



Organization and Procedure Manual for SERC Technical Committees

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1.0 Purpose

This manual defines the organization and procedures of the SERC Technical Committees and subgroups. The manual is a living document that may be updated as needed. Changes to the manual may be recommended by any Technical Committee representative, subgroup representative or SERC staff.

2.0 Scope

The scope of this manual applies to the organization and procedures for the SERC Technical Committees, their subgroups and SERC staff supporting them.

3.0 Definitions

Term or Acronym	Definition
Technical Committees	Critical Infrastructure Protection Committee, Engineering Committee, Operating Committee, and Standards Committee.
Subgroups	All subcommittees, working groups, and task forces under the Technical Committees.

4.0 Responsible SERC Group(s)

The SERC Technical Committees and SERC staff are responsible for maintaining this manual.

5.0 Review and Approval Requirements

This document will be reviewed every three years or as needed by SERC staff and the Technical Committees for possible revision. The existing or revised document will be approved by the SERC Board of Directors (BOD) and distributed to all Technical Committee members by SERC staff.

6.0 General Procedure

6.1 Authority

The SERC Region has been using a committee structure to perform various reliability functions since the 1960's. Many of these functions are the foundation that highlights the collaboration and information-sharing that has made SERC a highly reliable Region in the United States. In 2005, Congress added section 215 to the Federal Power Act, which charged an Electric Reliability Organization to, *inter alia*, 1) create mandatory and enforceable standards, 2) enforce the approved standards, and 3) conduct periodic assessments of the reliability and adequacy of

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the bulk-power system.¹ Under this paradigm, the SERC committees have three primary functions:

1. Assist SERC in performing delegated functions per the Amended and Restated SERC Regional Delegation Agreement (Delegation Agreement).²
2. Perform collaborative efforts to allow registered entities to demonstrate compliance.
3. Perform collaborative efforts to provide general assistance and guidance to SERC members and SERC registered entities.

SERC is responsible for performing certain functions per the Delegation Agreement and as part of the ERO Enterprise. The SERC committees assist in certain of these delegated functions including, but not limited to:

1. Event Analysis and Reliability Improvement,
2. Reliability Assessment and Performance Analysis,
3. Training and Education,
4. Situation Awareness,
5. Critical Infrastructure Security, and
6. Development and Proposal of Reliability Standards.

SERC could perform these functions in-house through its reliability programs or by leveraging the subject matter experts of the Member Companies and the committee structure. When using committees to perform delegated functions, collaboration with and oversight from SERC staff allows SERC to demonstrate a level of independence that is required for its performance of the Delegation Agreement.³

¹ Federal Power Act of 1920, 16 U.S.C. § 824o (2005). Retrieved from <https://www.law.cornell.edu/uscode/text/16/824o>

² North American Electric Reliability Corporation (NERC) and SERC Reliability Corporation (Jan. 1, 2016). Amended and Restated SERC Regional Delegation Agreement. Retrieved from https://www.serc1.org/docs/default-source/about-serc/governance/SERC_NERC_Delegation_Agreement.pdf?sfvrsn=4

³ U.S. Federal Energy Regulatory Commission (FERC). (Feb. 3, 2016). Rules Concerning Certification of the Electric Reliability Organization; and Procedures for the Establishment, Approval, and Enforcement of Electric Reliability Standards (Order No. 672), 18 CFR part 39, at para. 657. Retrieved from http://www.nerc.com/pa/Stand/Resources/Documents/FERC_Order_18_CRF_Part_39_Rules_Concerning_Cert_of_ERO.pdf

Also, NERC (Oct. 31, 2016). *Rules of Procedure*, Section 801. Retrieved on from http://www.nerc.com/FilingsOrders/us/RuleOfProcedureDL/NERC_ROP_Effective_20161031.pdf

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6.2 SERC Organizational Framework

The Technical Committees and its subgroups are one part of the overall SERC organization.

Technical Committees and their subgroups provide a vehicle by which SERC engages the reliability expertise provided by active participation of industry volunteers. The Technical Committees and their subgroups shall maintain an annual work plan and provide technical support to members in order to keep abreast of emerging issues and technologies that may impact the reliability of the Bulk Electric System (BES) within the SERC Region. Additional information regarding the other SERC functions may be found in separate references on the SERC website at www.serc1.org.

SERC operates on the basis of Member Company participation and leadership in its many technical functions. The active contributions of SERC Technical Committees and subgroups are integral to the success of SERC. Participation on the Technical Committees and subgroups is governed by scope documents approved by the parent technical committee.

