

DRAFT Minutes

Compliance Committee

February 3, 2021 | 12:45–1:45 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 February 3, 2021, at approximately 12:45 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
Howard Gugel, Vice President, Engineering and Standards
Lonnie Ratliff, Senior Manager, Cyber and Physical Security Assurance
Stan Hoptroff, Vice President, Business Technology
Mark Lauby, Senior Vice President and Chief Engineer
Janet Sena, Senior Vice President, External Affairs
Andy Sharp, Vice President and Chief Financial Officer
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. She thanked members of the BOTCC and NERC Staff for their support during her tenure on the Board and highlighted recent BOTCC achievements.

Minutes

Upon motion duly made and seconded, the BOTCC approved the November 4, 2020 minutes.

Follow-up Regarding Action Items from Prior Meeting

Ms. Schori noted that there were no action items from the November 4, 2020, open meeting.

COVID-19 Related Activities

Ms. Stasko and Mr. Noess provided an update on recent COVID-19 related activities. 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.

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 discussed 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. Ms. Stasko presented on the identification and processing of noncompliance in the context of Facility Ratings.

Compliance Monitoring and Enforcement Program Quarterly Report

Mr. McGrane and Mr. Ratliff presented on enforcement metrics, the status of the Align project, coordinated focus on higher risk violations, violation aging and mitigation completion, and coordination with the Federal Energy Regulatory Commission on changes to the disclosure of noncompliance with the Critical Infrastructure Protection Reliability Standards.

Annual Review of Compliance Committee Mandate

Ms. Stasko noted that the Committee is required to review its mandate on an annual basis. She stated that the NERC Legal Department did not recommend any revisions to the Committee Mandate.

Adjournment

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

Submitted by,



Sônia Mendonça
Corporate Secretary

Agenda

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Conference Call

Panelist WebEx: [Join Meeting](#)

Introduction and Chair's Remarks

NERC Antitrust Compliance Guidelines

Agenda Items

- 1. Minutes* – Approve**
 - a. November 4, 2020 Meeting
- 2. Follow-up Regarding Action Items from Prior Meeting – Discussion**
- 3. COVID-19 Related Activities* – Update**
- 4. Facility Ratings Activities* – Update**
- 5. Compliance Monitoring and Enforcement Program Annual Report* – Update**
- 6. Annual Review of Compliance Committee Mandate* – Review**
- 7. Other Matters and Adjournment**

*Background materials included.