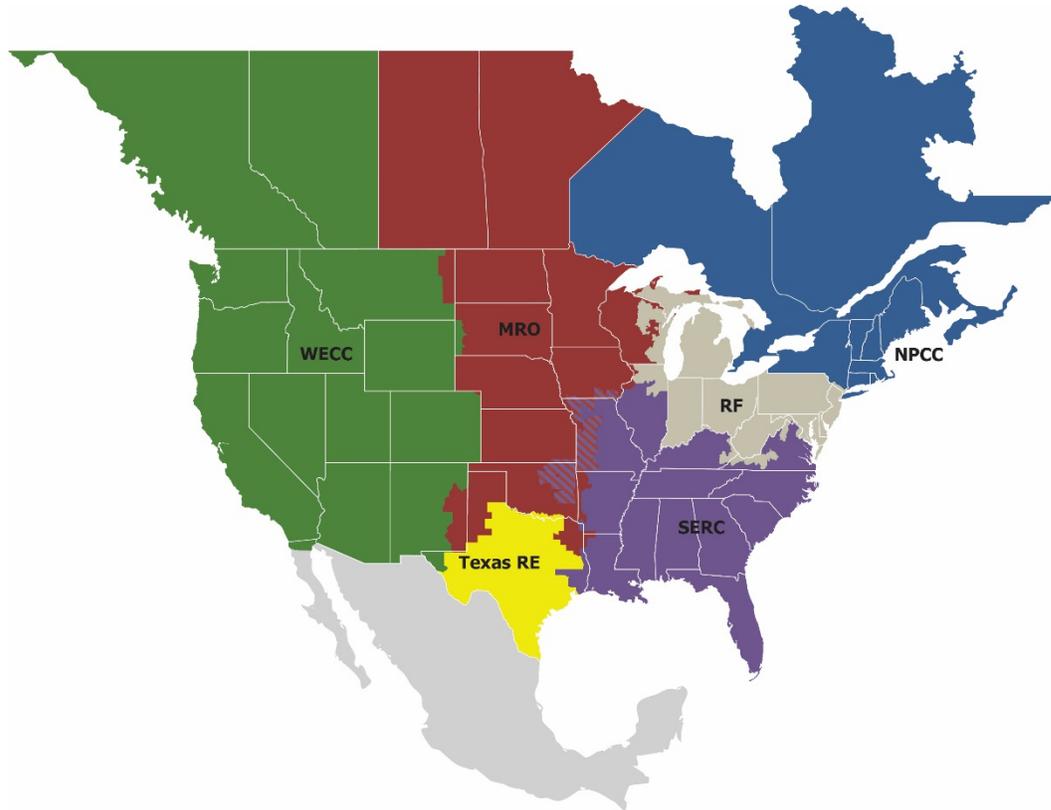
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Preface

The vision for the Electric Reliability Organization (ERO) Enterprise, which is comprised of the North American Electric Reliability Corporation (NERC) and the six Regional Entities (REs), is a highly reliable and secure North American bulk power system (BPS). Our mission is to assure the effective and efficient reduction of risks to the reliability and security of the grid.

The North American BPS is divided into six RE boundaries as shown in the map and corresponding table below. The multicolored area denotes overlap as some load-serving entities participate in one Region while associated Transmission Owners/Operators participate in another.



MRO	Midwest Reliability Organization
NPCC	Northeast Power Coordinating Council
RF	ReliabilityFirst
SERC	SERC Reliability Corporation
Texas RE	Texas Reliability Entity
WECC	Western Electricity Coordinating Council

Executive Summary

The Compliance and Certification Committee (CCC) is a NERC Board-appointed stakeholder committee serving and reporting directly to the NERC Board of Trustees (Board) and is responsible for engaging with, supporting, and advising the NERC Board and NERC regarding all facets of the NERC Compliance Monitoring and Enforcement Program (CMEP), Organization Registration Program (Registration program), and Organization Certification Program (Certification program). The CCC is responsible for establishing and implementing a program as specified in Section 405 of the NERC Rules of Procedure (ROP) to monitor NERC's adherence to ROP for Compliance Enforcement, including but not limited to the uniform Compliance Monitoring and Enforcement Program (Appendix 4C) and the Sanction Guidelines (Appendix 4B).