6.2.1 Technical Committees

The Board, by resolution adopted by a Simple Majority vote (as defined in SERC’s Bylaws), may designate Technical Committees as shall be necessary to address SERC’s purposes.

7.0 Technical Committee and Subgroup Membership

7.1 Confidentiality and Standards of Conduct

The Technical Committees and their subgroups shall abide by the FERC Standards of Conduct, the NERC Operating Reliability Data Agreement, and the SERC Confidential Information Policy.

7.2 Antitrust Compliance

The Technical Committees and their subgroups shall abide by the SERC Antitrust Compliance Guidelines. These guidelines state that SERC’s policy and practice is to obey the antitrust laws and avoid all conduct that unreasonably restrains competition. This policy requires the avoidance of any conduct that violates, or might appear to violate, the antitrust laws.

7.3 Technical Committees and Subgroups Representation

When participating in SERC Technical Committees or subgroups, representatives are acting in furtherance of SERC functions, and are not acting for the sole benefit of their employer or client. Representatives are expected to adhere to the respective scope documents and share in the workload as needed.

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Committee rosters and email distribution lists for the Technical Committees and subgroups are maintained by SERC staff and required updates are initiated by SERC Member Company employees. Each SERC member company shall notify SERC staff of any appointments to the Technical Committees and subgroups to effect the necessary roster change.⁴

If any member company who has named a representative to a SERC Technical Committee or subgroup fails to be represented for three consecutive meetings, the committee chair shall send a written notice to that member and its parent committee chair. The member company shall be requested to withdraw representation from that Technical Committee (or subgroup) or to request continuation of representation with an explanation of any extenuating circumstances. If a written response is not received from the member company within 30 days of the date of the written notice, the lack of response shall be considered a withdrawal of Technical Committee or subgroup representation.

If any member company who has named a representative to a SERC Technical Committee or subgroup fails to perform their assigned functions, the chair shall send a written notice to that representative, their member company and inform its parent committee chair. The member company shall be requested to withdraw representation from that Technical Committee (or subgroup) or to request continuation of representation with an explanation of any extenuating circumstances. If a written response is not received from the member company within 30 days of the date of the written notice, the lack of response shall be considered a withdrawal of technical committee representation.

8.0 Committee Organization

The SERC Technical Committees and subgroups are organized to enable SERC to promote effective and efficient administration of bulk power system reliability. The SERC Committee organization structure is located on the SERC website and maintained by SERC staff.⁵ In addition, other subcommittees, ad hoc committees, task forces, study groups, working groups, and liaisons are established as set forth in this section.

9.0 Roles and Responsibilities

⁴ <https://www.serc1.org/committees/committee-roster-update-request/>

⁵ Committee organization structure found at: <https://www.serc1.org/Committees>. The current list of Technical Committees and subgroups, along with their supporting documentation can be found at this link.

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9.1 Officers

9.1.1 Officer Duties

The Technical Committee chair's duties shall include all of those duties normally accepted as responsibilities and prerogatives of the chair of any group, with the following additional responsibilities as applicable:

- Serve as the SERC Regional Representative on the corresponding NERC technical committee:
 - SERC EC – NERC Planning Committee
 - SERC OC – NERC Operating Committee
- Report on applicable committee activities at the meetings of the SERC Board of Directors, the SERC Board Executive Committee, and the other SERC technical committees. Report on SERC committee activities at the NERC technical committee meetings as required.
- Direct, as needed, the formation of subcommittees, ad hoc committees, working groups, or task forces.
- Appoint the leadership of the respective EC, OC, and CIPC subgroups as required by the subgroups' scope documents.
- Appoint a nominating committee as specified in Section 9.5.1.

The vice chair shall assist the chair, as required, and shall act as chair in the chair's absence. Other duties include:

- Serve as the alternate the corresponding NERC technical committee:
 - SERC EC – NERC Planning Committee
 - SERC OC – NERC Operating Committee
- In conjunction with the chair, develop the applicable Technical Committee meeting agenda (program) and the program for the joint Technical Committees' meeting when that responsibility rotates to the applicable Technical Committee.
- If the chair is unable to complete the full term of office, the vice chair shall fill the chair's unexpired term. Additionally, a nomination committee chair may be appointed to identify potential candidates to fill the vice chair's unexpired term.

