

## COMPLIANCE ENFORCEMENT ENGINEER

### Position Summary

The Compliance Enforcement Engineer is responsible for the determination of Alleged Violations, development of Compliance Staff recommendations for penalties and sanctions for all Alleged Violations, and the Compliance Staff's review and acceptance of Mitigation Plans, at the direction of the Manager of Compliance Enforcement and Director of Compliance.

### Reporting

The Compliance Enforcement Engineer reports to the Manager of Compliance Enforcement.

### Duties and Responsibilities

#### Compliance Enforcement Process

- Act as compliance Single Point of Contact (SPOC) for registered entities, as assigned, to respond to or initiate possible violations, and investigate, evaluate and make determinations of alleged violations; Record relevant violation information in the compliance tracking and reporting system.
- Develop comprehensive disposition document comprising the relevant record for each assigned compliance violation processed.
- Communicate with registered entities, NERC, and other regions as necessary to investigate possible violations and to pursue appropriate enforcement actions.
- Review submitted mitigation plans for appropriate content; work with registered entities to produce mitigation plans to remedy violations and recommend mitigation plans for regional acceptance.
- Respond to inquiries from registered entities, other SERC staff, other regional entities and NERC.
- Provide evidence and documentation in support of settlement discussions.
- Utilize, and create and maintain when appropriate, database queries and reports in support of compliance processing.
- File documentation related to each step of the Compliance Enforcement Process in the appropriate documentation repository.
- Develop and produce compliance enforcement materials in support of Board Compliance Committee, Executive Committee, and Board of Directors meetings.
- Participate in select audits and assist auditors as necessary.
- Provide budgetary estimates and assist in the management of SERC resources.
- Perform initial screening and prioritization of new issues (self-report, complaint, disturbance, or event) on rotation with other employees within Compliance.
- Provide evidence, testimony, and documentation in support of Hearing Proceedings, as needed.
- Perform functions of Principal/Senior Compliance Enforcement Engineer/Compliance Enforcement Engineer as needed due to employee absence or conflict of interest.

#### Penalty and Sanctions

- Develop and justify recommended penalties and sanctions for alleged violations; and ensure consistency in the application of penalties and sanctions among entities and across regions.
- Effectively apply the Sanction Guidelines of the NERC Rules of Procedure and other relevant guidance as an input to the penalty determination.

### Compliance Program Support

- Assume responsibility as a subject matter expert for the development and revision of Compliance Implementation Procedures and guides.
- Facilitate, and lead where applicable, inter-regional working groups including scheduling and meeting preparations, agenda management, taking minutes, and maintaining task lists; participate in stakeholder interface group meetings, as assigned.
- Perform other assignments as directed by the Manager of Compliance Enforcement, Director of Compliance or SERC President/CEO.

### **Job Qualifications**

#### Knowledge, Skills, and Abilities required

- Excellent organizational and time management skills.
- Project management skills.
- Ability to work with and analyze data-intensive and detailed information, and to draw meaningful conclusions from that information.
- Working knowledge of NERC Reliability Standards and SERC regional standards.
- Computer skills, proficient with Microsoft Office applications, including Word, Excel, Access, and Power Point.
- Effective communication skills (face-to-face, telephone, written and email, and presentation skills)

#### Education Required

- Four year and/or higher educational degree in Engineering, or equivalent experience.

#### Experience Required

- Five years experience in electric utility industry with background in regulatory and/or compliance activities in a related field.

#### Other Requirements

- Ability to travel periodically.

This position is located in Charlotte, NC.

All resumes should be submitted to Jen Kelly, Manager of Finance and Human Resources at [jkelly@serc1.org](mailto:jkelly@serc1.org).