

Meeting Agenda

Compliance Monitoring Enforcement Program Advisory
Council (CMEPAC)

September 29, 2021
9:00 a.m. to 3:00 p.m. Central

*MRO Corporate Offices, King Conference Center
St. Paul, MN 55102*



**MIDWEST
RELIABILITY
ORGANIZATION**

380 St. Peter St, Suite 800
Saint Paul, MN 55102

651-855-1760

www.MRO.net

VIDEO AND AUDIO RECORDING

Please note that Midwest Reliability Organization (MRO) may make a video and/or an audio recording of this organizational group meeting for the purposes of making this information available to board members, members, stakeholders and the general public who are unable to attend the meeting in person.

By attending this meeting, I grant MRO:

1. Permission to video and/or audio record the meeting including me; and
2. The right to edit, use, and publish the video and/or audio recording.
3. I understand that neither I nor my employer has any right to be compensated in connection with the video and/or audio recording or the granting of this consent.

MRO ORGANIZATIONAL GROUP GUIDING PRINCIPLES

These MRO Organizational Group Guiding Principles complement charters. When the Principles are employed by members, they will support the overall purpose of the organizational groups.

Organizational Group Members should:

1. Make every attempt to attend all meetings in person or via webinar.
2. Be responsive to requests, action items, and deadlines.
3. Be active and involved in all organizational group meetings by reviewing all pre-meeting materials and being focused and engaged during the meeting.
4. Be self-motivating, focusing on outcomes during meetings and implementing work plans to benefit MRO and MRO's registered entities.
5. Ensure that the organizational group supports MRO strategic initiatives in current and planned tasks.
6. Be supportive of Highly Effective Reliability Organization (HERO™) principles.
7. Be supportive of proactive initiatives that improve effectiveness and efficiency for MRO and MRO's registered entities.

MEETING AGENDA

Agenda Item	
1	Call to Order and Determination of Quorum <i>Carl Stelly, Chair</i> <ol style="list-style-type: none"> Determination of Quorum and Introductions Standards of Conduct and Anti-Trust Guidelines Robert's Rules of Order
2	CMEP Quarterly Report Discussion <i>Tasha Ward, Director of Enforcement and External Affairs</i> <i>Bill Steiner, Director of Risk Assessment & Mitigation</i> <i>Jeff Norman, Director of Compliance Monitoring</i>
3	Conference Feedback/Attendance <i>Carl Stelly, Chair</i>
4	Monthly Call <i>Carl Stelly, Chair</i>
Break – 10:00 a.m.	
5	AskCMEPAC <i>Carl Stelly, Chair</i>
6	Regional Risk Assessment Drafting Input <i>John Seidel, Principal Technical Advisor</i> <i>Lee Felter, Principal Risk Assessment & Mitigation Engineer</i>
7	Work Plan Updates <i>Carl Stelly, Chair</i>
8	Self-Certification Worksheet Feedback <i>Desirée Sawyer, CMEP Advisory Council Staff Support</i>
Lunch – 12:00 p.m.	
9	OGOC Meeting Preparations <i>Carl Stelly, Chair</i>
10	Meeting with OGOC (1:00 p.m.) <i>Carl Stelly, Chair</i> <ol style="list-style-type: none"> CMEP 2021 Conference feedback CIP-012 Readiness Assessment Pilot Update Internal Controls, Building a Common Perspective with Industry
Break – 2:00 p.m.	
11	Diversity <i>Julie Peterson, Assistant Corporate Secretary and Senior Counsel</i>
12	Standing Reports <ol style="list-style-type: none"> NERC Compliance and Certification Committee (NERC CCC) <i>Mahmood Safi, CMEPAC and NERC CCC Member</i> NERC Standards Review Forum (NSRF) <i>Joe DePoorter, Chair NSRF, CMEPAC Member</i> Mid-Continent Compliance Forum (MCCF) <i>Mark Buchholz, CMEPAC and MCCF Member</i> SPP Reliability Compliance Advisory Group (RCAG) <i>Mark Buchholz, CMEPAC and RCAG Member</i>

Meeting Agenda – CMEP Advisory Council – September 29, 2021

Agenda Item	
13	New Collaboration Site <i>Desirée Sawyer, CMEP Advisory Council Staff Support</i>
14	2022 Nomination Process <i>Carl Stelly, Chair</i>
15	Proposed 2022 CMEPAC Meeting dates <i>Carl Stelly, Chair</i>
16	Action Item Review <i>Desirée Sawyer, CMEP Advisory Council Staff Support</i>
17	Other Business <i>Carl Stelly, Chair</i>
18	Adjourn

AGENDA 1

Call to Order and Introductions

a. Determination of Quorum and Introductions - Roster

Speaker

Name	Role	Company	Term
Carl Stelly	Chair	Southwest Power Pool, Inc.	12/31/2021
Terri Pyle	Vice Chair	Oklahoma Gas and Electric	12/31/2023
Fred Meyer	Member	Algonquin Power & Utilities Corp.	12/31/2022
Eric Ruskamp	Member	Lincoln Electric System	12/31/2023
Joseph DePoorter	Member	Madison Gas & Electric	12/31/2021
Mahmood Safi	Member	Omaha Public Power District	12/31/2022
Mark Buchholz	Member	Western Area Power Administration	12/31/2022
Matt Caves	Member	Western Farmers Electric Cooperative	12/31/2022
Mike Smith	Member	Manitoba Hydro	12/31/2021
Paul Mehlhaff	Member	Sunflower Electric Power Cooperative	12/31/2022
Sharon Koller	Member	American Transmission Company	12/31/2021
Open	Member		12/31/2023
Theresa Allard	Member	Minnkota Power Cooperative	12/31/2023
Tiffany Lake	Member	Evergy, Inc.	12/31/2023
Tracey Stewart	Member	Southwestern Power Administration	12/31/2021

AGENDA 1

Call to Order and Introductions

b. Standards of Conduct and Anti-Trust Guidelines

Speaker

Standards of Conduct Reminder:

Standards of Conduct prohibit MRO staff, committee, subcommittee, and task force members from sharing non-public transmission sensitive information with anyone who is either an affiliate merchant or could be a conduit of information to an affiliate merchant.

Anti-trust Reminder:

Participants in Midwest Reliability Organization meeting activities must refrain from the following when acting in their capacity as participants in Midwest Reliability Organization activities (i.e. meetings, conference calls, and informal discussions):

- Discussions involving pricing information; and
- Discussions of a participants marketing strategies; and
- Discussions regarding how customers and geographical areas are to be divided among competitors; and
- Discussions concerning the exclusion of competitors from markets; and
- Discussions concerning boycotting or group refusals to deal with competitors, vendors, or suppliers.

AGENDA 1

Determination of Quorum

c. Robert's Rules of Order

Carl Stelly, Chair

Parliamentary Procedures. Based on Robert's Rules of Order, Newly Revised, Tenth Edition

Establishing a Quorum. In order to make efficient use of time at MRO organizational group meetings, once a quorum is established, the meeting will continue, however, no votes will be taken unless a quorum is present at the time any vote is taken.

Motions. Unless noted otherwise, all procedures require a "second" to enable discussion.

When you want to...	Procedure	Debatable	Comments
Raise an issue for discussion	Move	Yes	The main action that begins a debate.
Revise a Motion currently under discussion	Amend	Yes	Takes precedence over discussion of main motion. Motions to amend an amendment are allowed, but not any further. The amendment must be germane to the main motion, and cannot reverse the intent of the main motion.
Reconsider a Motion already resolved	Reconsider	Yes	Allowed only by member who voted on the prevailing side of the original motion. Second by anyone.
End debate	Call for the Question <i>or</i> End Debate	No	If the Chair senses that the committee is ready to vote, he may say "if there are no objections, we will now vote on the Motion." Otherwise, this motion is not debatable and subject to majority approval.
Record each member's vote on a Motion	Request a Roll Call Vote	No	Takes precedence over main motion. No debate allowed, but the members must approve by majority.
Postpone discussion until later in the meeting	Lay on the Table	Yes	Takes precedence over main motion. Used only to postpone discussion until later in the meeting.
Postpone discussion until a future date	Postpone until	Yes	Takes precedence over main motion. Debatable only regarding the date (and time) at which to bring the Motion back for further discussion.

Remove the motion for any further consideration	Postpone indefinitely	Yes	Takes precedence over main motion. Debate can extend to the discussion of the main motion. If approved, it effectively “kills” the motion. Useful for disposing of a badly chosen motion that cannot be adopted or rejected without undesirable consequences.
Request a review of procedure	Point of order	No	Second not required. The Chair or secretary shall review the parliamentary procedure used during the discussion of the Motion.

Notes on Motions

Seconds. A Motion must have a second to ensure that at least two members wish to discuss the issue. The “seconder” is not required to be recorded in the minutes. Neither are motions that do not receive a second.

Announcement by the Chair. The chair should announce the Motion before debate begins. This ensures that the wording is understood by the membership. Once the Motion is announced and seconded, the Committee “owns” the motion, and must deal with it according to parliamentary procedure.

Voting

Voting Method	When Used	How Recorded in Minutes
	When the Chair senses that the Committee is substantially in agreement, and the Motion needed little or no debate. No actual vote is taken.	The minutes show “by unanimous consent.”
Vote by Voice	The standard practice.	The minutes show Approved or Not Approved (or Failed).
Vote by Show of Hands (tally)	To record the number of votes on each side when an issue has engendered substantial debate or appears to be divisive. Also used when a Voice Vote is inconclusive. (The Chair should ask for a Vote by Show of Hands when requested by a member).	The minutes show both vote totals, and then Approved or Not Approved (or Failed).
Vote by Roll Call	To record each member’s vote. Each member is called upon by the Secretary, and the member indicates either “Yes,” “No,” or “Present” if abstaining.	The minutes will include the list of members, how each voted or abstained, and the vote totals. Those members for which a “Yes,” “No,” or “Present” is not shown are considered absent for the vote.

Notes on Voting.

Abstentions. When a member abstains, he/she is not voting on the Motion, and his/her abstention is not counted in determining the results of the vote. The Chair should not ask for a tally of those who abstained.

Determining the results. A simple majority of the votes cast is required to approve an organizational group recommendations or decision.

“Unanimous Approval.” Can only be determined by a Roll Call vote because the other methods do not determine whether every member attending the meeting was actually present when the vote was taken, or whether there were abstentions.

Electronic Votes – For an e-mail vote to pass, the requirement is a simple majority of the votes cast during the time-period of the vote as established by the Committee Chair.

Majorities. Per Robert’s Rules, as well as MRO Policy and Procedure 3, a simple majority (one more than half) is required to pass motions.

AGENDA 2

CMEP Quarterly Report Discussion

Tasha Ward, Director of Enforcement and External Affairs

Bill Steiner, Director of Risk Assessment & Mitigation

Jeff Norman, Director of Compliance Monitoring

Action

Discussion

Report

Tasha Ward, Bill Steiner, and Jeff Norman will lead this discussion during the meeting.



MIDWEST
RELIABILITY
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Compliance Monitoring and Enforcement Program (CMEP) Quarterly Report

Jeff Norman, Director of Compliance

Bill Steiner, Director, Risk Assessment and Mitigation

Tasha Ward, Director, Enforcement and External Affairs

CLARITY

ASSURANCE

RESULTS

Agenda

- **Introduction**
- **Compliance Monitoring**
 - Compliance Oversight Plans
 - Compliance Audit Status
- **RAM**
 - Self Logging
 - Risk Determinations
- **Enforcement**
 - Processing



What is the CMEP?

- **Section 4C of the NERC Rules of Procedure (ROP)**
- **Used to monitor, assess, and enforce compliance with the Reliability Standards within the United States**
- **Canadian provincial governments reliability standards are consistent with Canadian laws and agreements**



What is the CMEP Quarterly Report?

- **Provides a summary of key issues addressed in the Compliance, RAM, and Enforcement departments**
- **Demonstrates trends in violation intake and processing**
- **Data includes both United States and Canadian registered entities**



Discovery Methods

● More frequently used

- Compliance Audits
- Self-Certifications
- Self-Reports
- Self-Logging

● Less frequently used

- Compliance Investigation
- Periodic Data Submittals
- Complaints
- Spot Checks



Compliance Oversight Plans (COP)

- Created for each Registered Entity (RE)
- Factors in inherent risk and performance of RE
- Input from four MRO departments
- Provides focus for RE and MRO staff
- MRO has significantly revised the COP process
- > 80% of Reliability Coordinators, Balancing Authorities, and Transmission Operators completed



Compliance Audits

- **Primary deeper dive monitoring method**
- **Today focus is on testing compliance**
- **Driver of frequency:**
 - Rules of Procedure (ROP)
 - COPs
- **Driver of scope:**
 - CMEP Implementation Plan
 - MRO Regional Risk Assessment
 - COP
 - Input from MRO staff



Self-Certification

- **Historically a “check the box” exercise**
- **Now, similar depth of review to a Compliance Audit**
 - MRO staff creates workbook
 - Reviewed by CMEPAC
 - Entity creates sample
 - Entity submits conclusion and supporting evidence
 - MRO staff reviews evidence

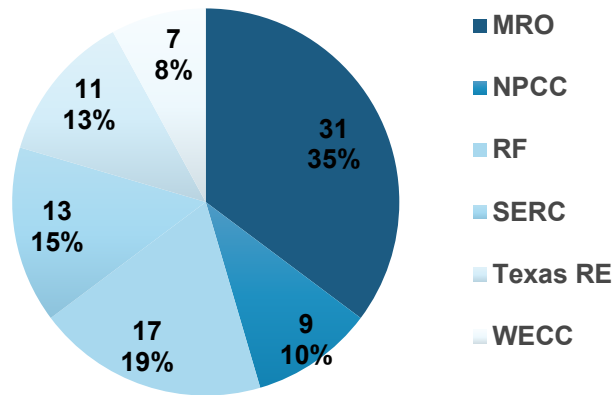


Self Logging Registered Entities (Figure 1)

- Based on the total number of Electric Reliability Organization (ERO) Self Logging entities (91)
- MRO has 31 registered entities in the self-logging program
- MRO's Self Logging Program criteria can be found [here](#).
- Based on HEROs principles.

