

Southwest Power Pool, Inc.
OVERSIGHT COMMITTEE MEETING
July 29, 2019
Hilton Downtown, Des Moines, Iowa

• M I N U T E S •

Executive Session 1

Agenda Item 1 – Call to Order/Administrative Items

Josh Martin called Executive Session 1 to order at 7:00 AM. Members in attendance included: Graham Edwards (Director); Darcy Ortiz (Director); and, Phyllis Bernard (Director). Harry Skilton (Director Emeritus), Susan Certoma (Director) and Bruce Scherr (Director) also attended in person. SPP staff in attendance included Barbara Sugg, Sam Ellis, Lauren Krigbaum (by phone), and Aaron Shipley (by phone) (Attendance – Attachment 1). Graham Edwards moved and Darcy Ortiz seconded adoption of the April 15, 2019 Oversight Committee minutes, which were unanimously accepted (Minutes 4/15/2019 – Attachment 2).

Agenda Item 2 – Action Items Report

Michael Desselle provided a status report on the follow-up action items.

Agenda Item 3 – Quarterly Activity Reports

Internal Audit Department – Lauren Krigbaum reported on Internal Audit's: completed assessments since the last OC meeting; the status of 2018/2019 audit plan items in process; the proposed draft 2019/2020 audit plan; and, staffing matters. Additionally, Lauren provided a mid-year budget forecast as well as the Department's 2020 proposed budget. With respect to the proposed 2020 audit plan, Josh noted that the Committee should avail themselves of Internal Audit's solicitation for areas of interest/concern for inclusion into the final audit plan.

Security - Sam Ellis provided the quarterly cyber-security update. He briefed the Committee on recent cyber-related news articles. Related to these articles, Sam clarified NERC's requirements for incident and disturbance reporting and discussed SPP's internal efforts to mitigate the risk of incident reporting leading to news headlines. Sam reviewed the quarterly cyber metrics; shared the results from the 2019 Cyber maturity assessment (confirming continued progress in SPP's overall maturation efforts); and, shared the current status of various cyber strategic objectives.

Agenda Item 4 – Competitive Transmission Process Timeline

Aaron Shipley discussed upcoming OC tasks related to the 2019 Integrated Transmission Planning (ITP) (Competitive Transmission Process Timeline – Attachment 3). Aaron noted that indications exist that there will be potential 2019 competitive upgrades on track for review/approval in the October timeframe. He reminded the Committee of its next steps if the Board approves the ITP and if SPP Legal opines that the approved upgrades are deemed competitive. Finally, he reviewed the transmission owner selection process flow.

Aaron then discussed the Industry Expert Pool (IEP) creation noting that the SPP Tariff Attachment Y, section III requires that “on an annual basis, the OC shall identify a pool of candidates to serve as industry experts to evaluate proposals submitted in response to any RFP issued by Transmission Provider...” Aaron reviewed the candidate pool creation historical timeline and expressed the concern that the historical timeline no longer aligns with SPP's amended planning process timelines. Specifically, planning portfolios will now only be presented at the October cycle of meetings for review/approval each year as opposed to quarterly opportunities in the past. Consequently, Staff is proposing that to better align the candidate pool creation with SPP's current planning processes, shifting the solicitation timeline from the prior year's fall calendar to the spring calendar of the applicable year. That shift results in the following revised solicitation timeline:

- Solicit candidates (January 1 – March 15);
- Staff submits candidates for review/approval (April OC Meeting);

- OC recommends to the BOD approval of IEP Candidate Pool (April BOD Meeting). Aaron reviewed the pros and cons of staff's recommendation. In response to a question regarding tariff implications, Aaron indicated that legal/regulatory indicated that there are no tariff concerns with the proposed shift in the IEP solicitation process. Accordingly, Phyllis Bernard moved endorsement, seconded by Graham Edwards, of staff's recommended process change. The motion was approved unanimously.