The Compliance and Certification Committee (CCC) has established the ERO Monitoring Subcommittee to perform the tasks set out in Chapters 1 and 2 on behalf, and under the supervision, of the CCC.

Introduction

The NERC Compliance and Certification Committee (CCC) is a NERC Board-appointed stakeholder committee serving and reporting directly to the NERC Board. Operation and governance of the CCC is as articulated in the CCC Charter.

The ERO Monitoring Subcommittee (EROMS) was formed by the CCC to assist the committee in fulfilling its mission and functions¹ in a thorough and efficient manner. Further details of what the subcommittee will undertake on behalf, and under the supervision, of the CCC are provided in Chapter 1.

¹ See Sections 1 and 2 of the CCC Charter, respectively.

Chapter 1: EROMS Monitoring Subcommittee Tasks and Functions

To fulfill its mission, the CCC has established the **EROMS** to perform the following tasks on behalf, and under the supervision, of the CCC:

- a. Establish and implement programs to monitor NERC's adherence to the ROP regarding the:
 - i. Compliance Monitoring and Enforcement Program (CMEP) as specified in Section 405 of NERC's ROP; and the
 - ii. Reliability Standards development process, as specified in Section 300 of NERC's ROP, with the exception of appeals of substantive or procedural action or inaction associated with a Reliability Standard or the Reliability Standards process as defined in the appeals section of the Reliability Standards Development Procedure.
- b. Establish and implement programs to monitor NERC's compliance with the Reliability Standards that apply to NERC.
- c. Develop and maintain CCC operational procedures with respect to the CCC responsibilities under the CCC Charter, as specified in Attachment A.
- d. As assigned by the CCC, advise and prepare recommendations to the CCC to address any standards related issues relevant to and within the scope of the CCC.
- e. Perform document review to promote consistency between multiple documents (procedures, policies, standards, rules, orders, etc.) that comprise the overall NERC CMEP, and to ensure documents are clear, unambiguous, consistent, and complementary. In the event any documents are found to be unclear, ambiguous or inconsistent, EROMS will advise the CCC and propose changes. Activities may include, but are not limited to:
 - i. Reviews of changes to the ROP related to the CMEP, Registration program, and Certification program.
 - ii. Proposals to change the ROP related to the CMEP, Registration program, and Certification program.
- f. Support the development and implementation of enhancements to the CMEP, and as specified in ROP 402, develop criteria for NERC to use to assess the effectiveness of each Regional CMEP, and make and provide recommendations to the CCC.
- g. Implement CCC support in the development of the RSAWs for new Reliability Standards under development or for revisions to existing Reliability Standards.

The subcommittee will work within its assigned scope and be accountable for the responsibilities and other related tasks assigned to it by the CCC.

Chapter 2: Membership

Goals

The membership of this subcommittee will be established to address the need for expertise and balance of interests to carry out the subcommittees assigned Tasks and Functions as outlined in Chapter 1.

General

General membership requirements for members of a subgroup of the CCC are as articulated in Chapter 5 of the CCC Charter. Additional membership requirements for this subcommittee are as defined within this scope document.

Subgroup Membership and Representation

As outlined in the CCC Charter, subcommittee officers will be appointed by the chair of the CCC.

Membership Not Restricted to CCC Members

Members of this subcommittee are not required to be members of the CCC, but must be eligible to be members of the committee. Any member of the subcommittee who is also a member of the Standards Committee or its subcommittees are required to recuse themselves when voting on any matters resulting from monitoring of NERC's adherence to Section 306 of the ROP.

Resignations

- a. By the Member
In the event a member can no longer serve on the subcommittee, that member will submit a written resignation to the subcommittee Chair or the CCC Secretary.
- b. Requested by the Chair
The Chair may request any subcommittee member who ceases to participate in the subcommittee, as indicated by not attending or sending a proxy for two consecutive meetings, to submit a resignation or to request continuation of membership with an explanation of extenuating circumstances. If a written response is not received within 30 days of the chair's request, the lack of response will be considered a resignation.
- c. Referral to the CCC Chair
The subcommittee chair will refer the vacancy resulting from a resignation to the chair of the CCC who may recommend a replacement pursuant to the CCC Charter.
- d. By the Board
CCC Committee members and, by extension, members of CCC subcommittees serve at the pleasure of the NERC Board which may request resignation of, remove, or replace a member as it deems appropriate.