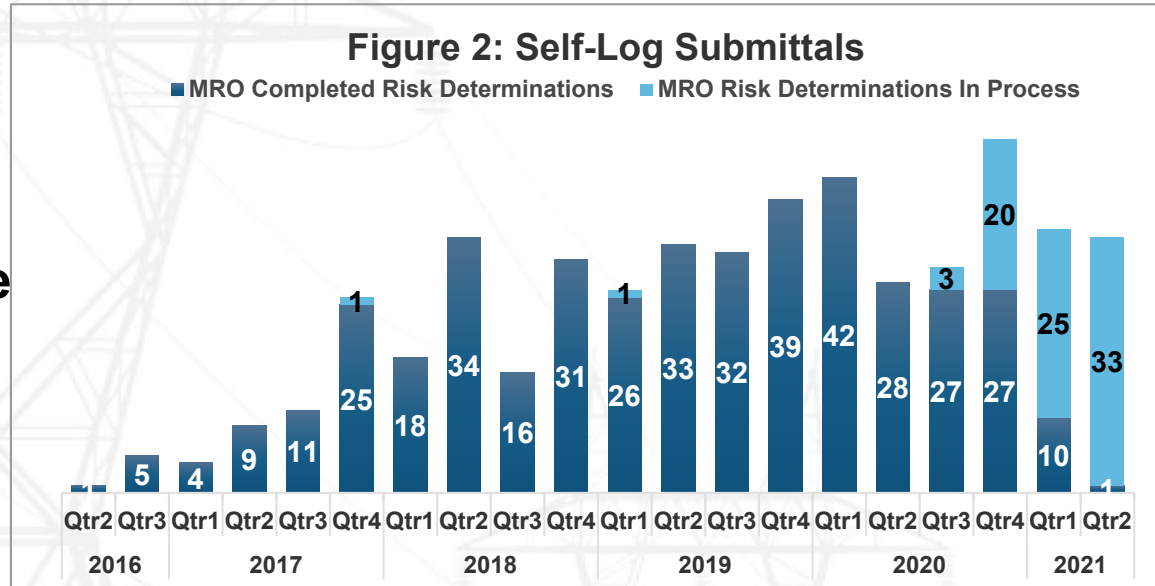
91 ERO-wide

Figure 1: Total Registered Entities
Self-Logging by Regional Entity



Self Log Submittals (Figure 2)

- Provide number of Self Logs submitted per quarter
- Dark Blue indicated completed risk determinations of those submitted that quarter

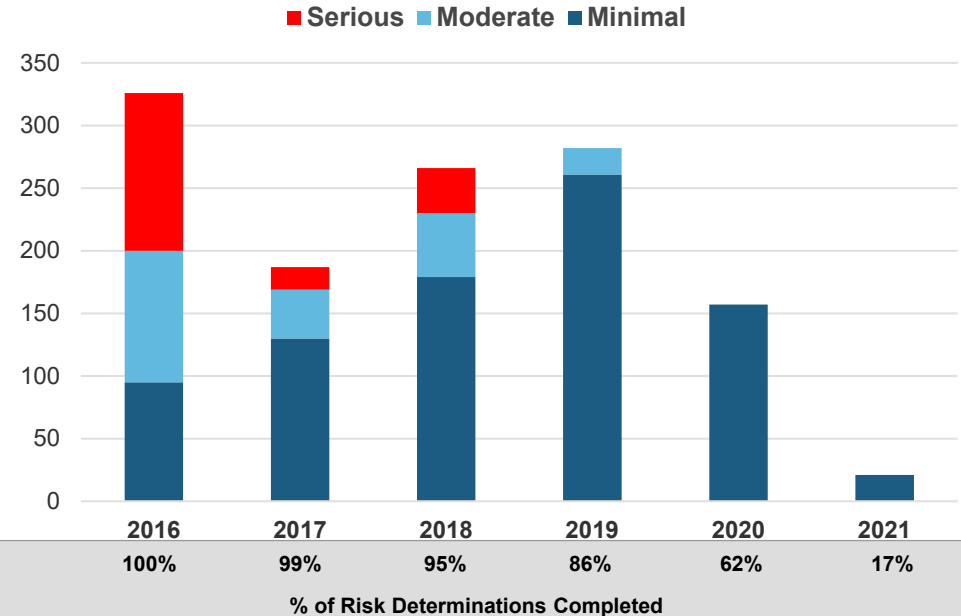


Compliance Severity Index (CSI) (Figure 3)

Cumulative CSI per Year

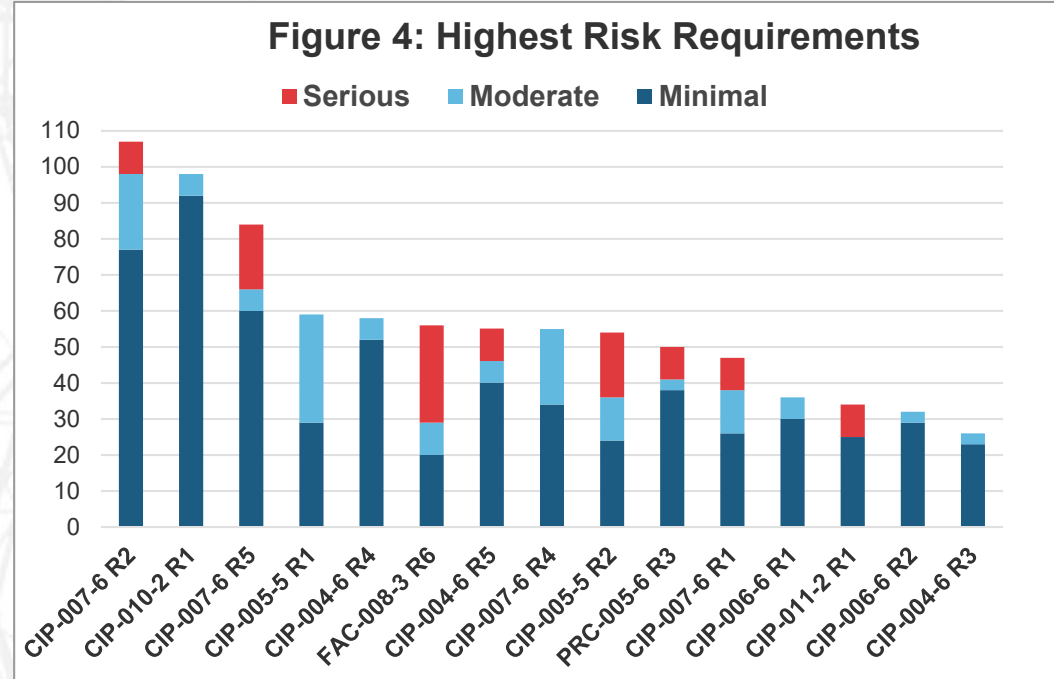
	Self Report	Audit
Minimal	1	3
Moderate	3	9
Serious	9	27

Figure 3: Compliance Severity Index by Discovery Year



Highest Risk Requirements (Figure 4)

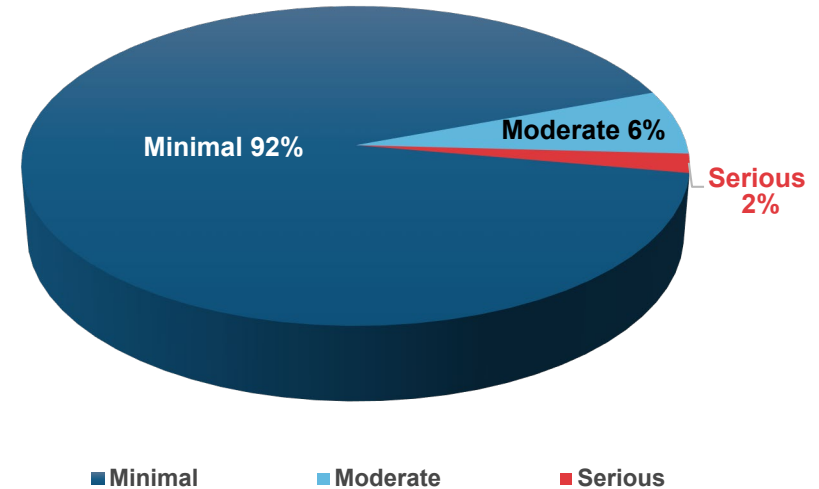
- Jan 2016 thru June 2021
- Based on CSI



Risk Determination for Instances of Noncompliance (Figure 5)

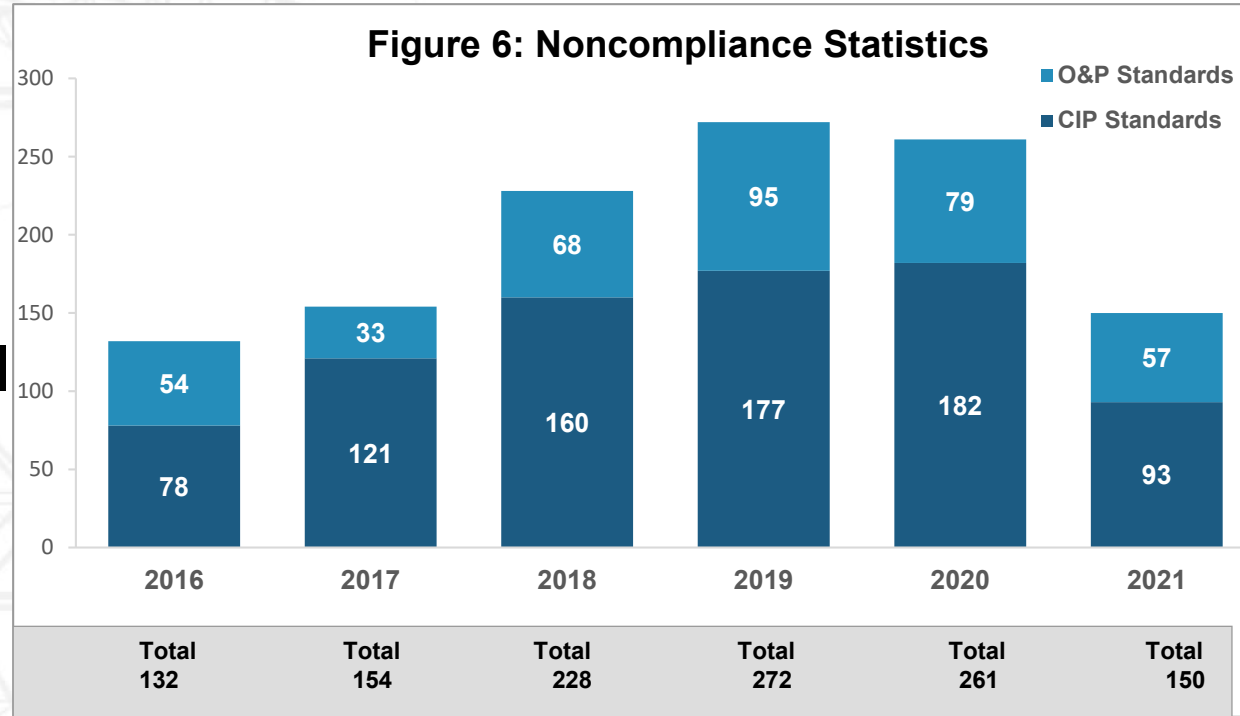
- Jan 2016 Thru June 2021
- Large distribution of minimal risk is consistent with strong compliance programs

Figure 5: Risk Determinations for Instances of Noncompliance
(January 1, 2016 - June 30, 2021)



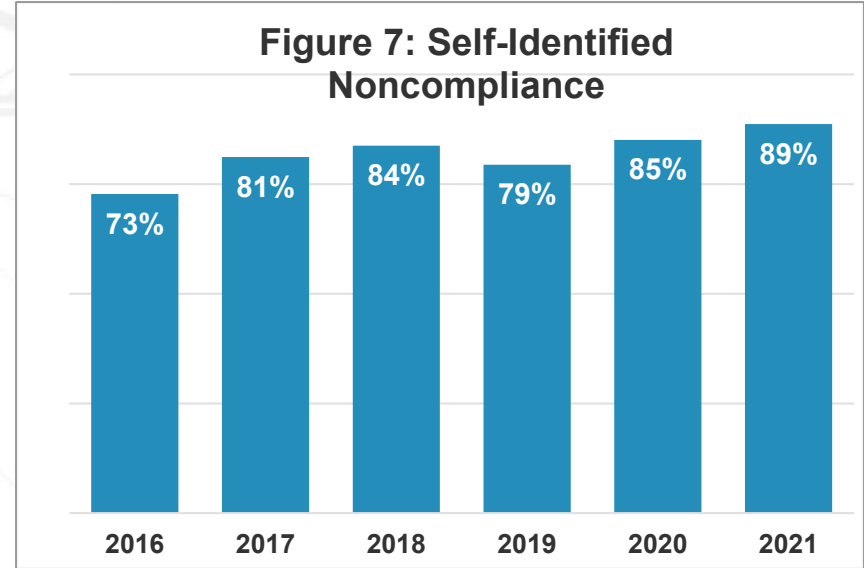
Noncompliance Statistics (Figure 6)

- Provides distribution of non-compliance between Ops/Planning (O&P) and Critical Infrastructure Protection (CIP) standards.
- Roughly 2/3 CIP



Self-Identified (Figure 7)

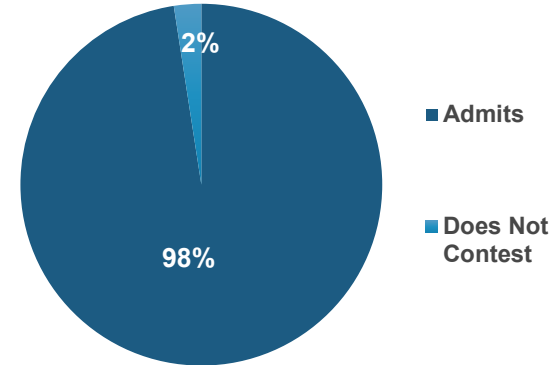
- **Self-Identified vs Audit/Self-Certification**
- **High self-identified percentage is consistent with a majority of risk minimal findings**



Accept Responsibility (Figure 8)

- Since Jan 1, 2016 MRO has had no contested findings
- 2% represents only two registered entities

Figure 8: Registered Entity
Acceptance of Responsibility
(January 1, 2016 – June 30, 2021)



Discovery Method (Reported to NERC) (Figure 9)

Figure 9: Discovery Method

Discovery Method Detail	2016	2017	2018	2019	2020	2021	Sub Total	(-less) Dismissed	Total
Compliance Audit	25	26	33	47	40	2	173	18	155
Compliance Investigation	0	0	0	0	0	0	0	0	0
Data Submittal	0	0	0	0	0	0	0	0	0
Self- Certification	11	2	23	9	1	10	56	11	45
Self-Log	6	50	99	132	147	69	503	8	495
Self-Report	90	74	73	84	73	69	463	23	440
Spot Check	0	2	0	0	0	0	2	0	2
Totals	132	154	228	272	261	150	1197	60	1137