Agenda Item 5 – Oversight Committee Scope Review

Josh Martin noted the changes to the OC's scope document reflecting necessary updates (OC Org Group Scope Document – Attachment 4). Following an explanation of driver for the changes a motion to adopt by Graham, seconded by Phyllis, was approved.

Agenda Item 6 – Discuss Action Plan re Referral from Human Resources Committee

Michael Desselle noted the Human Resources Committee's referral to the OC (HRC 4/29/2019 Minutes – Attachment 5). He noted that the HRC, after deliberations, asked the OC to develop a method of reporting an annual staff compliance rating to the Human Resources Committee as an input to the annual Employee Performance Compensation Plan funding analysis. Michael noted a pending action item (Pending Action Items Status Report – Attachment 6) and described his plan for staff development of a straw-proposal.

Agenda Item 7 – Action Items

Action items are:

- Security staff to perform deep dive on new NERC CIP reporting standards; and,
- Staff develop compliance metric straw-proposal and schedule related calls.

Agenda Item 8 – Future Meetings

The Committee reviewed the remainder of the 2019 meeting schedule.

Agenda Item 9 – Written Reports (Compliance)

Executive Session 2

Agenda Item 10 – Call to Order/Administrative Items

Josh Martin called executive session 2 to order at 9:45 AM. Members in attendance included: Graham Edwards (Director), Darcy Ortiz (Director) and, Phyllis Bernard (Director). Harry Skilton (Director Emeritus), Susan Certoma (Director) and Bruce Scherr (Director) also attended in person. MMU staff in attendance included: Keith Collins and Greg Sorensen.

Agenda Item 11 – Action Items Report

Greg Sorensen provided an action items report.

Agenda Item 12 – Mid-Year Budget Forecast and 2020 Proposed Budget

Keith Collins presented the MMU's mid-year 2019 budget forecast. Additionally, Keith presented the proposed 2020 MMU budget. The Committee reviewed and approved the proposed 2020 budget.

Agenda Item 13 – Other MMU Matters

The Committee reviewed and approved modified MMU goals to reflect engagement in the: OMS-RSC seams liaison committee; the Western EIS; and, fast-start design. Additionally the MMU updated the Oversight Committee regarding: market design matters; planning process involvement; market efficiency metrics; and, regulatory engagements, including FERC and states.

Adjournment

Josh Martin adjourned Executive Session 2 at 1:00 PM.

Respectfully Submitted,

Michael Desselle



Southwest Power Pool, Inc.
OVERSIGHT COMMITTEE MEETING
July 29, 2019
Hilton Downtown, Des Moines, Iowa
Element Room

• **A G E N D A** •

7:00 a.m. – 1:00 p.m. CDT

Executive Session 1 (Visitors Excluded) Oversight Committee, RTO Staff (7:00 – 10:00)

- 1. Call to Order/Administrative Items Josh Martin (7:00 – 7:05)
- 2. Action Items Report..... Michael Desselle (7:05- 7:10)
- 3. Quarterly Activity Reports
 - a. Internal Audit Lauren Krigbaum (by phone) (7:10 – 7:30)
 - Draft 2020 Annual Audit Plan
 - Mid-year budget forecast and 2020 proposed budget
 - b. Security Sam Ellis (7:30 – 8:30)
- 4. Competitive Transmission Process Timeline Aaron Shipley (by phone) (8:30 – 8:45)
- 5. Oversight Committee Scope Review Josh Martin (8:45 – 9:15)
- 6. Discuss Action Plan re Referral from Human Resources Committee..... Josh Martin (9:15 – 9:25)
- 7. Action Items..... Michael Desselle (9:25 – 9:30)
- 8. Future Meetings Josh Martin (9:30 – 9:45)

2019

- Monday, October 28, 2019 – SPP Little Rock
- Tuesday, December 3, 2019 – DFW AAdmirals Club

Written Reports

- 9. Compliance Carl Stelly

Executive Session 2 (OC Members & MMU only). Oversight Committee & MMU Secretary (10:00 – 1:00)