9.1.2 Guidance for SERC Technical Committee and Subgroup Leadership

Technical committee and subgroup leaders must be familiar with the many leadership tasks that SERC members require of them. Below is a checklist of responsibilities for leaders:

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- Consider shadowing the sitting chair for at least six months prior to the commencement of a leadership position.
- Discuss initiatives with the prior chair to foster continuity.
- Recognize that if the vice chair is your successor, he/she should be involved in your planning and strategy development.
- Technical Committee chairs should work with the leadership team of the subgroups to ensure that tactical and strategic direction is clear and consistent.
- Establish clear and concise goals for the representatives, including what you hope to accomplish and by what date. Refer often to the committee's or subgroup's scope documents. Ensure that everyone on the committee or subgroup is aware of the reference documents, work plans, goals, and timelines created to produce work products.
- Review your committee's or subgroup's scope document/procedural manual for any needed changes. If a procedural manual has not been created for the committee or subgroup, consider developing one with the representatives' input. Be sure that all of the committee's or subgroup's activities are captured within the document.
- Develop an activity schedule for the calendar year during your chairmanship to be reviewed by your SERC staff support person and committee members.
- Consider Robert's Rules of Order for conducting committee meetings.
- Plan ahead for more than the next meeting. Think in terms of your entire two-year term. Try to make all meeting agendas relevant to the committee's planned deliverables.
- Work closely with the SERC staff support person to make a clear direction and precise agenda package for each meeting. The meeting package will consist of the agenda, SERC Confidentiality Policy and Antitrust Guidelines, and other relevant documents needed to produce deliverables for the group.
- Although chairs are expected to run the committee or subgroup meetings, create an environment where everyone can contribute comments and ideas. The more you involve people in the decision-making processes, the more ownership members will take in accomplishing the group's goals.
- Develop a close working relationship with your assigned SERC staff support person, who will be essential to help produce the group's deliverables.
- When assigning representatives to ad hoc groups within a committee or subgroup for special projects/topics, consider each representative's past experience. Also, take the opportunity to involve new representatives in the group. This tactic will help to broaden the pool of volunteers so that their expertise can be used for future committee or subgroup projects.

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- Try to make and encourage decisions that are fair and best for all concerned. Encourage decisions that are based on the wants or needs of the majority of the group and support the group’s goals.
- Convey a sense of ownership in your preparations for and participation in committee or subgroup meetings.
- Become familiar with SERC policies relative to confidentiality, antitrust procedures, data release, and other operational guidance.
- Accept that you are the leader and foster among your committee or subgroup representatives recognition of your leadership role.
- Be flexible when possible, but be firm when deliverables are at risk.

9.2 SERC Staff

The SERC staff shall manage the business affairs of SERC’s Technical Committees and subgroups by providing administrative guidance and technical support.

One designated SERC staff employee will be assigned to support each SERC Technical Committee or subgroup. Additional SERC staff support will be available to assist the staff designee as required. SERC staff designated to support the Technical Committee or subgroup shall be responsible for the following:

- Arrange and coordinate SERC Technical Committee or subgroup meetings, agendas, and presentations.
- Coordinate SERC Technical Committee and subgroup meetings with other SERC and NERC meetings to eliminate meeting conflicts and ensure that meetings occur in proper order to support action items and schedules.
- Distribute, in accordance with the official distribution list and roster, notification of all SERC Technical Committee and subgroup meetings and agendas.
- Maintain historical records of all respective SERC Technical Committee and subgroup meetings and activities and the official rosters of the SERC Technical Committees and subgroups, and keep historical records of all voting issues and balloting responses. The SERC Technical Committee and subgroup rosters will be maintained on the SERC Portal.
- Record the official meeting minutes during all respective SERC Technical Committee or subgroup meetings.
- Prepare the meeting minutes for the Technical Committee or subgroup and distribute to all representatives within three weeks following the meeting.
- When voting is required by email balloting, issue all ballots in accordance with established procedures, and provide a follow-up mechanism for tracking the ballots.

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- Maintain a record of the email balloting response and report the official results of the particular balloting process. The official balloting response and report shall be made in a format that complies with balloting requirements and procedures and clearly shows the official approval or disapproval of the subject balloted.
- Perform other duties as requested by the respective SERC Technical Committee or subgroup chair and generally support concise and timely communications among all SERC Technical Committee or subgroup representatives.
- Maintain electronic files of appropriate documents, and distribute copies and revisions of appropriate documents to all respective SERC Technical Committee or subgroup representatives.

9.3 SERC Subgroups

Technical subgroups shall be recommended by the respective SERC Technical Committee chair and established by the SERC Technical Committee.