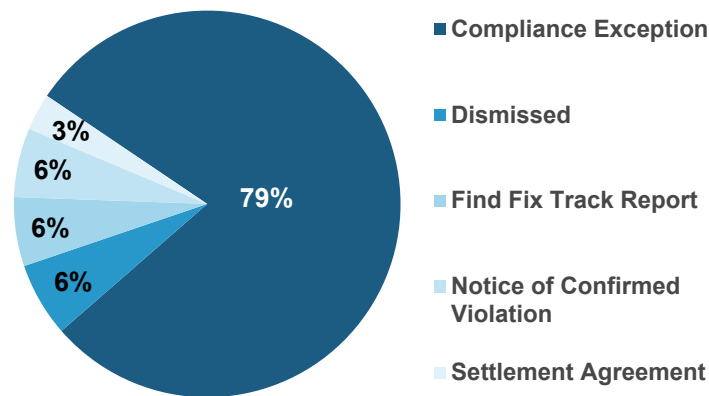


Processing Method Percentages (Figure 10)

- Different processing methods
- Five year look back based on Compliance History requirements
 - FERC approved Sanction Guidelines

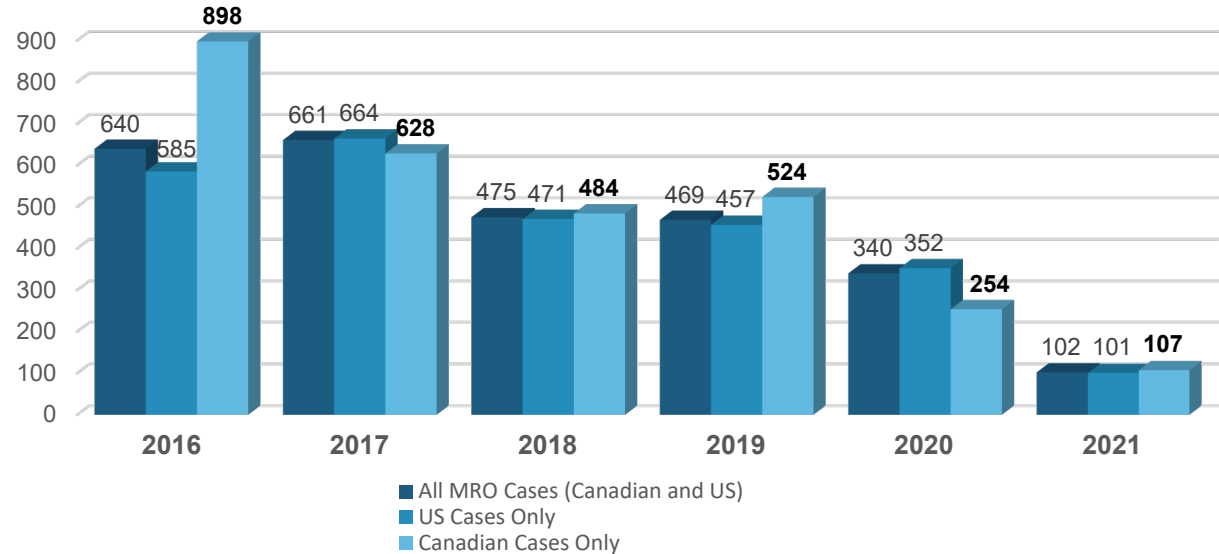
Figure 10: Processing Method Percentages

(January 1, 2016 - June 30, 2021)



Average Processing Time of Noncompliance (Figure 11)

Figure 11: Average Age Of MRO Inventory By Days



Calculated from date reported to NERC until closed.

MRO's average age of noncompliance less than ERO average and has decreased since 2016.

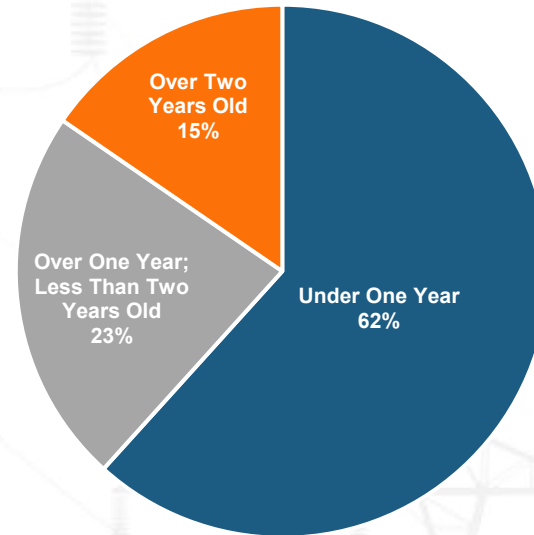


* ERO Avg. Age of Noncompliance=14.5 months/ 2020 MRO avg. 11.7 months

Age of Inventory (Figure 12)

- Compared to the overall MRO Enterprise Inventory
- MRO's inventory has fewer older issues for processing

Figure 12: Age of Noncompliance in MRO Inventory



Conclusion

- Objective is to provide insight and beneficial data surrounding MRO's CMEP work
- Published in the Midwest Reliability Matters (MRO newsletter) in the issue after the quarter is completed.



AGENDA 3

Conference Feedback/Attendance

Carl Stelly, Chair

Action

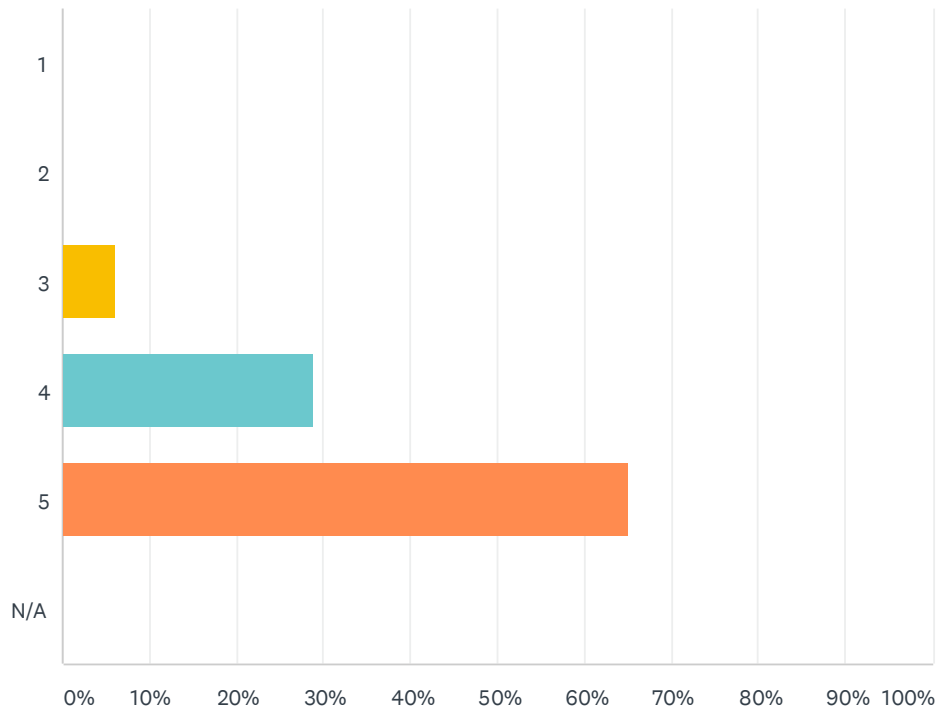
Discussion

Report

Review and discuss the feedback from the 2021 Virtual CMEP Conference. The feedback is included starting on the next page.

Q1 Emcee: Troy Brumfield, Regulatory Compliance Manager, American Transmission Company

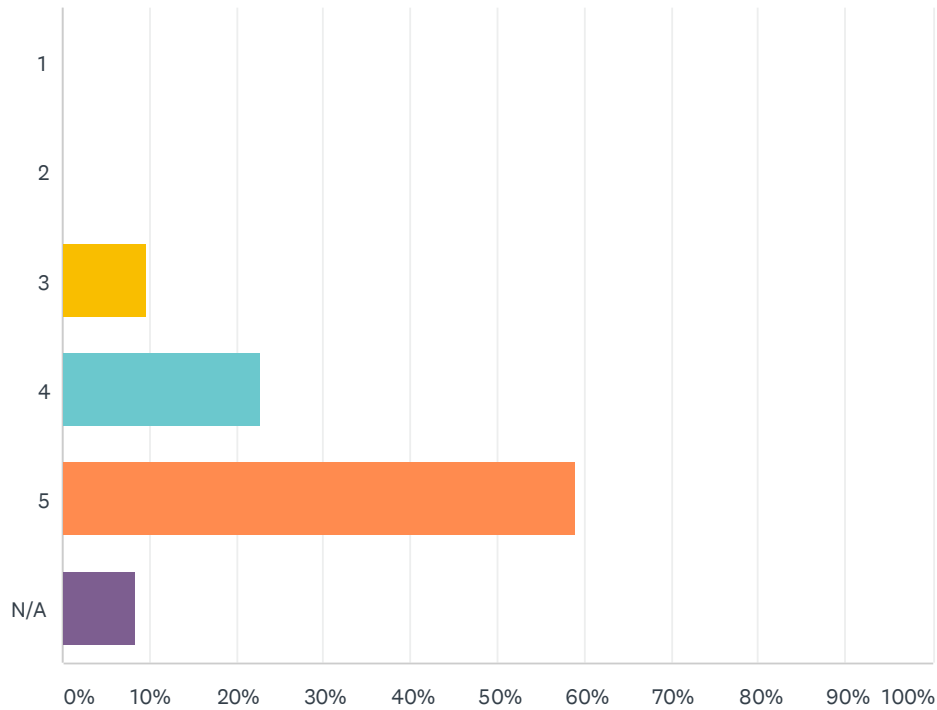
Answered: 83 Skipped: 1



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.02%	5
4	28.92%	24
5	65.06%	54
N/A	0.00%	0
TOTAL		83

Q2 Welcome: Terri Pyle, Vice Chair, CMEP Advisory Council

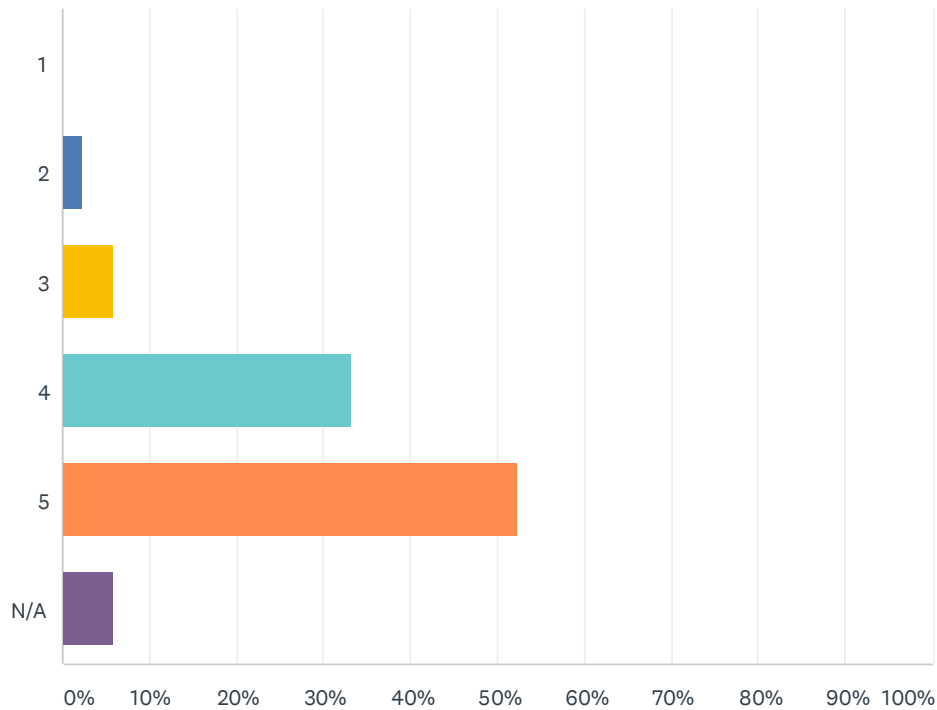
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	9.64%	8
4	22.89%	19
5	59.04%	49
N/A	8.43%	7
TOTAL		83

Q3 Sharing Information and Best Practices to Improve Reliability: Sara Patrick, CEO, MRO

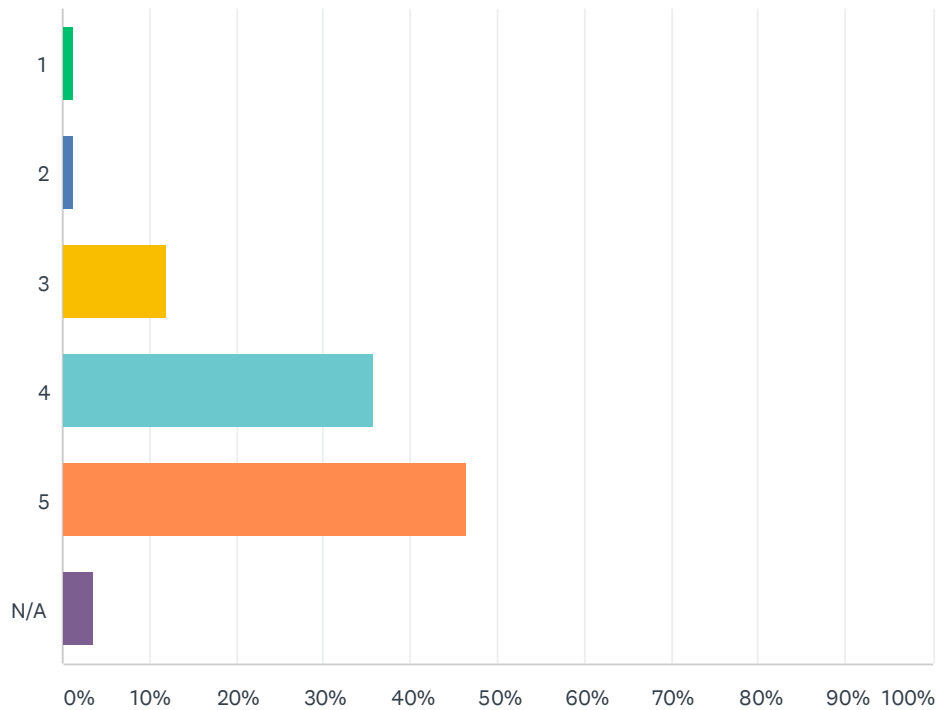
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	2.38%	2
3	5.95%	5
4	33.33%	28
5	52.38%	44
N/A	5.95%	5
TOTAL		84

Q4 RAM Align Process: Bill Steiner, Director of Risk Assessment & Mitigation, MRO