- 10. Call to Order/Administrative Items Josh Martin (10:00 – 10:05)
- 11. Action Items Report..... Jodi Woods (10:05 - 10:10)
- 12. Mid-year budget forecast and 2020 proposed budget Keith Collins (10:10 – 10:30)
- 13. Other MMU Matters..... Keith Collins (10:30 – 1:00)

Antitrust: SPP strictly prohibits use of participation in SPP activities as a forum for engaging in practices or communications that violate the antitrust laws. Please avoid discussion of topics or behavior that would result in anti-competitive behavior, including but not limited to, agreements between or among competitors regarding prices, bid and offer practices, availability of service, product design, terms of sale, division of markets, allocation of customers or any other activity that might unreasonably restrain competition.



Southwest Power Pool, Inc.

OVERSIGHT COMMITTEE

Hilton Des Moines Downtown - Des Moines, IA

July 29, 2019

• ATTENDANCE LIST •

Michael Desselle	Southwest Power Pool
Sam Ellis	Southwest Power Pool
Barbara Sugg	Southwest Power Pool
Darcy Ortiz	SPP Director
Harry Skilton	SPP Director
Susan Certoma	SPP Director
Graham Edwards	SPP Director
Josh Martin	SPP Director
Phyllis Bernard	SPP Director
Bruce Scherr	SPP Director
Keith Collins	SPP MMU
Greg Sorenson	SPP MMU
Aaron Shipley (Phone)	Southwest Power Pool
Lauren Krigbaum (Phone)	Southwest Power Pool

Southwest Power Pool, Inc.
OVERSIGHT COMMITTEE MEETING
April 15, 2019
Doubletree Warren Place, Tulsa, OK

• M I N U T E S •

Executive Session 1

Josh Martin called Executive Session 1 to order at 8:00 AM. Members in attendance included: Graham Edwards (Director) by phone, Darcy Ortiz (Director) and, Phyllis Bernard (Director). Jim Eckelberger (Director Emeritus) also attended in person. MMU staff in attendance included: Jodi Woods, and Keith Collins. The Committee met in Executive Session with MMU staff only and were apprised of recent MMU activities and the draft Annual State of the Market report.

Executive Session 2

Agenda Item 3 – Administrative Items

Josh Martin called executive session 2 to order at 12:15 PM. SPP staff in attendance included Barbara Sugg, Sam Ellis, Paul Suskie, Scott Smith, Carl Stelly, Erin Cullum and Lauren Krigbaum (Attendance – Attachment 1). Phyllis Bernard moved and Darcy Ortiz seconded adoption of the January 28, 2019 Oversight Committee minutes, which were unanimously accepted (Minutes 1/28/2019 – Attachment 2).

Agenda Item 4 – Action Items Report

Michael Desselle provided a status report on the follow-up action items.

Agenda Item 5 – PJM Credit Default Implications

Scott Smith presented the SPP Risk Management and Credit Department's analysis and implications for SPP associated with the recent credit default by a market participant in the PJM market (Recent RTO Credit Default – Attachment 3). He informed the Committee about the default and described differences in SPP's credit policies that help to limit the exposure to SPP of similar instances. Scott described PJM's engagement of an independent assessment. That assessment identified 10 complications of PJM's credit policy resulting in 7 recommendations. Scott described SPP's assessment of the 10 complications, as well as the 7 recommendations, and their applicability to SPP's current credit policy. Regarding the applicability to SPP, Scott identified areas that could be improved and recommendations that could be effective for SPP. He noted that the Credit Practices Working Group was targeting completion of revised policies within 12 months. Apprehension regarding that timeline was expressed. Additional considerations were expressed and staff was asked if there any liability lessons learned. Finally, Keith Collins was tasked to update the OC on the MMU's role in credit practices oversight.