9.4 Committee Management

Technical Committee and subgroup agendas, workload, and projects are governed by work plans that are reviewed and approved annually by each Technical Committee. Work plans are developed with committee/subgroup involvement and maintained by SERC staff. Subgroup activities should be in direct support of these plans.

9.5 Nominating Committees

Ad hoc nominating committees shall be appointed by the current Technical Committee chairs to identify candidates for the purpose detailed below.

9.5.1 Nominating Committees for SERC Technical Committees Chair and Vice Chair

At a meeting prior to an election year, the Technical Committee chair shall appoint a nominating committee to select candidates for its next chair and vice chair. The nominating committee shall consist of the immediate past Technical Committee chair and one or two other members as appropriate. The nominating committee shall determine a list of potential candidates based on the knowledge of responsibilities and the commitment that will be required. Potential candidates shall then be contacted to discuss the opportunity and solicit their willingness to serve in that position. The nominating committee shall then present a slate of officers to the Technical Committee prior to the expiration of terms. The Technical Committee will nominate a chair to be presented to the SERC BOD for their approval. The vice chair will be elected by the Technical Committee.

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9.6 Event Planning

9.6.1 Joint Technical Committees Meeting Coordination

The program for the Joint Technical Committees meetings will be developed by selected individuals from each of the EC, OC and CIPC as determined by the Technical Committee chairs. Responsibility for coordination of this effort will be rotated among the EC, OC and CIPC.

10.0 Meeting Procedures

10.1 Technical Committee and Subgroup Attendance

Attendance at Technical Committee meetings is usually limited to representatives and/or alternates of member companies, subgroup chairs, SERC staff, and persons invited to attend as guests.

Attendance at subgroup meetings is usually limited to representatives and/or alternates of member companies, SERC staff, and persons invited to attend as guests.

10.2 Technical Committee and Subgroup Guests

Guests may be invited upon prior approval of the Technical Committee or subgroup chair and shall be introduced as such at the beginning of each meeting. Anyone present at a SERC Technical Committee or subgroup meeting that has not signed a SERC Confidentiality Agreement will be asked to leave the meeting before any SERC confidential information is discussed.

10.3 Minutes

Minutes shall be taken at each SERC Technical Committee or subgroup meeting and distributed to the respective members within three weeks after each meeting. The draft minutes will also be posted on the respective committee or subgroup section of the SERC Portal.

In instances when a meeting occurs with less than a week's notice, records from that meeting should be reflected in the minutes of the next appropriately scheduled meeting.

10.4 Agenda

The chairs of each SERC Technical Committee or subgroup are responsible for preparing the working agenda for each respective meeting. SERC staff will distribute the agenda and relevant documentation to the members at least one week before the meeting.

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In instances when a meeting needs to occur with less than one week's notice, all voting items shall be deferred to an email ballot sent to the group or at the next appropriately scheduled meeting.

11.0 Dispute Resolution

Each Technical Committee and subgroup shall strive to resolve any and all disputes that may arise in the conduct of committee business by using the procedures in this manual and in Robert's Rules of Order to resolve such disputes. Any committee representative or group of representatives involved in a dispute shall notify the chair in writing regarding the specific details of the dispute, including any procedural errors or unfair actions believed to have occurred and any adverse consequences. Each committee representative or group of representatives involved in the dispute shall apply a best effort to resolve the dispute under the guidance of the chair. The dispute may be resolved using whatever methods the chair may deem appropriate, consistent with this manual and Robert's Rules of Order. If, after notifying the chair of the dispute, a committee representative or group of representatives deems that the dispute cannot be resolved by working further with the chair, the chair shall submit the issue to the appropriate parent committee. These disputes can be presented up to and including the SERC Board of Directors, if necessary.

12.0 Revision History

Revision	Date	Originator	Comments
0	October 1, 2006		Applied the <i>NERC Organization and Procedures Manual for NERC Technical Committees</i> document format as a guide to combine the SERC EC and OC Handbooks and the CIPC Scope into one document for all SERC technical committees.
1	July 13, 2011		Revisions to reflect current operations. Approved by SERC Board Executive Committee.
2	October 28, 2015 (May 24, 2016, errata change)		Updated per periodic review. Updated to latest SERC document template. Made revisions to match latest SERC Bylaws. Deleted Appendices A, B, and C to prevent maintaining duplication of information in the committee/subcommittee scope documents. (May 24, 2016 revised footer to indicate the document was approved by the SERC Board of Directors instead of the Board Executive Committee.)
3	June 27, 2018		Updated to reflect new committee structure and updated procedures. Eliminated duplicate language to coordinate better with scope documents.

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