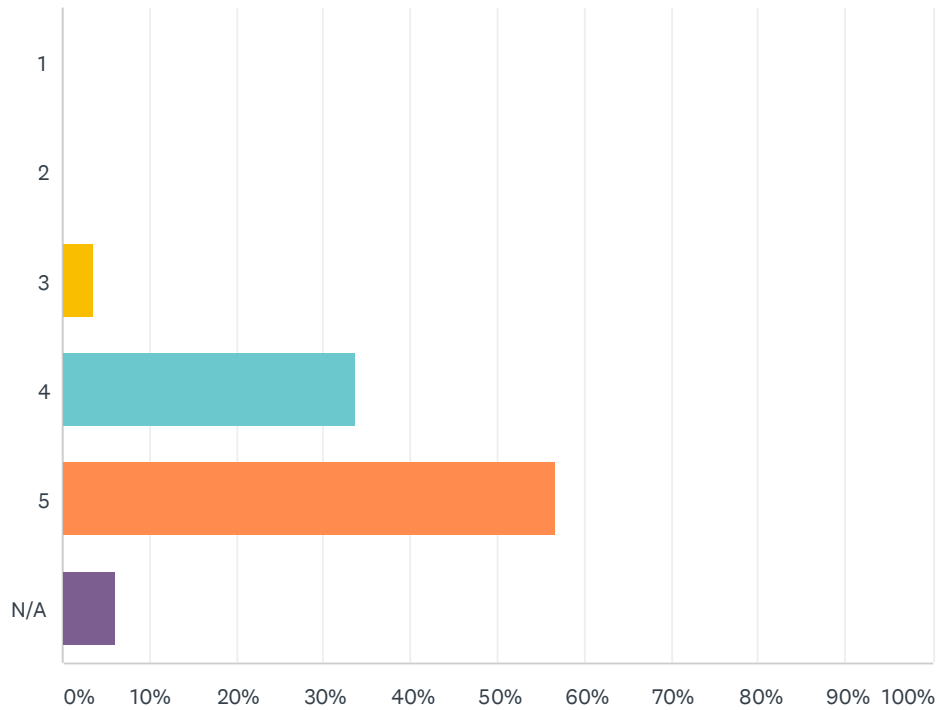
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ANSWER CHOICES	RESPONSES	
1	1.19%	1
2	1.19%	1
3	11.90%	10
4	35.71%	30
5	46.43%	39
N/A	3.57%	3
TOTAL		84

Q5 Align Tool Update: Desirée Sawyer, MRO Align Change Agent, MRO

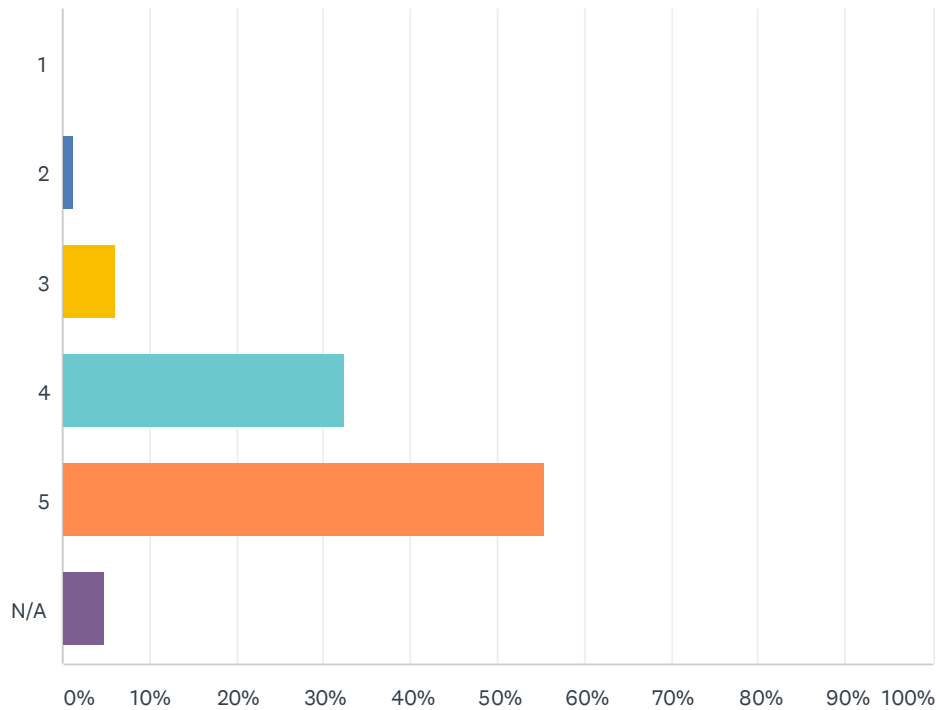
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	3.61%	3
4	33.73%	28
5	56.63%	47
N/A	6.02%	5
TOTAL		83

Q6 Risk Based Oversight and Monitoring including COP's: Jeff Norman, Director of Compliance Monitoring, MRO

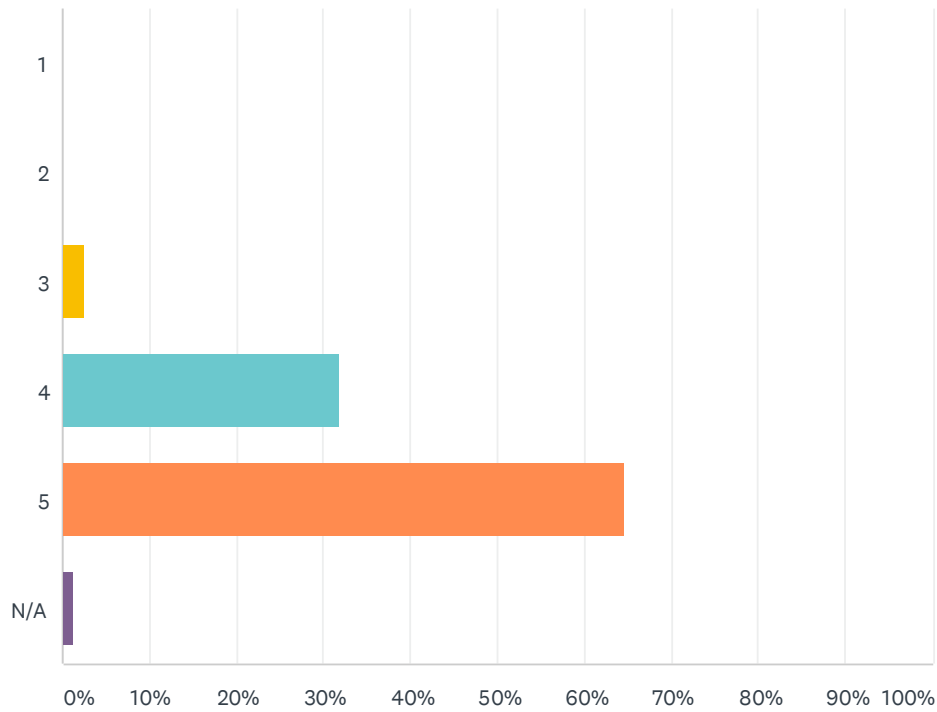
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	1.20%	1
3	6.02%	5
4	32.53%	27
5	55.42%	46
N/A	4.82%	4
TOTAL		83

Q7 Internal Controls: Richard Samec, Principal Compliance Engineer, MRO

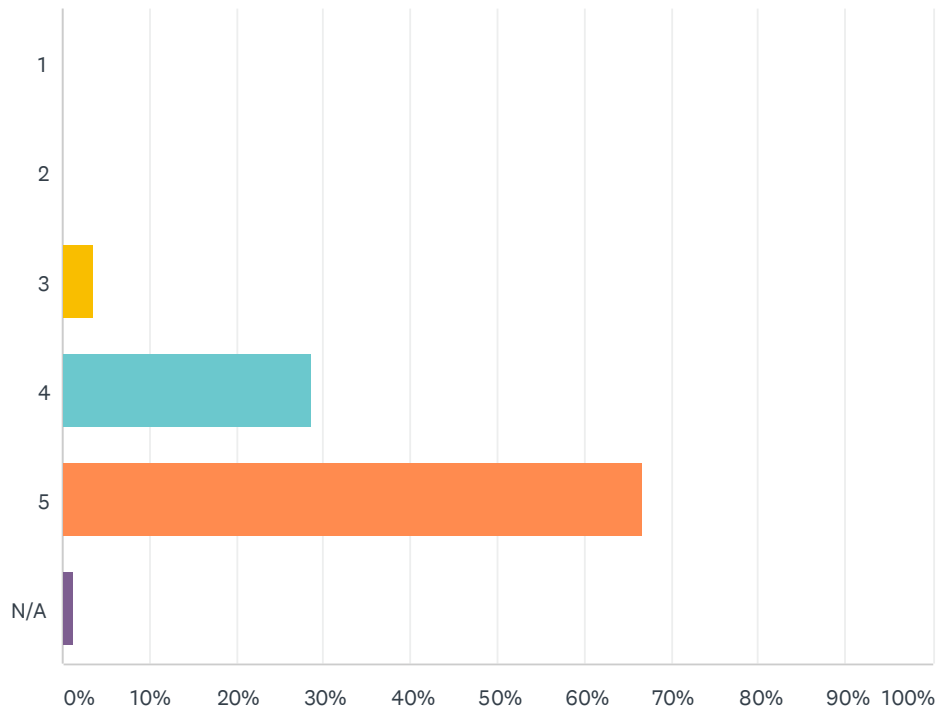
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	2.44%	2
4	31.71%	26
5	64.63%	53
N/A	1.22%	1
TOTAL		82

Q8 Internal Controls: Denise Hunter, Director, Corporate Risk Management, Corporate Compliance & Ethics, NERC

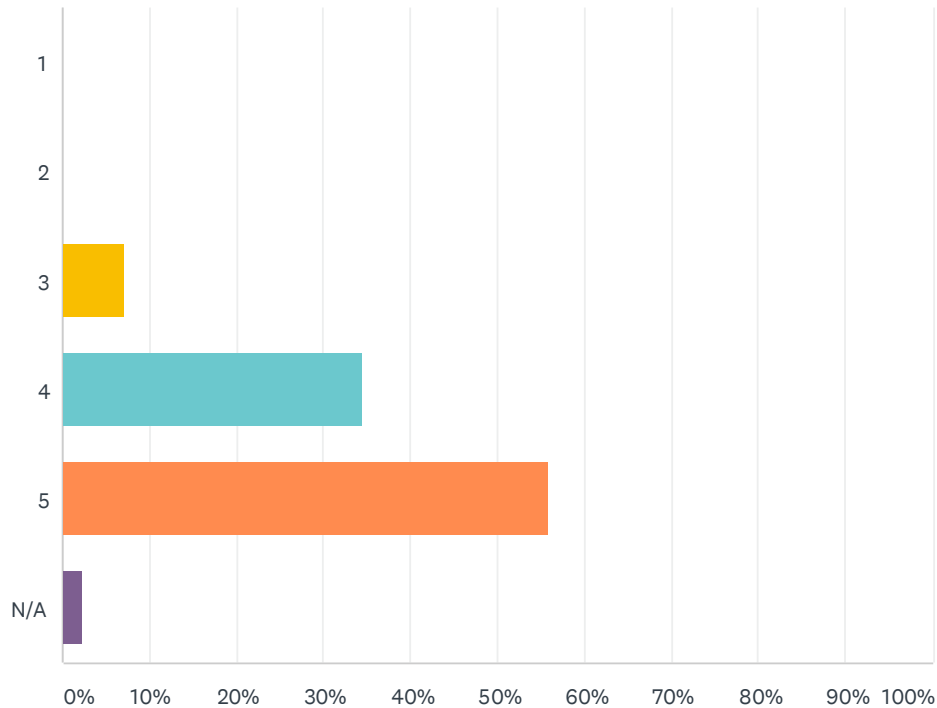
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	3.57%	3
4	28.57%	24
5	66.67%	56
N/A	1.19%	1
TOTAL		84

Q9 Regional Risk Assessment: Dwayne Stradford, Managing Director, ENRA Strategic Initiatives, American Electric Power, Reliability Advisory Council Member

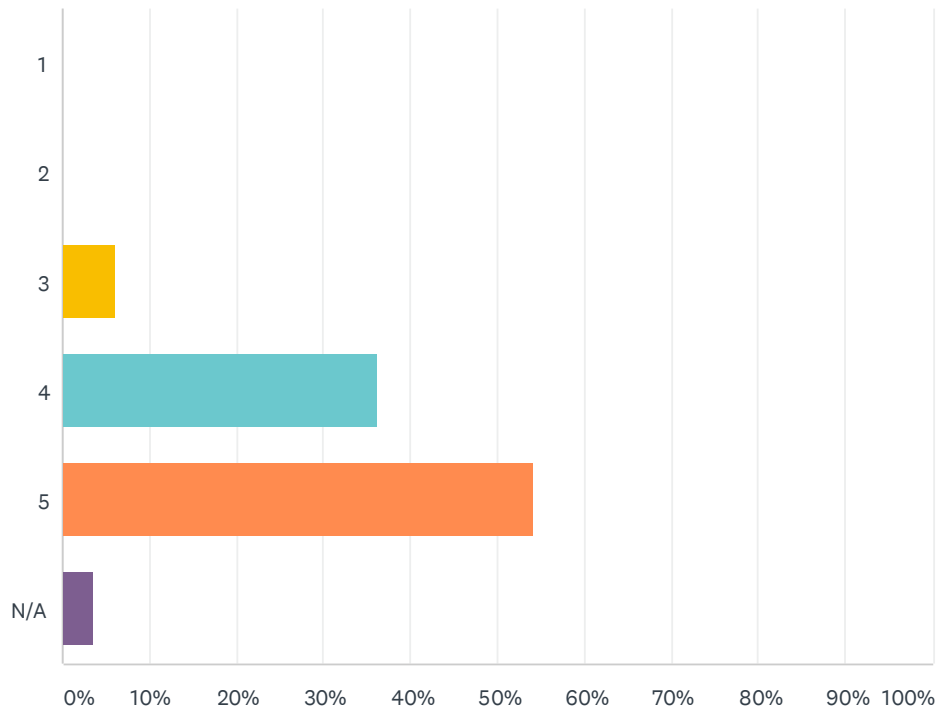
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	7.14%	6
4	34.52%	29
5	55.95%	47
N/A	2.38%	2
TOTAL		84

Q10 Regional Risk Assessment: Steen Fjalstad, Director of Security, MRO, Security Advisory Council Liaison