Agenda Item 6 – Quarterly Activity Reports

Internal Audit Department – Lauren Krigbaum reported on Internal Audit's: completed assessments since the last OC meeting; audits in process; audits currently in either planning or upcoming; and, other activities. Regarding the completed tariff compliance process audit, Lauren noted that the audit assessed nine different departments and described IA's recommendations. Staff was asked to review the IA recommendations with the Officers. Lauren also reported on two other audits completed: 1. The RRR Automation Readiness Review; and 2. The Customer Additions/Terminations Control Self-Assessment.

Compliance – Carl Stelly apprised the Committee on recent compliance department activity. Specifically he described GRC Tool activity, NERC's and WECC's Compliance Oversight Plans (COP), RC Certification activity for WECC and the eventual transfer of Compliance Enforcement Authority (CEA) from NERC to MRO in 2020. Erin Cullum-Marcussen briefed the Committee on Open Enforcement Actions (OEAs). Finally, Carl briefed the Committee on other compliance-related and NERC standards activities.

Security - Sam Ellis reviewed the revised key cyber metrics (comprised of people, cyber activity, processes and technology measures). Sam also provided a status report on Cyber Strategic Plan milestones.

Agenda Item 7 – Business Continuity Plan Update

Scott Smith updated the Committee on SPP's Continuity of Operations (COOP). He described efforts underway and the COOP life-cycle starting with the Business Impact Analyses (BIA)s driving continuity of operations, and finally, updated and revised BIAs. Lastly, he described the benefits and timeline of the current effort.

Agenda Item 8 – Cyber Insurance Follow-up

Paul Suskie advised the Committee that SPP Legal and Scott Smith developed a memo as a follow-up to previous committee discussions on cyber-insurance. The focus of the memo addresses litigation risks associated with cybersecurity incidents, SPP's current cyber-incident insurance coverage and indemnification associated with such coverage. Staff was advised to monitor current cyber-claim related court cases as they evolve. Following a suggestion from the Chairman, a motion by Phyllis Bernard and seconded by Darcy Ortiz that staff perform an annual review of associated coverage, prior to policy renewal, was unanimously adopted.

Agenda Item 9 – Action Items

Action items are:

- Liability lessons learned regarding PJM Credit default matter;
- MMU update on SPP credit policy oversight role; and,
- Discuss with Officers IA's SPP Tariff Compliance process audit recommendation.

Agenda Item 10 – Future Meetings

The Committee reviewed the remainder of the 2019 meeting schedule.

Adjournment

Josh Martin adjourned Executive Session 2 at 3:00 PM.

Respectfully Submitted,

Michael Desselle



HELPING OUR MEMBERS WORK TOGETHER
TO KEEP THE LIGHTS ON... TODAY AND IN THE FUTURE.