Proxies

A substitute representative, or proxy, may attend on behalf of a member during all or a portion of a subcommittee meeting, provided the absent member notifies the subcommittee Chair, Vice - Chair, or CCC secretary of the proxy.

- a. Notification
Such notification will be in writing (electronic medium is acceptable). The proxy representatives and their affiliation will be named in the correspondence.
- b. May Not Serve as a Proxy for Another Member
A voting member of a subcommittee may not serve as a proxy for another voting member on the same subcommittee (i.e. a member may not cast more than his or her own vote).

Exclusions

Exclusions shall be as articulated in Chapter 1 of the CCC Charter.

Changes in Member Affiliation

Subcommittee member whose affiliation has changed may remain of the subcommittee by remaining subject to membership requirements and by notifying the Chair of the CCC and the subcommittee Chair of the change and receiving the approval of the Chair of the CCC to remain on the subcommittee.

Acknowledgement of a Membership Conflict

No subcommittee member may have a conflict of interest that would impair his or her ability to fulfill obligations under this scope document. Any subcommittee member who knows of any form of membership conflict, such as working for an entity affiliated with that of another subcommittee member, will notify the subcommittee Chair and the Chair of the CCC within ten business days of obtaining that knowledge.

Chapter 3: Meetings

In the absence of specific provisions in this document or the CCC Charter, all subcommittee meetings will follow Robert's Rules of Order, Newly Revised.

Actions requiring a vote by the members of the subcommittee will be approved upon receipt of the affirmative vote of the majority of the voting members of the subcommittee present and voting, in person or by proxy at any meeting at which five (5) or more members are present.

Antitrust Guidelines

All persons attending or otherwise participating in a NERC committee or subgroup meeting will act in accordance with NERC's Antitrust Compliance Guidelines at all times during the meeting.

Open Meetings

NERC committee meetings will be open to the public, except as noted below under Confidential Sessions.

Confidential Sessions

Meetings where information related to the subcommittee's review of non-public information or results in monitoring of NERC's adherence to Section 306 of NERC's ROP and the compliance program's adherence to NERC's ROP as specified in Section 405 of NERC's ROP will be confidential sessions.

Additionally, with approval of the NERC Director of Regulatory Programs or the head of NERC's internal audit function, a meeting or portion of a meeting of the subcommittee may have attendance limited based on confidentiality of the information to be disclosed at the meeting. Such limitations should be applied sparingly and on a non-discriminatory basis as needed to protect information that is sensitive information or confidential information to one or more parties. Confidential information will only be disclosed as provided by Section 1500 of the NERC ROP. Confidentiality agreements may also be applied, as necessary, to protect sensitive information or confidential information.

Types of Meetings

Meetings may be conducted in person, by conference call, or other means. The procedures contained in this scope document will apply to all meetings regardless of how they are conducted.

Majority and Minority Views

All members of the subcommittee will be afforded the opportunity to provide alternative views on an issue. The results of the subcommittee actions, including recorded minutes, will reflect the majority as well as any minority views of the subcommittee members. The Chair will communicate both the majority and any minority views in presenting results to the CCC.

Actions without a Meeting

Actions without a meeting are permitted in accordance with the provisions of the CCC Charter.

Quorum

A quorum for conducting business is 50 percent of the members listed on the current subcommittee roster. If a quorum is not present, then the subcommittee may not take any actions requiring a vote of the subcommittee. However, the Chair may, with the consent of the members present, allow discussion of agenda items.

Chapter 4: Officers and Staff

General

- a. Number of Positions
The subcommittee will have two Officers and a Secretary.
- b. Officers
The subcommittee Officers will be one Chair and one Vice – Chair.
- c. Secretary
The NERC staff coordinator will serve as the subcommittee’s Secretary.
- d. Officers may vote
The subcommittee Chair and Vice – Chair are voting members of the subcommittee. Officers are named by the CCC Chair for a two-year term. Officers may be reappointed for a second two-year term.