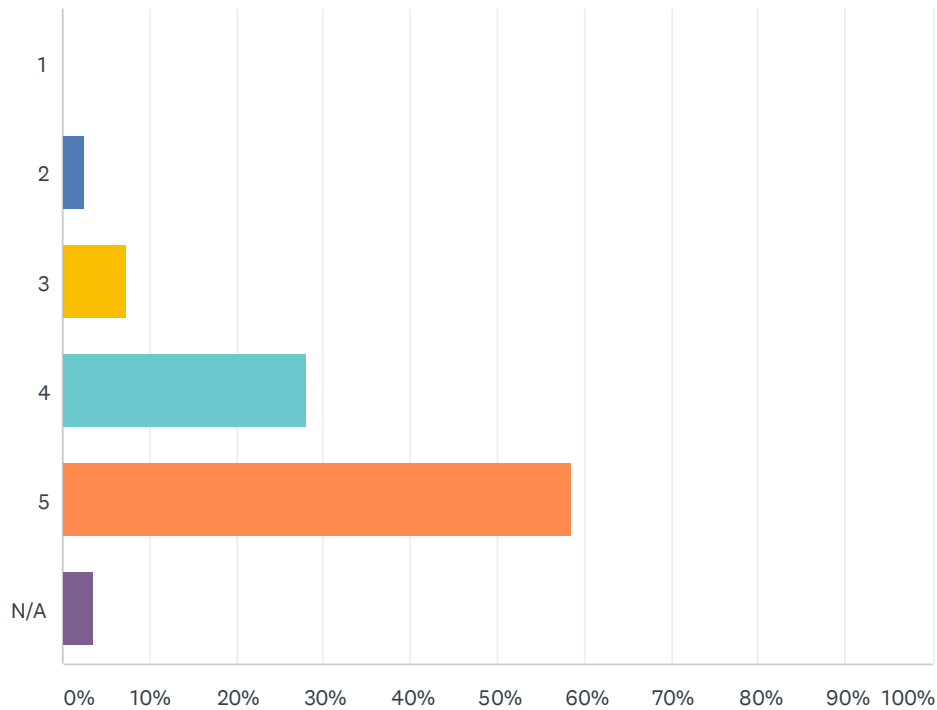
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.02%	5
4	36.14%	30
5	54.22%	45
N/A	3.61%	3
TOTAL		83

Q11 Addressing Compliance Risk Through internal Controls: Mike Murray, Security/NERC Compliance Manager, City of Independence Power & Light

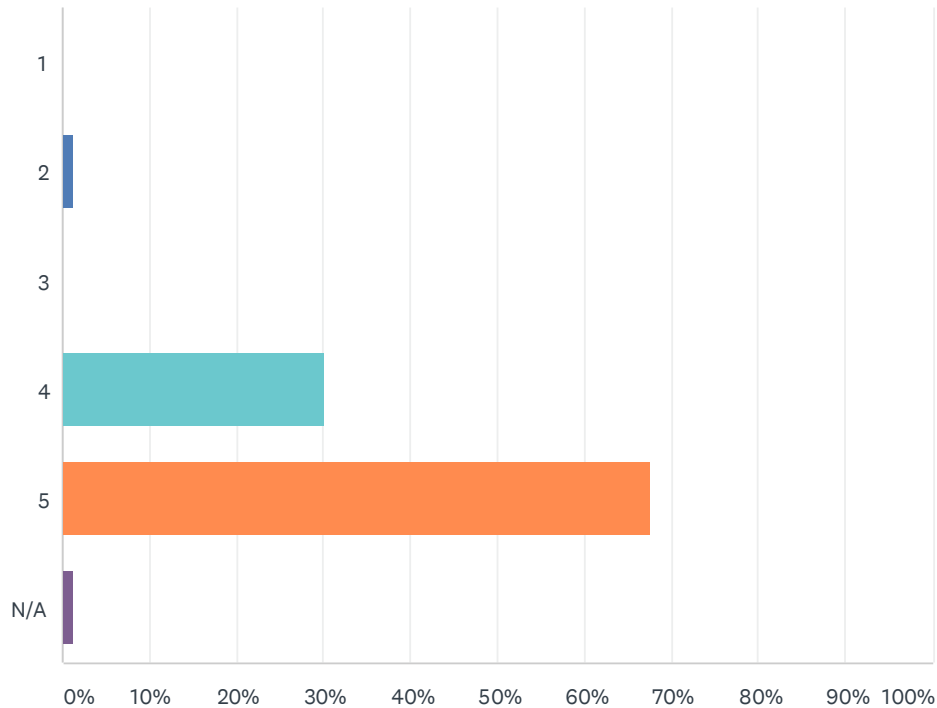
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	2.44%	2
3	7.32%	6
4	28.05%	23
5	58.54%	48
N/A	3.66%	3
TOTAL		82

Q12 Addressing Compliance Risk Through internal Controls: Theresa Allard, NERC Compliance Manager, Minnkota Power Cooperative, Inc., CMEPAC Member

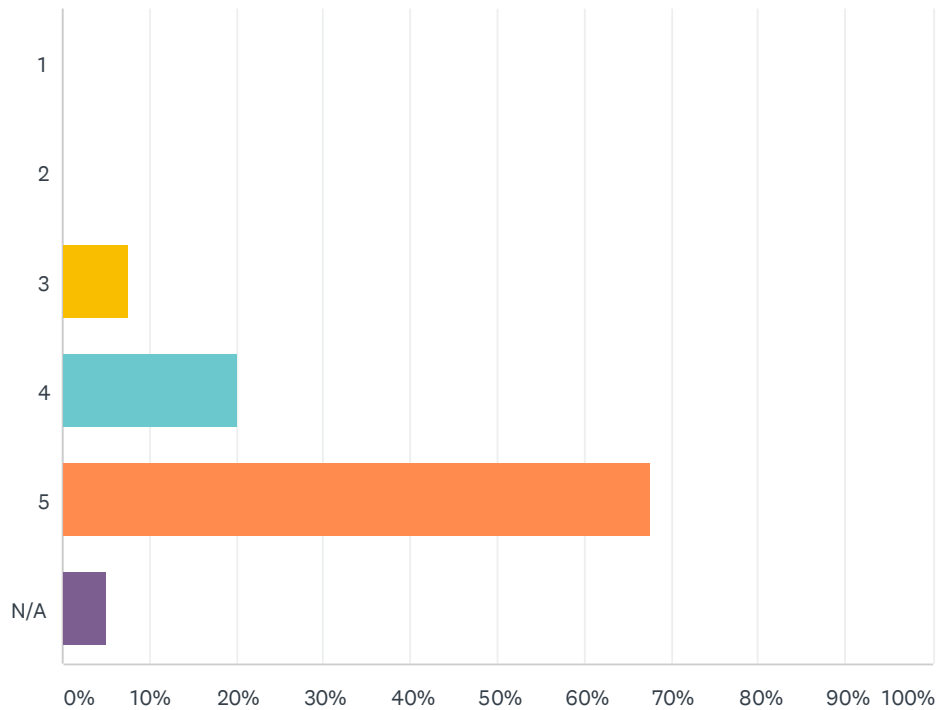
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ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	1.20%	1
3	0.00%	0
4	30.12%	25
5	67.47%	56
N/A	1.20%	1
TOTAL		83

Q13 Addressing Compliance Risk Through internal Controls: Tiffany Lake, Senior Manager, FERC & NERC Compliance, Evergy, CMEPAC Member

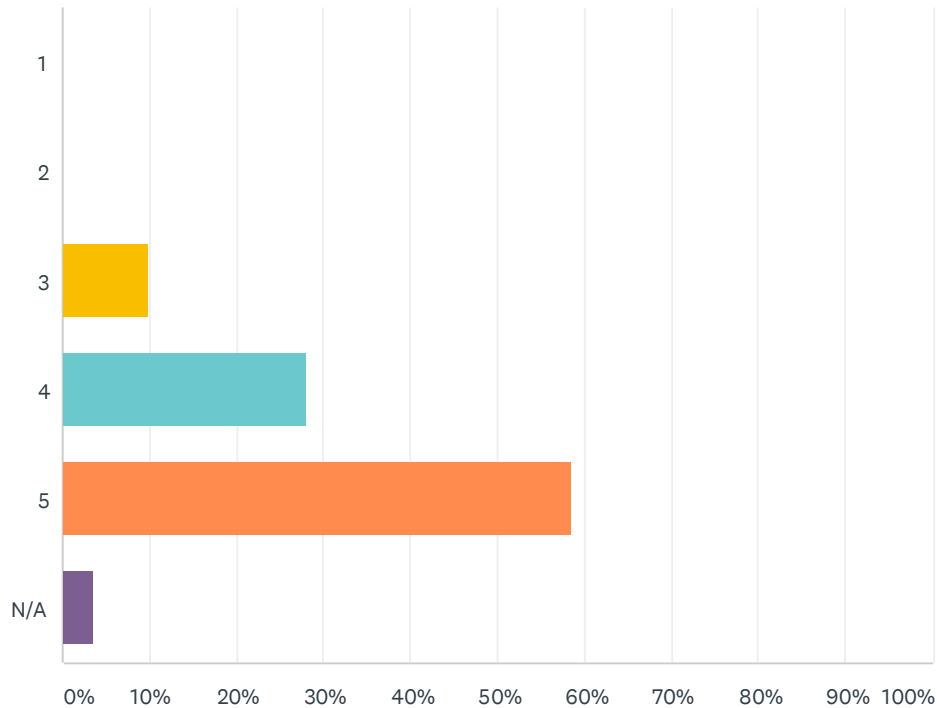
Answered: 80 Skipped: 4



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	7.50%	6
4	20.00%	16
5	67.50%	54
N/A	5.00%	4
TOTAL		80

Q14 Addressing Compliance Risk Through internal Controls: Tracey Stewart, Compliance Officer, Southwestern Power Administration, CMEPAC Member

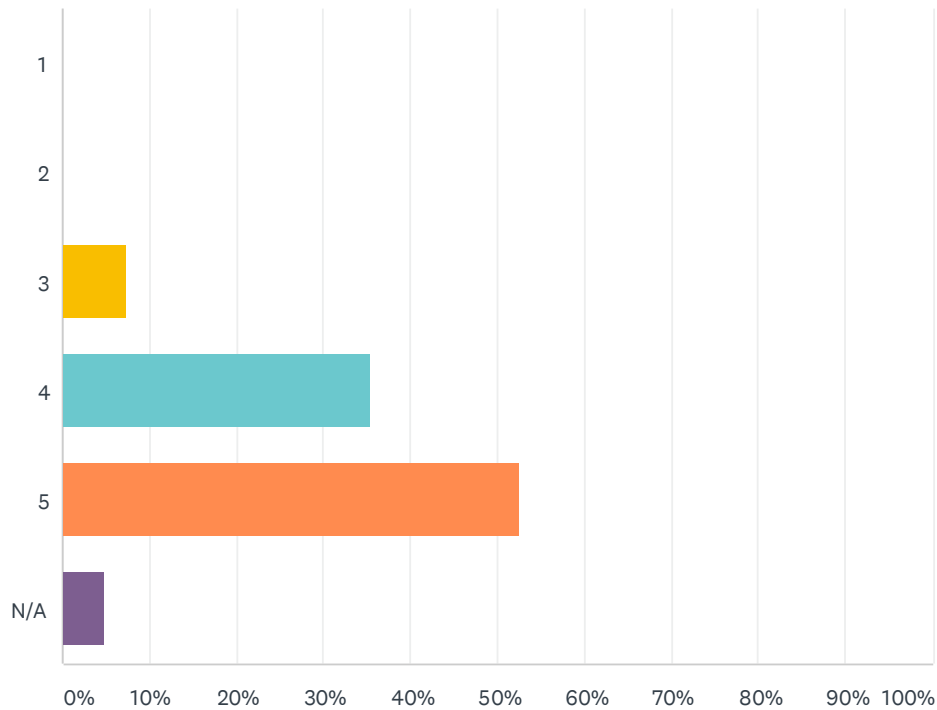
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	9.76%	8
4	28.05%	23
5	58.54%	48
N/A	3.66%	3
TOTAL		82

Q15 NERC CIP Open Project Updates: Tony Hall, Manager CIP Program, Louisville Gas & Electric and Kentucky Utilities LLC

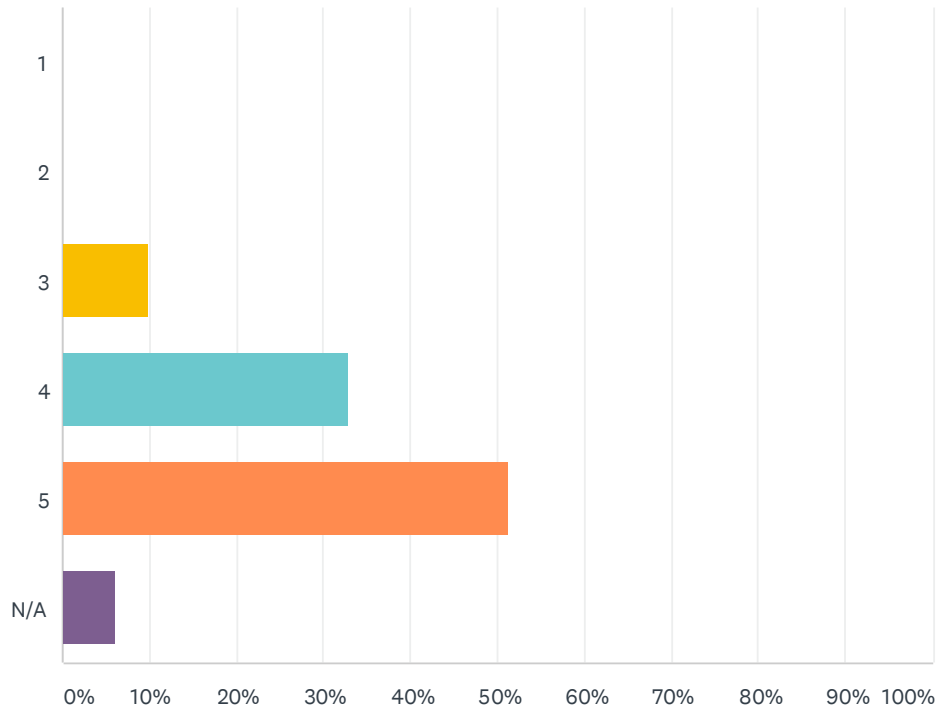
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	7.32%	6
4	35.37%	29
5	52.44%	43
N/A	4.88%	4
TOTAL		82

Q16 NERC CIP Open Project Updates: Robert Kracke, Principal Analyst, OT Systems and Compliance, Southern Company Specialized Infrastructure