Competitive Transmission Process Timeline

Aaron Shipley, SPP Regulatory Analyst
July 16, 2019



SouthwestPowerPool



SPPorg



southwest-power-pool

Topics for today

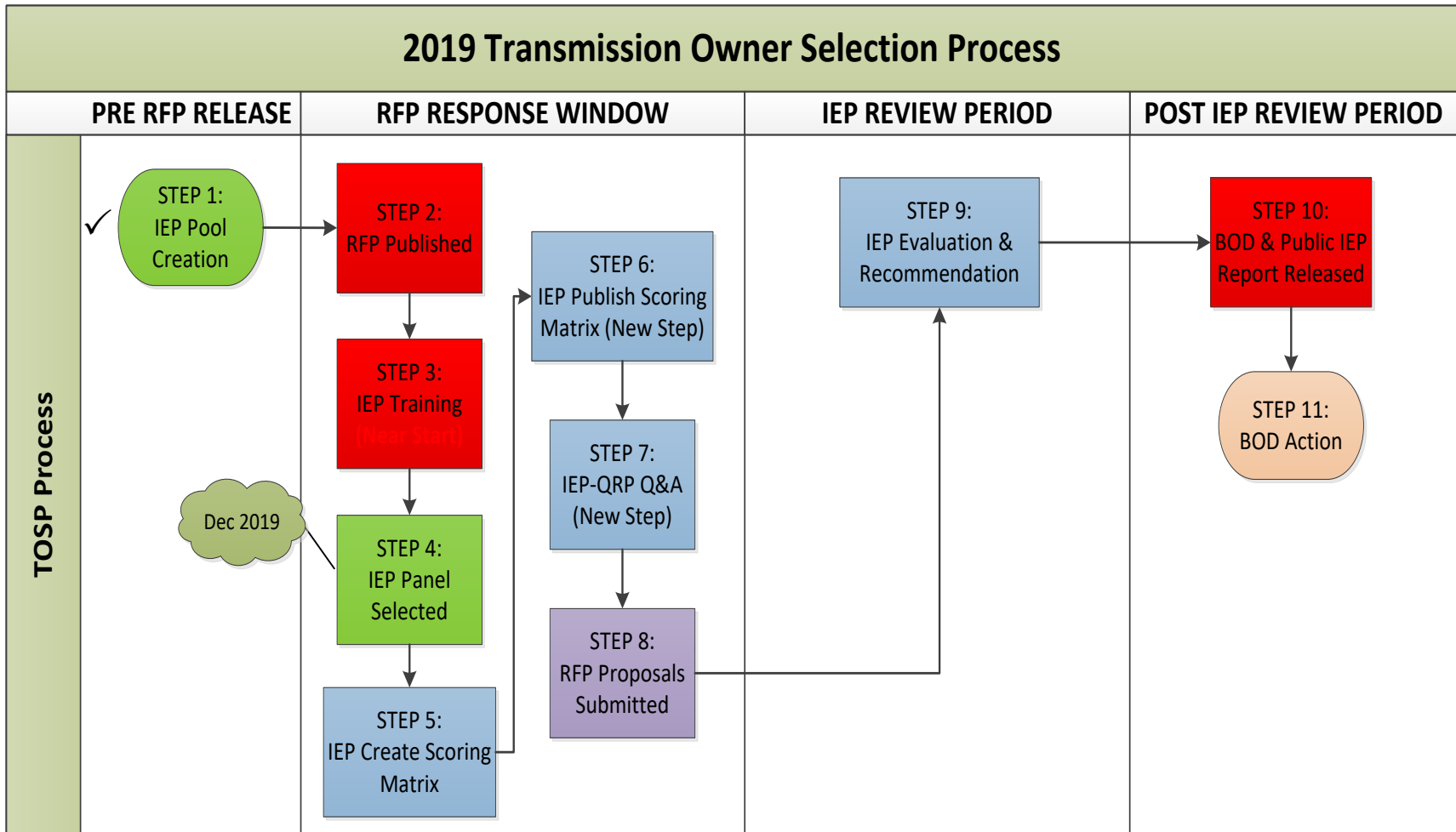
- Discuss upcoming Oversight Committee (OC) tasks related to 2019 Integrated Transmission Planning (ITP)
 - Touch base on potential 2019 Competitive Upgrade (CU) next steps and process flow
- Discuss timeline shifts to Industry Expert Panel (IEP) candidate pool creation

2019 Competitive Upgrade Timeline

2019 Competitive Process Touch Base

- 2019 Integrated Transmission Planning (ITP) on track for October review/approvals
 - Potential Competitive Upgrades (CU)
- If SPP Board approves ITP in October immediate next steps:
 - SPP Legal reviews approved upgrades to determine if competitive or not
 - If competitive CU, SPP publishes a Request for Proposal (RFP)
 - SPP contracts previously approved 2019 IEP candidate pool
 - SPP brings IEP pool to Little Rock for training
 - **Oversight Committee** creates an IEP panel from candidate pool to evaluate proposals resulting from RFP(s) (**December 2019**)
 - Panels consist of 3-5 members

