

# SERC Registered Entity Forum Charter



## Registered Entity Forum

### Purpose

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The purpose of the Registered Entity Forum (REF) is to promote compliance excellence, elevate the collective compliance culture, and strengthen reliability among all SERC Reliability Corporation (SERC) Registered Entities, thereby enhancing the firm commitment to reliability and strong compliance cultures embraced by SERC Registered Entities. The REF provides a safe harbor for SERC Registered Entities to exchange information, share lessons learned, and generate concerns and questions to be provided to SERC staff regarding compliance with SERC and NERC reliability rules, Standards, and regulations.

### Membership and Organization

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The REF shall be a self-directed forum that provides a formal platform for Registered Entities to discuss compliance issues of interest and importance to them. The REF is open to participation by all entities registered in the SERC Compliance Registry, regardless of their membership status in SERC. REF meetings are conducted in the absence of SERC staff members, except as requested by the REF.

The REF shall be led by an REF Steering Committee, which shall coordinate and conduct the REF meetings and provide general administration of the REF. The REF Steering Committee shall be comprised of nine representatives from at least seven different Registered Entities elected by the Registered Entities. Three of the nine members will have CIP compliance background and experience. All elected representatives will serve staggered, two-year terms such that the terms for no more than five of the Steering Committee members expire concurrently. The REF Steering Committee will establish a nominating committee comprised of the immediate past REF Steering Committee members. The nominating committee will propose a slate for election by the Registered Entities. In addition to the slate presented by the nominating committee, nominations will also be accepted from the floor. The REF Steering Committee will conduct an election for all open REF Steering Committee positions by November 15th of each year. All SERC Registered Entities, regardless of their membership status in SERC, are eligible to serve on the REF Steering Committee. Each SERC Registered Entity will be allowed one vote and the REF Steering Committee candidate(s) who receive the majority of votes will fill the open position(s). The REF Steering Committee members shall serve until his or her resignation, retirement, removal, or until a successor is elected in accordance with expiration of his or her term.

### Responsibilities and Activities

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The REF shall be bound by the SERC Confidentiality Policy and the SERC Antitrust Compliance Guidelines and all applicable laws and regulations in carrying out its purpose. REF participants shall comply with the SERC Standards of Conduct policy that prohibits conflicts of interest associated with its compliance program. In addition, members of the REF Steering Committee are prohibited from disclosing to SERC the

names of SERC Registered Entities whose concerns or questions are discussed with SERC staff members. The following is a list of REF responsibilities and routine activities:

### Responsibilities

The REF shall be responsible for:

1. Promoting active participation among all SERC Registered Entities;
2. Providing a conduit to SERC staff regarding questions/feedback discussed during the REF regarding compliance implementation; and
3. Providing opportunity for open discussion among participating SERC Registered Entities regarding reliability and compliance issues including sharing lessons learned and best practices.

### Activities

1. REF meetings will be held as determined by the members of the REF Steering Committee, but not less than annually. REF meetings may be held in conjunction with SERC compliance seminars so as to facilitate participation by Registered Entity representatives attending the compliance seminars.
2. The REF Steering Committee shall conduct all REF meetings, and shall be responsible for preparing the agenda for such meetings.
3. The REF may, from time to time, appoint ad-hoc committees of technical experts to research and/or advise it on matters including, but not limited to, compliance or technical issues. Such ad-hoc committees of technical experts may be formed on an as-needed basis and may vary in makeup depending on the needs of the REF.

### REF Interaction with SERC Staff

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The REF Steering Committee will meet quarterly with SERC staff to discuss issues raised by the REF. Such issues, and other questions or requests for information from the REF, shall be coordinated by the REF Steering Committee with the SERC Director of Compliance or the Director's designee. SERC responses to such issues, questions, and requests for information will be made available to the REF.