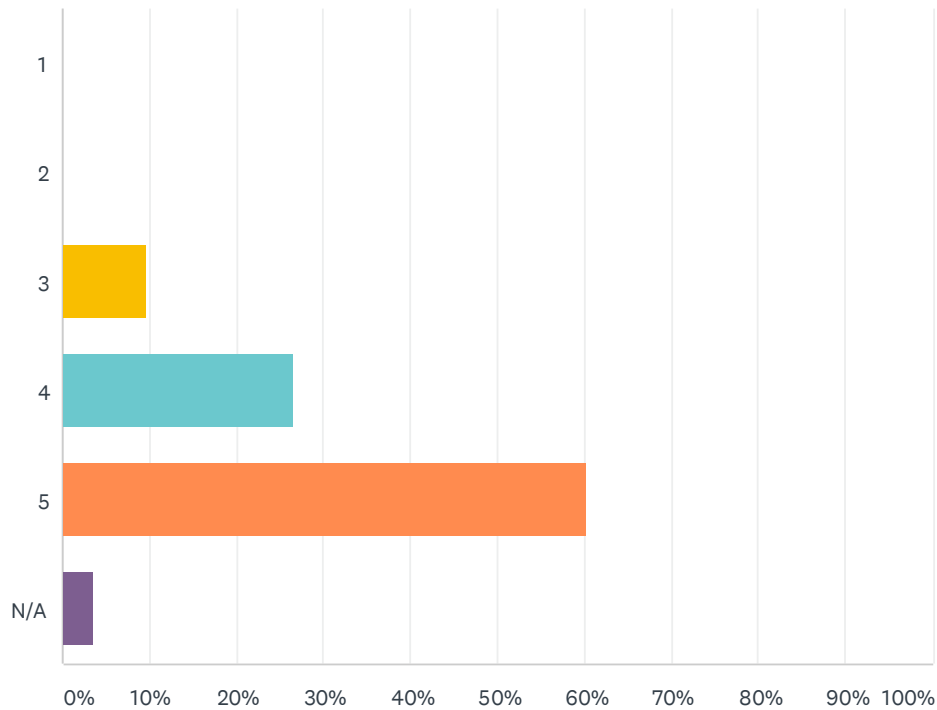
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	9.76%	8
4	32.93%	27
5	51.22%	42
N/A	6.10%	5
TOTAL		82

Q17 Supply Chain Update: Val Agnew, Corporate Counsel and Risk, Controls and Compliance, North American Transmission Forum (NATF)

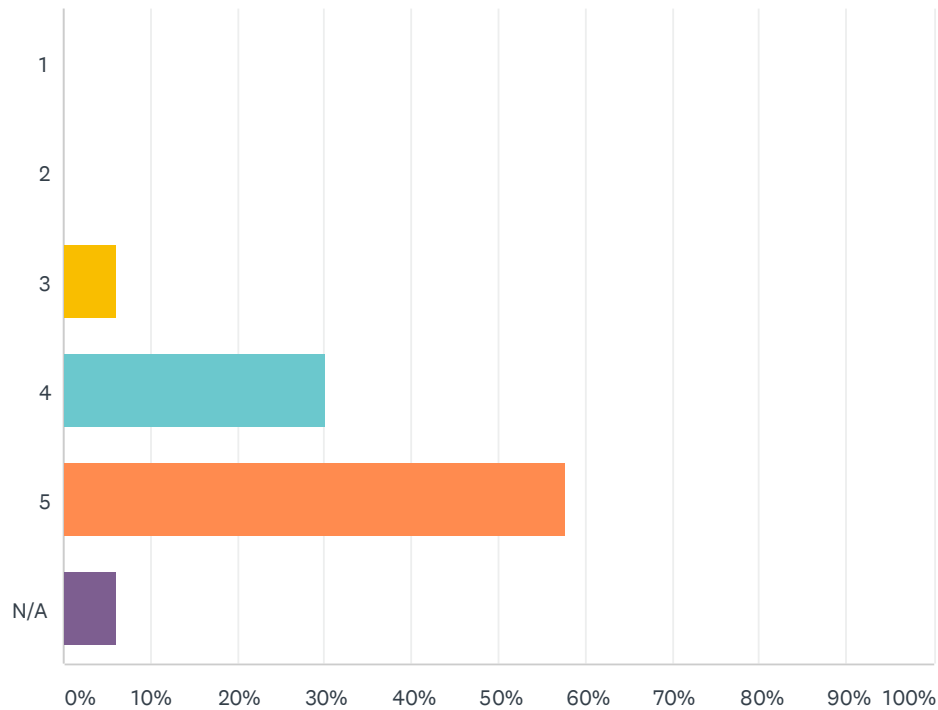
Answered: 83 Skipped: 1



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	9.64%	8
4	26.51%	22
5	60.24%	50
N/A	3.61%	3
TOTAL		83

Q18 Supply Chain Update: Betsy Soehren-Jones, Director of Security Strategy and Compliance, Excelon

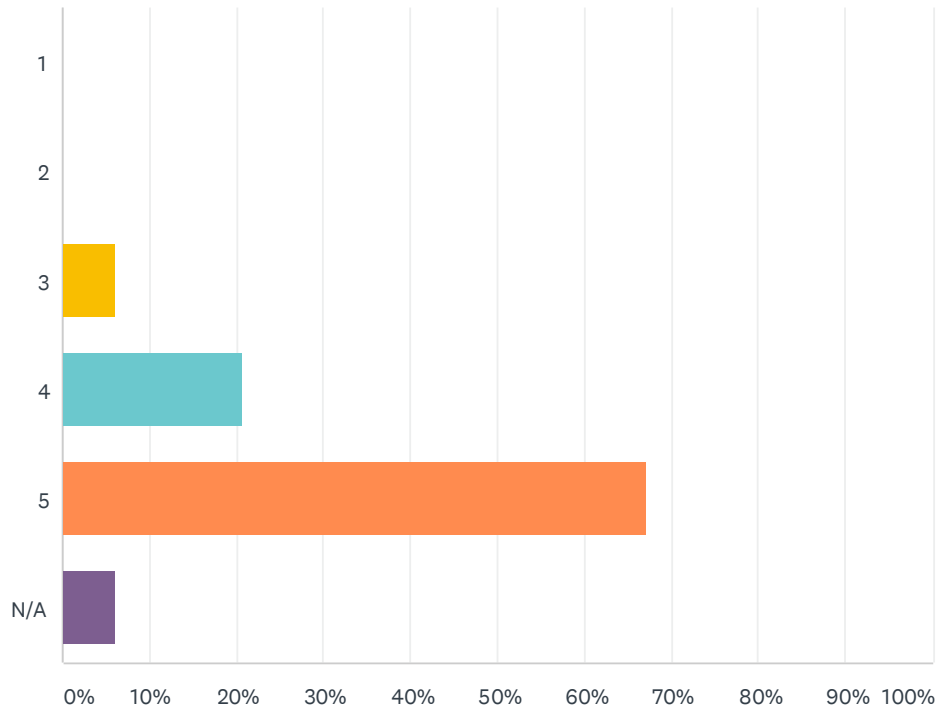
Answered: 83 Skipped: 1



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.02%	5
4	30.12%	25
5	57.83%	48
N/A	6.02%	5
TOTAL		83

Q19 Compliance Metric/Key Performance indicators: Trevor Stiles, Manager, Reliability Standards Compliance, Associate General Counsel, American Transmission Company

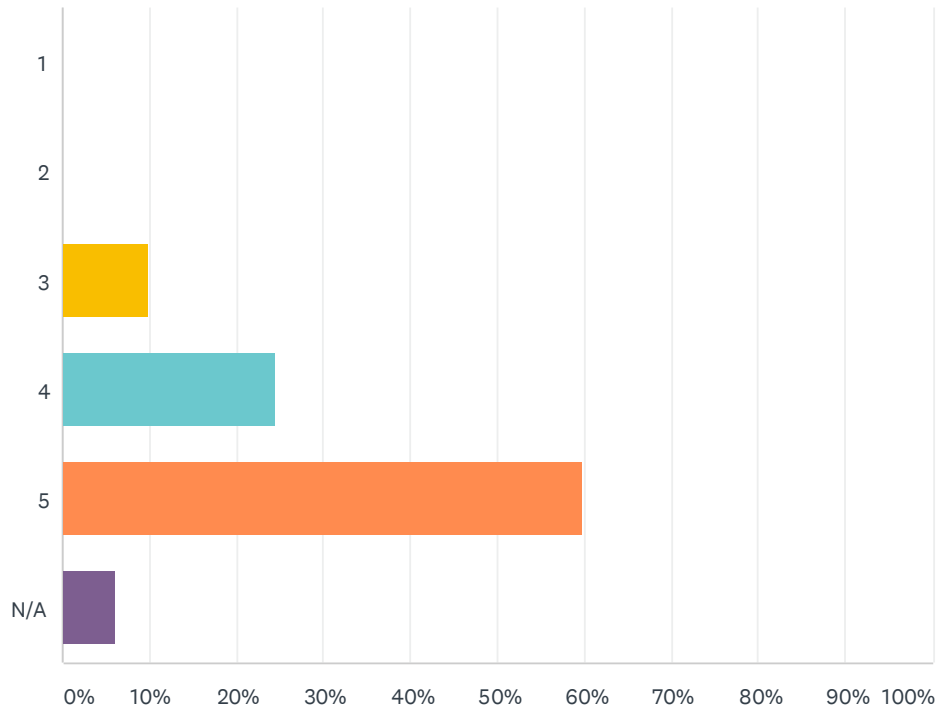
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.10%	5
4	20.73%	17
5	67.07%	55
N/A	6.10%	5
TOTAL		82

Q20 Compliance Metric/Key Performance indicators: Mahmood Safi, NERC Compliance Manager, Omaha Public Power District, CMEPAC Member

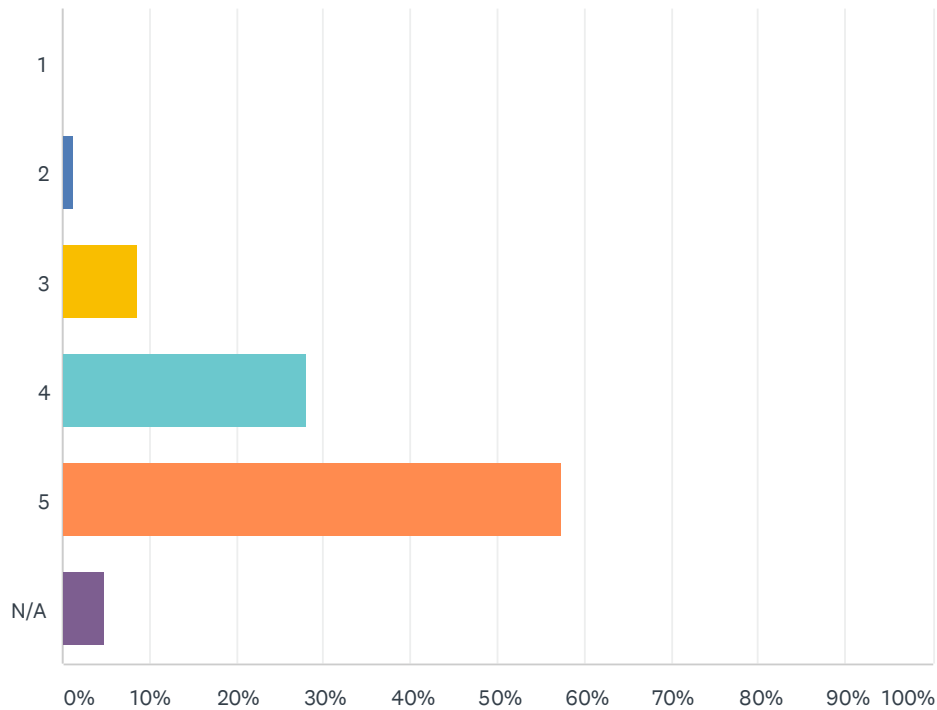
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	9.76%	8
4	24.39%	20
5	59.76%	49
N/A	6.10%	5
TOTAL		82

Q21 Compliance Metric/Key Performance indicators: Thad Ness, Director of Compliance Monitoring and Policy, Xcel Energy, CMEPAC Member

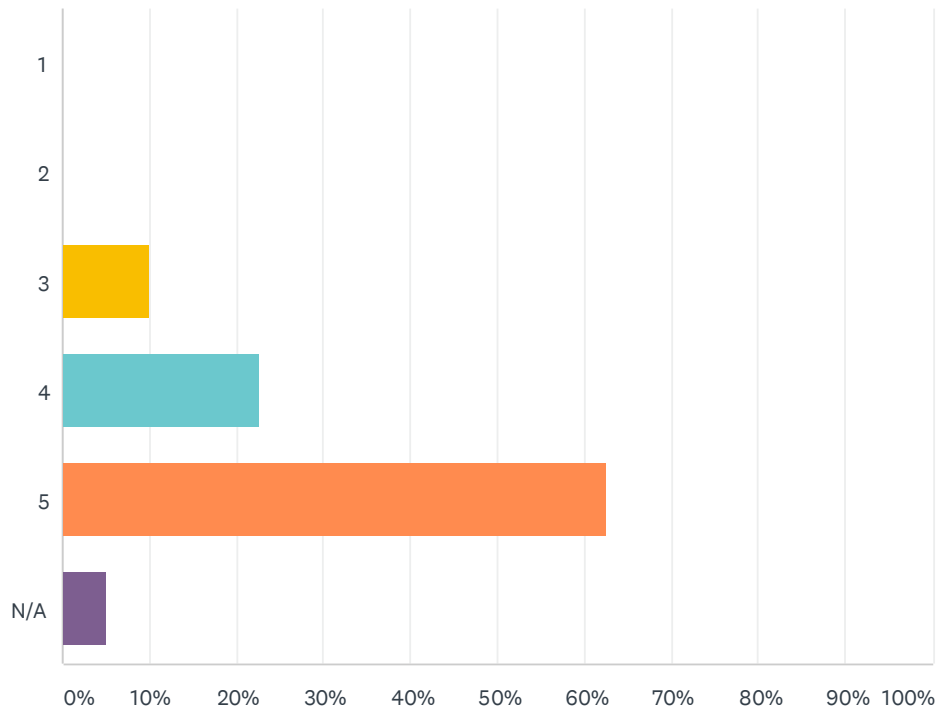
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	1.22%	1
3	8.54%	7
4	28.05%	23
5	57.32%	47
N/A	4.88%	4
TOTAL		82

Q22 HERO's: Joe DePoorter, Director, NERC Compliance & Generation Operations, Madison Gas & Electric Company, CMEPAC Member

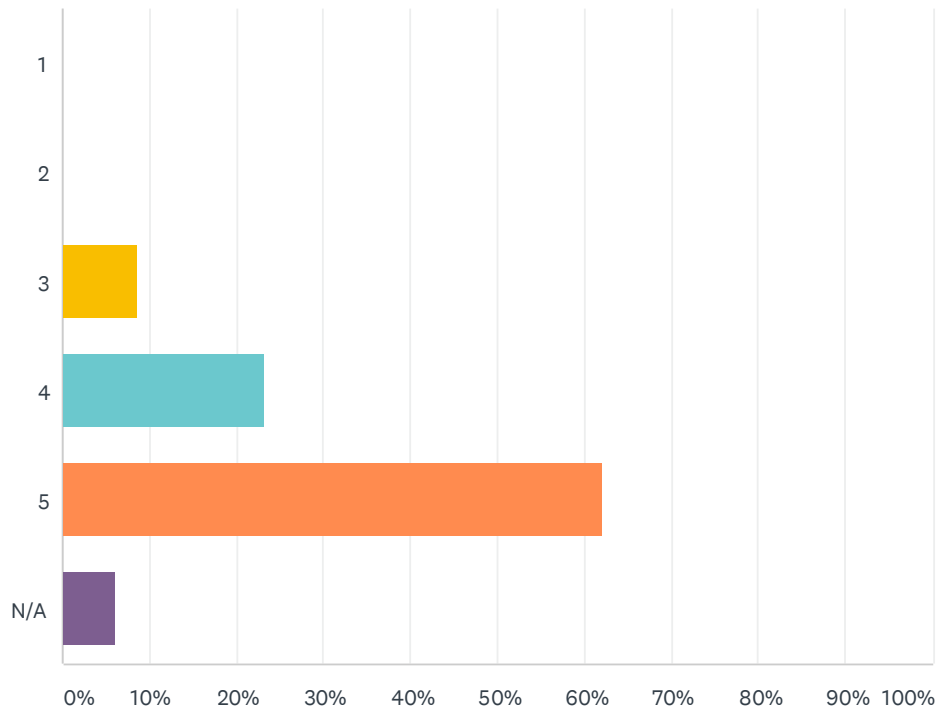
Answered: 80 Skipped: 4



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	10.00%	8
4	22.50%	18
5	62.50%	50
N/A	5.00%	4
TOTAL		80