2019 Transmission Owner Selection Process Flow



Oversight Committee tasks – *In green*

SPP tasks – *In red*

IEP tasks – *In blue*

QRP tasks – *In purple*

SPP BOD tasks – *In Beige*

Industry Expert Candidate Pool Creation

IEP Candidate Pool Creation

- **SPP Tariff Attachment Y Section III requires -**
“On an annual basis, the OC shall identify a pool of candidates to serve as industry experts to evaluate proposals submitted in response to any RFP issued by Transmission Provider...”
- **IEP Candidate pool creation historical timeline:**
 - June 1 – September 1, SPP solicits for candidates
 - SPP presents candidates to OC in October for review/approval
 - December meeting, OC recommends to SPP BOD for review/approval of candidate pool for upcoming year

IEP Candidate Pool Creation Cont.

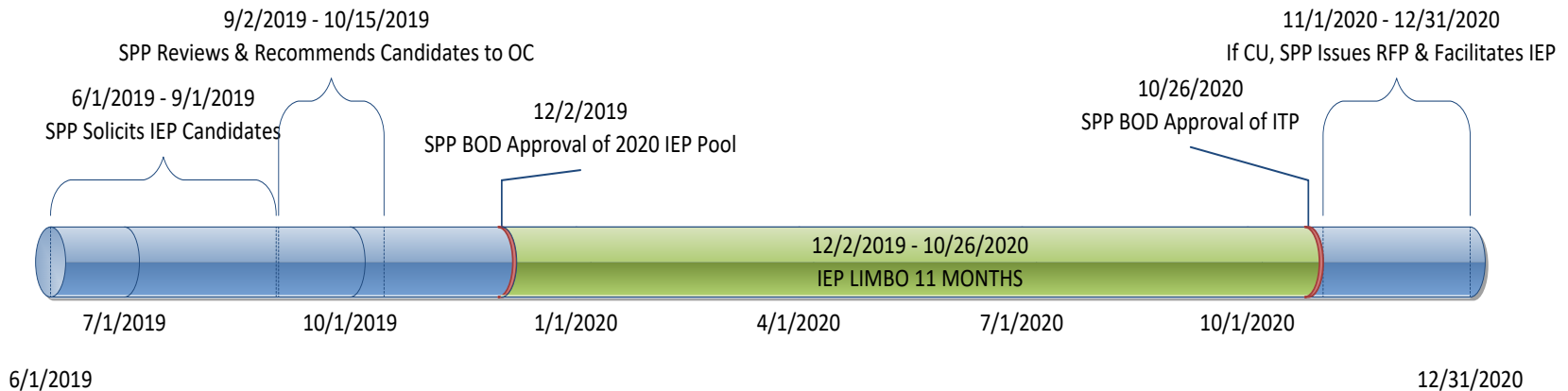
- The historical timeline does not align well with the amended planning processes timeline
- Moving forward planning portfolios will go to the October cycle of meetings for review/approval each year.
 - Previously, the schedule could take review/approvals to any quarterly meeting

IEP Candidate Pool Creation Cont.