Chair

The Chair will direct and provide general supervision of subcommittee activities, including:

- a. Coordinate the schedule of all subcommittee meetings.
- b. Develop subcommittee agendas and rule on any deviation, addition, or deletion from a published agenda.
- c. Preside at, and manage, subcommittee meetings including the nature and length of discussion, recognition of speakers and proxies, motions, and voting.
- d. Will act as the spokesperson for the subcommittee to the CCC.

The subcommittee chair will serve as a member of the Executive Committee of the CCC as described in the CCC Charter. The subcommittee Chair must be a member of the CCC.

Vice Chair

The Vice - Chair will assume the responsibilities of the Chair under the following conditions:

- a. At the discretion of the Chair (for brief periods of time);
- b. When the Chair is absent or temporarily unable to perform the Chair’s duties; or
- c. When the Chair is permanently unavailable or unable to perform the Chair’s duties. In the case of a permanent change, the Vice - Chair will continue to serve until a new Chair is appointed by the Chair of the CCC.

The Vice - Chair of the subcommittee must be a member of the CCC and may assume the responsibilities of the Chair on the CCC Executive Committee in the absence of the Chair.

Staff Coordinator

A member of NERC staff will be selected by NERC’s Director of Regulatory Programs to serve as the staff coordinator and Secretary of the subcommittee. The staff coordinator is not a subcommittee member and does not have a vote. Under the direction of the subcommittee officers, the Chair of the CCC and applicable NERC Bylaws, guidelines, and ROP, the staff coordinator will:

- a. Manage the day-to-day operation and business of the subcommittee.
- b. Prepare and distribute the notices of the subcommittee meetings, prepare the meeting agenda, and prepare and distribute minutes of the subcommittee meetings.
- c. Act as the subcommittee’s parliamentarian.

Chapter 5: Subordinate Groups

Committee Organization Hierarchy

As allowed in the NERC Bylaws, the CCC organizational structure supports a superior – subordinate hierarchy that is ordered as follows:

- a. Committee
- b. Subcommittee
- c. Working Group
- d. Task Force

Establishing Subgroups

The CCC has established this subcommittee and is responsible for it to the NERC Board. This subcommittee may establish subordinate groups as discussed in the CCC Charter.

Appendix A: CCCPP Responsibilities

It is envisioned that the two CCC subcommittees will be primarily responsible for maintaining the CCCPPs that they administer, as well as the CCC charter itself. The following table shows the delegation of responsibilities by CCC subcommittee.

CCCPP for CCC Monitoring Program	Responsible Subcommittee
CCCPP-001-2 Monitoring Program for NERC's Adherence to NERC's Rules of Procedure for Compliance Enforcement	EROMS
CCCPP-002-2 Compliance Monitoring Program for Reliability Standards Applicable to NERC	EROMS
CCCPP-003-2 Monitoring Program for NERC's Reliability Standards Development Procedure	EROMS
CCCPP-004-2 NERC Compliance and Certification Committee Hearing Procedures	EROMS
CCCPP-005-1 NERC Compliance and Certification Committee Hearing Procedures for use in Appeals of Certification Matters	ORCS
CCCPP-006-2 NERC Compliance and Certification Committee Mediation Procedures	EROMS
CCCPP-007-3 Monitoring Program for NERC's Adherence to NERC's Rules of Procedure for Registration and Certification	ORCS
CCCPP-008-1 Program for Monitoring Stakeholder's Perceptions	EROMS
CCCPP-009-2 Confidentiality Protocol - Compliance and Certification Committee	EROMS
CCCPP-010-5 NERC Compliance and Certification Committee Criteria for Annual Regional Entity Program Evaluation	EROMS
CCCPP-011-1 Procedure to Become a Prequalified Organization Eligible to Submit Implementation Guidance to the ERO	EROMS
CCCPP-012 CCC Participation in NERC's Audits of Regional Entity CMEP Programs in Accordance with Appendix 4A of the NERC Rules of Procedure	EROMS
Compliance and Certification Committee Charter	EROMS

²<http://www.nerc.com/comm/CCC/Pages/Related%20Files.aspx>

Appendix B: Revision History

Date	Version Number	Comments
February 19, 2019	Draft	Drafted and circulated for comment.
June 18, 2019	1.0	Approved by the Compliance and Certification Committee in order to consolidate EROMS and CPPS.