Q23 HERO's: Tiffany Lake, Senior Manager, FERC & NERC Compliance, Evergy, CMEPAC Member

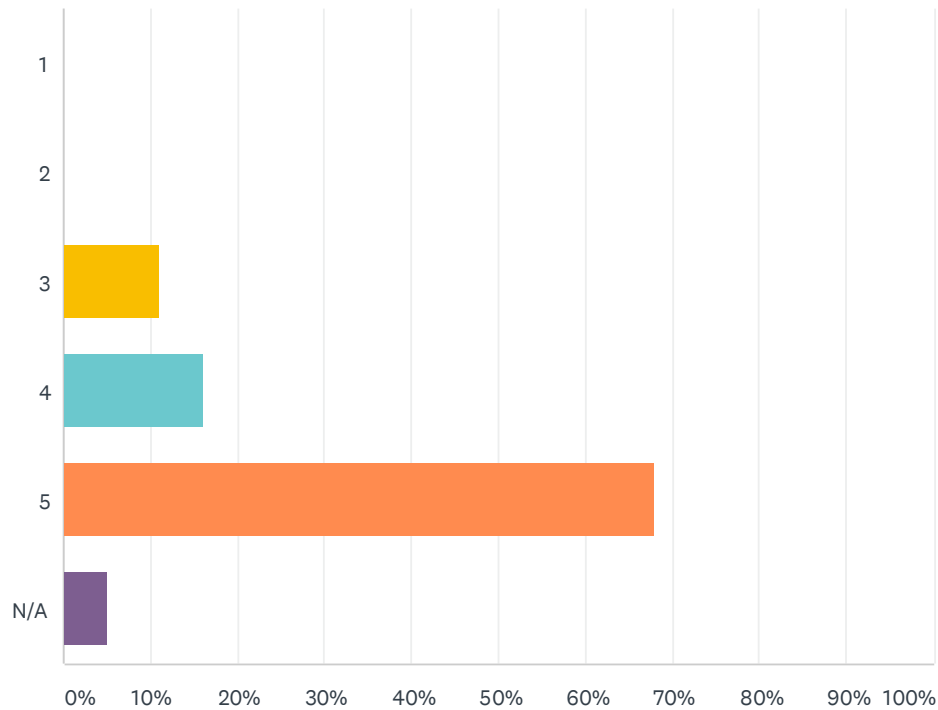
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	8.54%	7
4	23.17%	19
5	62.20%	51
N/A	6.10%	5
TOTAL		82

Q24 HERO's: Dawn Nedohin-Macek, Transmission Services and Compliance Department Manager, Manitoba Hydro

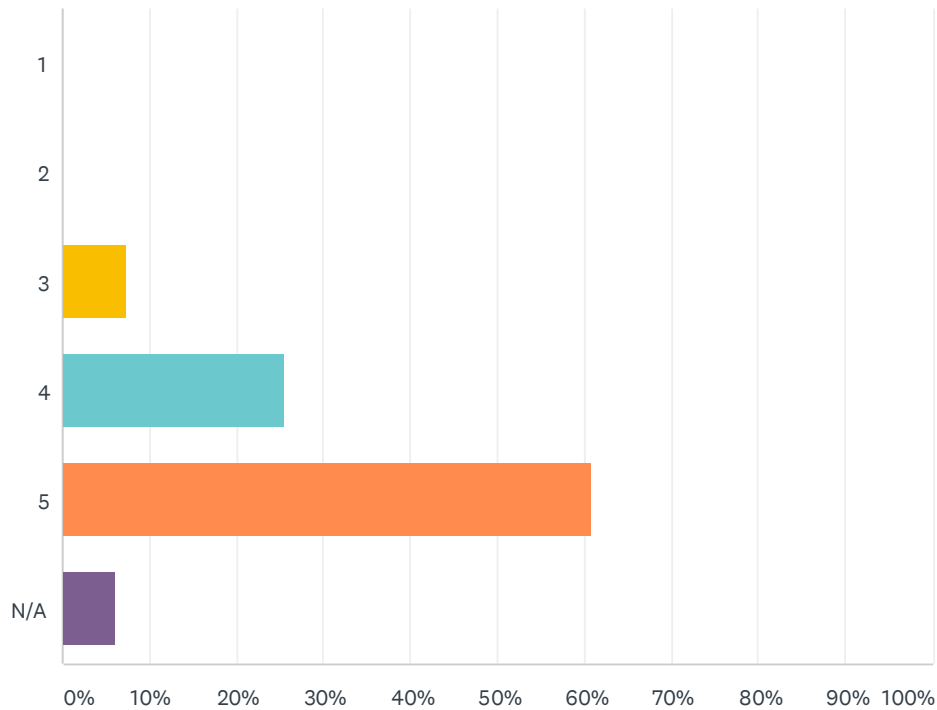
Answered: 81 Skipped: 3



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	11.11%	9
4	16.05%	13
5	67.90%	55
N/A	4.94%	4
TOTAL		81

Q25 MRO Generator Winterization Program: Russ Mountjoy, Principal Reliability Specialist, MRO

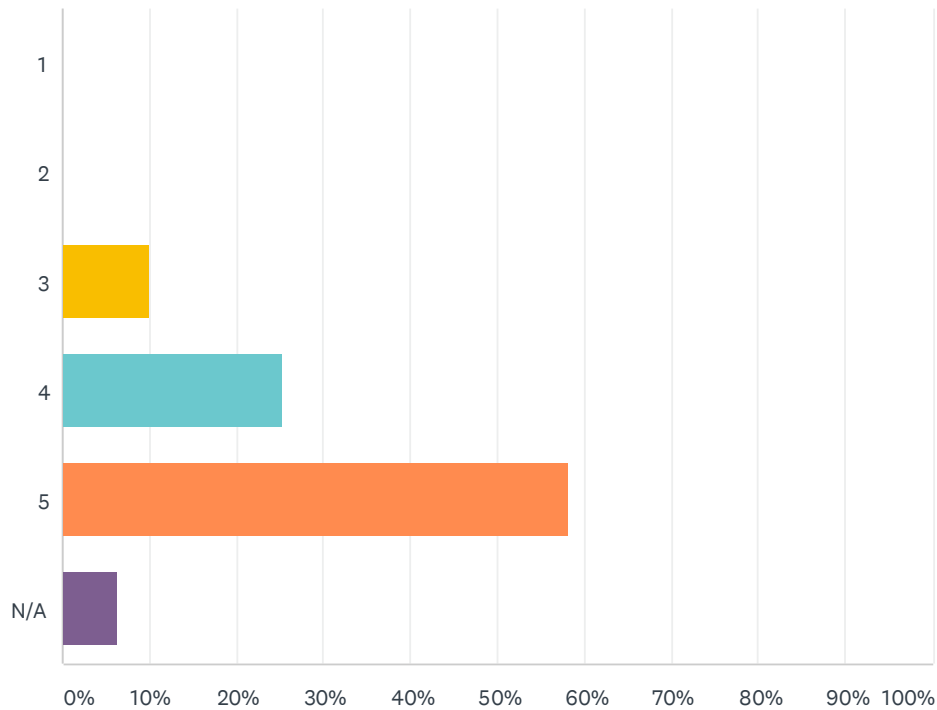
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	7.32%	6
4	25.61%	21
5	60.98%	50
N/A	6.10%	5
TOTAL		82

Q26 Closing: Carl Stelly, Director of Compliance, Southwest Power Pool, CMEPAC Chair

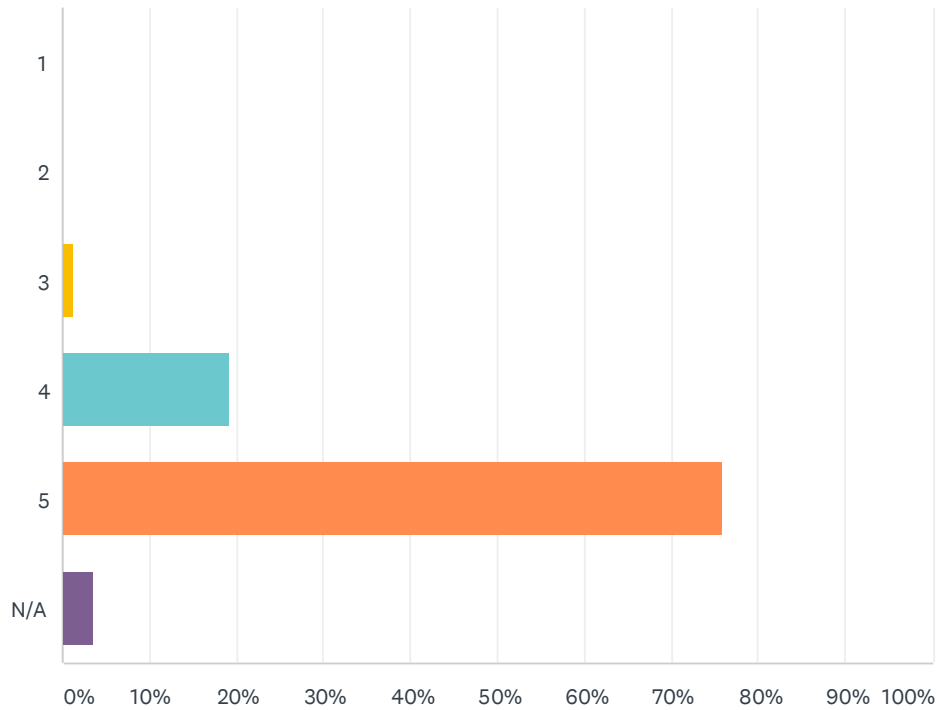
Answered: 79 Skipped: 5



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	10.13%	8
4	25.32%	20
5	58.23%	46
N/A	6.33%	5
TOTAL		79

Q27 Rate your experience with the registration process

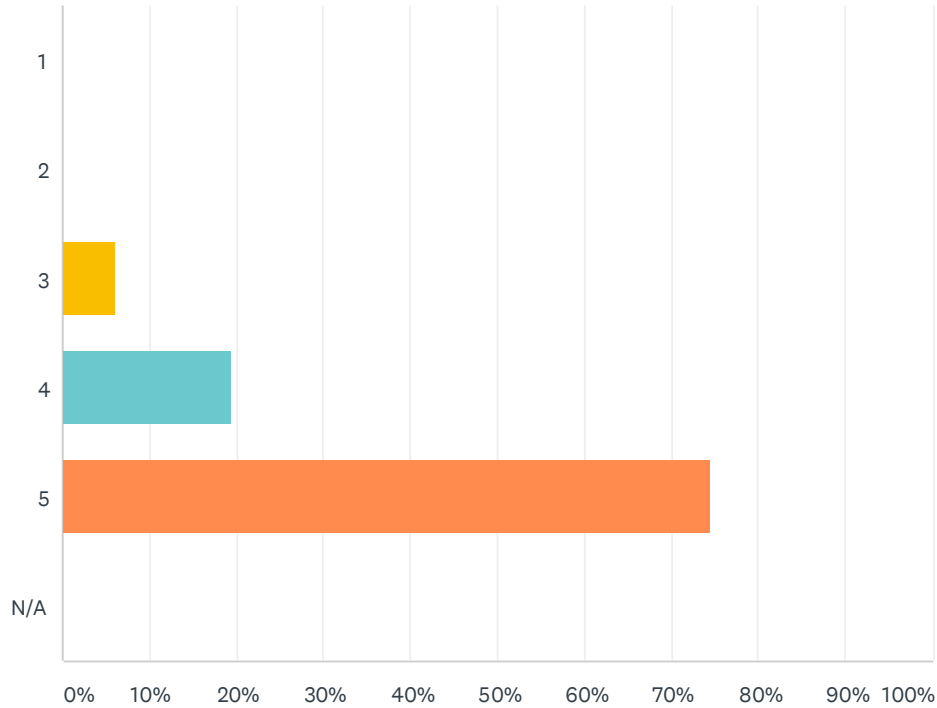
Answered: 83 Skipped: 1



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	1.20%	1
4	19.28%	16
5	75.90%	63
N/A	3.61%	3
TOTAL		83

Q28 Rate the conference content

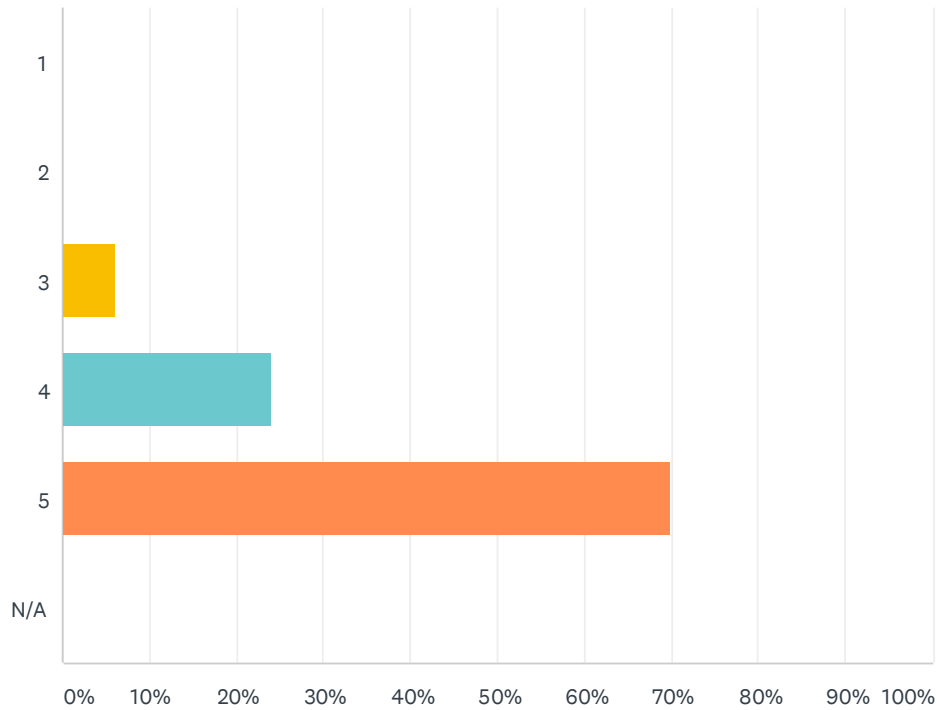
Answered: 82 Skipped: 2



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.10%	5
4	19.51%	16
5	74.39%	61
N/A	0.00%	0
TOTAL		82

Q29 Rate your overall satisfaction with this conference

Answered: 83 Skipped: 1



ANSWER CHOICES	RESPONSES	
1	0.00%	0
2	0.00%	0
3	6.02%	5
4	24.10%	20
5	69.88%	58
N/A	0.00%	0
TOTAL		83

Q30 Suggested topics for future conferences:

Answered: 19 Skipped: 65

Q31 Do you prefer paper or electronic conference materials?