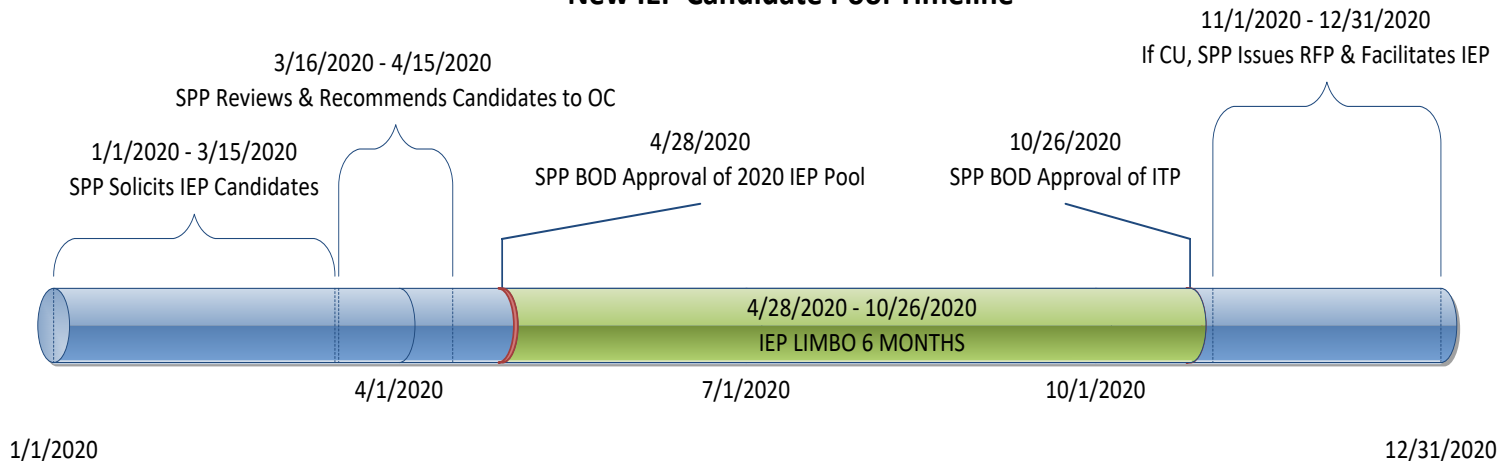
- To better align candidate pool creation with the planning processes, Staff intends to shift the solicitation timeline from the prior year's fall to spring of the applicable year
 - January 1 – March 15, SPP solicits for candidates
 - SPP presents candidates to OC in April for review/approval
 - April meeting, OC recommends to SPP BOD for review/approval of IEP candidate pool for that year

Historical & New IEP Creation Timelines

Historical IEP Candidate Pool Timeline



New IEP Candidate Pool Timeline



IEP Candidate Pool Creation Cont.

- Pros to shifting timeline

- Improves retention and attraction of IEP candidates
 - Limits the time IEP candidates are in “limbo” waiting to see if there is a CU and if they will be used
 - Currently 1 year from time approved as an IEP pool member to potentially contracted as a IEP panel member
 - Proposed timeline shrinks this window to 6 months
- More closely aligns each IEP pool to their applicable planning portfolio
- Limits confusion by maintaining calendar year alignment for IEP pool and portfolio
- Spreads Staff Transmission Owner Selection Process (TOSP) task across the year more evenly
 - Currently Qualified RFP Participant (QRP) work occurs at the same time as IEP candidate pool

- Cons to shifting timeline

- None identified to date, just requires proper communication to be clear that the candidate pool approved in April each year applies to that year only, the following year another pool will be approved to apply to that applicable year.

IEP Candidate Pool Creation Cont.

- Questions or concerns related to IEP candidate pool creation timeline shift?



Southwest Power Pool, Inc.
OVERSIGHT COMMITTEE
Organizational Group Scope Statement
December 2, 2019

Deleted: April 24, 2018

Purpose

The Oversight Committee (OC) is responsible for monitoring compliance with SPP and regulatory policies for the company in accordance with its scope as approved by the Board of Directors.

Scope of Activities

In carrying out its purpose, the OC will:

- a) Oversee the process of monitoring compliance to SPP and NERC policies;
- b) Oversee the internal audit function and receive regular reports, except for work associated with controls audits and other financial requirements;
- c) Oversee the market monitoring function and receive regular reports;
- d) Review and approve the market monitoring unit (MMU) budget, subject only to approval by the Board of Directors as part of the overall SPP budget;
- e) Make decisions regarding the MMU Executive Director's compensation and performance review, disciplinary actions, and other related proceedings;
- f) Review and approve MMU staffing decisions (hiring, retention, and termination), salary, and disciplinary decisions;
- g) Determine the MMU performance compensation and approve the MMU Executive Director's distribution of these funds to MMU staff;
- h) Review the overall assessment of the SPP MMU's effectiveness on an annual basis;
- i) Oversee the compliance function and receive regular reports;
- j) Independently review activities of the staff;
- k) Oversee the process for, and approve, Independent Expert Panels associated with the Order 1000 implementation process;