Answered: 51 Skipped: 33

Q32 Other Comments:

Answered: 27 Skipped: 57

Q33 If you would like MRO to contact you regarding your comments, please provide your name and preferred contact method below:

Answered: 9 Skipped: 75

AGENDA 4

Monthly Call *Carl Stelly, Chair*

Action

Information

Report

Chair Stelly will lead this agenda item.

CMEPAC Monthly Call Metrics

Month	Attendees	Average Duration of Attendees
October 2020	54	47 Minutes
November 2020	57	56 Minutes
December 2020	47	48 Minutes
January 2021	74	65 Minutes
February 2021	78	54 Minutes
March 2021	75	47 Minutes
April 2021	65	46 Minutes
May 2021	70	54 Minutes
June 2021	63	68 Minutes
July 2021	72	67 Minutes
August 2021	70	53 Minutes
September 2021	73	48 Minutes

Currently there are 134 registered for the monthly calls.

AGENDA 5

AskCMEPAC

Carl Stelly, Chair

Action

Discussion

Report

Chair Stelly will lead this discussion during the meeting. The AskCMEPAC tracker is available on the collaboration site.

AGENDA 6

Regional Risk Assessment Drafting Input

Lee Felter, Principal Risk Assessment & Mitigation Engineer

Uttam Adhikari, Senior Risk Assessment and Mitigation Engineer

Action

Discussion

Report

Lee Felter and Uttam Adhikari will present and request input for the Regional Risk Assessment during the meeting. The slide will begin on the next page.



MIDWEST
RELIABILITY
ORGANIZATION

2022 Regional Risk Assessment

CMEPAC Input Discussion

CLARITY

ASSURANCE

RESULTS

Risk Assessment and Mitigation

- **Segregated from Compliance**
- **Assesses risk of PNCs that are reported to us**
- **Mitigations**
- **Outreach**



Background – 2021 RRA

MRO Reliability Risk Matrix - Physical and Cyber Security Risks							
Consequence/ Impact (C) to the BPS		Likelihood of Occurring (L)					
		L1		L2	L3	L4	L5
		Very Unlikely	Unlikely	Possible	Likely	Almost Certain	
C5	Severe						
C4	Major		3	8			
C3	Moderate		10	6, 4, 7			
C2	Minor			1, 2, 9			
C1	Negligible				5		

■	Physical and Cyber Security Risks
1■	Adequate Security Staffing & Funding
2■	CIP Standard Compliance Fatigue
3■	Combined Cyber and Physical Attack
4■	Communication Network (Backhaul)
5■	Drones / Unmanned Aerial Systems (UAS)
6■	Insider Threat
7■	Sabotage
8■	Supply Chain
9■	Unsupported/Legacy Devices
10■	Vulnerability Management

MRO Reliability Risk Matrix- Operations and Planning Risks						
Consequence/ Impact (C) to the BPS		Likelihood of Occurring (L)				
		L1	L2	L3	L4	L5
		Very Unlikely	Unlikely	Possible	Likely	Almost Certain
C5	Severe					
C4	Major			6		
C3	Moderate		2	3, 4, 9	11	
C2	Minor			1	5, 7, 8, 10	
C1	Negligible					

■	Operations and Planning Risks
1■	Overhead Transmission Line Ratings During Cold Weather
2■	Voltage Stability and Reactive Management of the BPS
3■	Reactive Capability of Inverter Based Resources
4■	BPS Modelling Accuracy
5■	Sunset of Telecommunication Circuits
6■	Uncertainty of Planning Reserve Margins
7■	Vegetation Management of 100-200 kV Circuits
8■	Cold Weather Operation of SF6 Gas Insulated Circuit Breakers
9■	Wind Plant Modelling and Ride-Through Capability During Faults
10■	Misoperations Involving Directional Comparison Blocking Schemes
11■	Misoperations Due to Errors Occurring During Commissioning



CLARITY

ASSURANCE

RESULTS

Background – Achievable Results

MRO Reliability Risk Matrix - Physical and Cyber Security Risks						
Consequence/ Impact (C) to the BPS		Likelihood of Occurring (L)				
		L1	L2	L3	L4	L5
		Residual Risk				
C5	Severe					
C4	Major		3			
C3	Moderate			4, <u>8</u>		
C2	Minor		<u>10</u>	1, 2, 9, <u>6, 7</u>		
C1	Negligible				5	

E.G.



Discussion Topics

- **Current Standards application to identified risks**
- **Future Standards application to identified risks**
- **Regional trends that may introduce new risks**
- **How can we use the RRA to benefit everyone?**



AGENDA 7

Work Plan Updates

Carl Stelly, Chair

Action

Discussion

Report

Chair Stelly will lead this discussion during the meeting. The work plan is available on the collaboration site.

AGENDA 8

Self-Certification Worksheet Feedback

Desirée Sawyer, CMEP Advisory Council Staff Support

Action

Discussion

Report

Desirée Sawyer will lead this discussion.

AGENDA 9

OGOC Meeting Preparations

Carl Stelly, Chair

Action

Discussion

Report

This time will be utilized to prepare CMEPAC members for the meeting with the OGOC.

AGENDA 10

Meeting with OGOC

- a. CMEP 2021 Conference feedback
Carl Stelly, Chair

Action

Discussion

Report

Chair Stelly will lead the CMEPAC and OGOC in a group discussion.

AGENDA 10

Meeting with OGOC

- b. CIP-012 Readiness Assessment Pilot Update

Carl Stelly, Chair

Action

Discussion

Report

Chair Stelly will lead the CMEPAC and OGOC in a group discussion.

AGENDA 10

Meeting with OGOC

- c. Internal Controls, Building a Common Perspective with Industry

Carl Stelly, Chair

Action

Discussion

Report

Chair Stelly will lead the CMEPAC and OGOC in a group discussion.

AGENDA 11

Diversity

Julie Peterson, Assistant Corporate Secretary and Senior Counsel

Action

Information

Report

Julie Peterson will lead this presentation during the meeting. The slides will begin on the next page.



MIDWEST
RELIABILITY
ORGANIZATION

MRO Organizational Groups

Diversity Initiative

CLARITY

ASSURANCE

RESULTS

Types of Diversity

Inherent Diversity

- Race
- Ethnicity
- Age
- National origin
- Sexual orientation
- Cultural identity
- Assigned sex
- Gender identity

Acquired Diversity

- Expertise (e.g., engineering, operations, security)
- Experience (e.g., executive, technical)
- Geography (e.g., US, Canada, north, south)
- Company (e.g., no more than two members from the same company per group)



Why Diverse Teams are Smarter

- **They focus more on facts**
 - More likely to constantly reexamine facts and remain objective
 - Can lead to improved and more accurate group thinking
- **They process those facts more carefully**
 - Considering the perspective of an outsider can result in improved decision-making and results
- **They are also more innovative**
 - Diversity boosts intellectual potential
 - Conformity discourages innovative thinking

SOURCE: <https://hbr.org/2016/11/why-diverse-teams-are-smarter>



Be an MRO Diversity Ambassador

- **Help us reach a wider pool of applicants**
 - Share MRO LinkedIn posts with your network
 - Discuss and share the request for nominations within your organizations
- **Participation is a developmental opportunity**
- **Nominate and elect diverse candidates**



Nominations & Elections

- **Nominations period is open Sept 13 - Oct 6**
- **Elections during Q4 Meetings**



Thank you!

Questions?

Contact

Julie Peterson

MRO Assistant Corporate Secretary and Senior Counsel

julie.peterson@mro.net



AGENDA 12

Standing Reports

- a. NERC Compliance and Certification Committee (NERC CCC)
Mahmood Safi, CMEPAC and NERC CCC Member

Action

Information

Report

Mahmood Safi will provide an oral report during the meeting.

AGENDA 12

Standing Reports

b. NERC Standards Review Forum (NSRF)
Joe DePoorter, Chair NSRF, CMEPAC Member

Action

Information

Report

The MRO NSRF continues to review, make comments and provide voting recommendations to the MRO members and guests on all NERC Reliability Standards Projects. There is an increase in Standard updates that will impact many MRO members. The Forum strives to get Forum agreement on all Comments, however, the Forum still reviews every posted Project by a lead agent of the Forum, which allows one person to summarize all comments from MRO members and establishes a common platform that not only benefits the MRO members, but enhances the reliability and security of the bulk power system. The NSRF Membership and Guests received the MRO Diversity Presentation during our 8 August 2021 meeting.

Areas of Focus

The NSRF's area of focus is to review the Standards as laid out in the current Reliability Standards Development Plan, established by NERC.

Accomplishments and Current Projects in 2021

Project 2015-09, FAC-014, Comments submitted

Project 2016-02, Virtualization, Comments submitted

Project 2017-01, Modifications to BAL-003 White Paper, Phase II, Comments submitted

Project 2018-02, FAC-008, Comments submitted

Project 2019-04, Modifications to PRC-005 SAR, Comments submitted

Project 2019-06, Cold Weather, Comments submitted

Project 2020-02, Verification of Models and Data SAR, Comments submitted

Project 2020-04, Modifications to CIP-012-1, Comments submitted

Project 2021-01, Modifications to MOD-025 and PRC-019 SAR, Comments submitted

Project 2021-02, Modifications to VAR-002, Comments submitted

Project 2021-05, PRC-023 SAR, Comments submitted

Project 2021-06, Modifications to IRO and TOP SAR, Comments submitted

Project 2016-02 CIP Virtualization, Comments submitted

2020 Standards Grading Review, Comments submitted

2022 – 2024 Reliability Standards Development Plan, Comments submitted

Challenges

The NSRF is a volunteer Forum that is comprised of utility professionals who understand that all NERC Reliability Standards must mitigate either a current risk or emerging risk to the BPS. The NSRF is building on the foundation that the CMEPAC and MRO Staff has set for our current and future state of reliability. Our challenge is to continually have a single voice that represents the entire MRO membership.

AGENDA 12

Standing Reports

- c. Mid-Continent Compliance Forum (MCCF)
Mark Buchholz, CMEPAC and MCCF Member

Action

Information

Report

The Mid-Continent Compliance Forum (MCCF) provides Registered Entities in the MRO footprint of the Eastern Interconnection a venue to share knowledge, lessons learned and best practices regarding compliance matters. The MCCF Steering Committee is established to coordinate MCCF meetings, develop meetings agendas, and communicate on compliance matters and actions by MCCF members. MCCF Steering Committee meets monthly via conference call or WebEx.

The MCCF Steering Committee last met on September 16, 2021 via WebEx. Topics included transition to a 501(c)3 non-profit organization and move from a Steering Committee to a Board of Directors; Board of Director elections; and the hosting of a virtual information forum for members later this fall . Discussion also included extending an invitation to the CMEPAC Chair and Vice Chair to attend the October Steering Committee/Board of Directors Meeting to discuss potential partnership opportunities between the MRO CMEPAC and the MCCF.

The next MCCF Steering Committee Meeting is scheduled for October 21, 2021 via WebEx.

AGENDA 12

Standing Reports

- d. SPP Reliability Compliance Advisory Group (RCAG)
Mark Buchholz, CMEPAC and RCAG Member

Action

Information

Report

The SPP Reliability Compliance Advisory Group (RCAG) provides guidance on policy issues to the SPP RTO on reliability compliance activities of federal or regional regulators, or committees. It also provides expertise to other SPP Working Groups on membership issues related to regional compliance matters specific to execution, interpretation, or implementation of federal or regional regulatory requirements. The RCWG provides a stakeholder forum to encourage membership discussion of regional compliance issues and provide a means to communicate collectively membership concerns or issues with SPP RTO Compliance staff on matters of NERC Reliability Standard Compliance.

The SPP RCAG last met on September 13, 2021 via WebEx. Meeting minutes are available on the SPP.org website. Topics included: SPP CIP-012 Implementation Update; the recently revised SPP RC SOL Methodology; SPP compliance contact coordination; minimum design standards for projects within the SPP footprint; the SPP Winter Weather Preparation Survey; and the SPP OATT/Market Protocols Review. No stakeholder meetings will be scheduled on-site for the foreseeable future.

The next SPP RCAG Meeting is scheduled for October 11, 2021 via WebEx.

AGENDA 13

New Collaboration Site

Desirée Sawyer, CMEP Advisory Council Staff Support

Action

Information

Report

Desirée Sawyer will lead this discussion during the meeting.

AGENDA 14

2022 Nomination Process

Carl Stelly, Chair

Action

Information

Report

Carl Stelly will lead this discussion during the meeting. The CMEPAC will have six (6) open positions. Five (5) of these terms will be ending in 2024 and one (1) term will be ending in 2023. There are also five (5) open positions for NERC Group Representatives that will report to the CMEPAC. Nominations close on October 6, 2021. For more information on nominations, please view the full solicitation for nominations here:

<https://www.mro.net/MRODocuments/MRO%20Seeks%20Nominations%20for%20Organizational%20Group%20Positions.pdf>.

AGENDA 15

Proposed 2022 CMEPAC Meeting Dates

Carl Stelly, Chair

Action

Review and approve the 2022 proposed meeting dates.

Report

Below are the proposed meeting dates for the CMEPAC for 2022:

PROPOSED MEETING DATES FOR 2022				
	Q1 2022	Q2 2022	Q3 2022	Q4 2022
CMEPAC	2/15	6/7	9/21- Joint with OGO	11/10

MRO CONFERENCE DATES 2022	
Q3	CMEP: July 25-26, 2022 networking reception and conference

AGENDA 16

Action Item Review

Desirée Sawyer, CMEP Advisory Council Staff Support

Action

Information

Report

Desirée Sawyer will review all open action items and will discuss all action items logged from this meeting.

AGENDA 17

Other Business

AGENDA 18

Adjourn