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- l) Discuss with management and the independent auditors the company's guidelines and policies with respect to corporate risk assessment and risk management;
- m) Review/accept annually (with the Finance Committee Board members in attendance) SPP's Independent Auditor's Service Organization Controls (SOC_1) report;
- n) Hear and rule on appeals from Members regarding penalty assessment or fine distribution, other than those resulting from the Compliance Monitoring and Enforcement Program, prior to dispute resolution proceedings;
- o) Recommend Criteria changes necessary for enforcement of mandatory compliance and in response to unclear enforcement provisions of Criteria;
- p) Grant specific additional authority to the staff responsible for the compliance monitoring function when needed to perform challenging investigations;
- q) Oversee and receive reports on business continuity plans and assessments;
- r) Oversee and receive reports on physical and cyber security matters;
- s) Complete a self-assessment annually to determine how effectively the OC is meeting its responsibilities; and
- t) Perform such other functions as the Board of Directors may delegate or direct.

Representation

The composition of the group and the term for its representatives shall be in accordance with the Bylaws.

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Reporting

The OC reports directly to the Board of Directors.

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**Southwest Power Pool
HUMAN RESOURCES COMMITTEE MEETING**

April 29, 2019

**Doubletree Warren Place Hotel
Tulsa, Oklahoma**

• Summary of Action Items •

1. Approved minutes of the January 28, 2019 meeting.
2. Tasked Oversight Committee to develop a method of reporting an annual staff compliance rating to the Human Resources Committee as an input to the annual Employee Performance Compensation Plan funding analysis.

• Summary of Follow-Up Items •

1. Staff will coordinate and finalize a July 2019 meeting with Mercer to receive the compensation and benefits report. This meeting will be held in Des Moines, Iowa, prior to the SPP Board meeting.

HUMAN RESOURCES COMMITTEE MEETING

April 29, 2019

Doubletree Hotel
Tulsa, Oklahoma

• M I N U T E S •

Agenda Item 1 – Call to Order

Julian Brix called the meeting to order at 8:00 am, CDT, on April 29, 2019. Julian welcomed a new member, Stuart Lowry, to the committee. The following members were in attendance:

Mr. Julian Brix, Chair	Director
Mr. Mark Crisson	Director
Mr. Tom Kent	Nebraska Public Power District
Mr. Noman Williams	GridLiance High Plains LLC
Mr. Stuart Lowry	Sunflower Electric Power Corporation

Southwest Power Pool staff in attendance:

Ms. Malinda See
Mr. Brian Smith
Mr. Nick Brown
Ms. Barbara Sugg

Agenda Item 2 – Approval of Minutes

The minutes of the January 28, 2019 meeting were reviewed. Mark Crisson moved that the minutes be approved. The motion was seconded by Noman Williams and approved via unanimous voice vote.

Agenda Item 3 – Update from the Value and Affordability Task Force (VATF)

Julian provided the committee an overview of the VATF and the work conducted by the task force in 2019. Julian and Malinda will provide information from five current ongoing human resource initiatives to the task force as part of the analysis of SPP staffing. Barbara Sugg, staff secretary for the VATF, provided a general overview of the goals and work for 2019. Malinda See provide a report on HR staff efforts to gather information and provide input to the task force.

Agenda Item 4 – Affirmative Action Plan Report

The committee is required to receive an annual report on the status of the SPP Affirmative Action Plan. Brian Smith provided the committee a report on the history of the plan and current statistics.

Agenda Item 5 – SPP Compensation Processes

The committee had previously requested staff provide a report on the processes utilized in determining staff compensation. Brian Smith presented a report on the processes and procedures that are in place and utilized in determining and awarding staff compensation. Brian noted that mandatory training is conducted for supervisory staff on these processes.

Agenda Item 6 – Review 2018 Performance Compensation Process/Payout

The committee has an annual responsibility to review the process utilized to award the employee Performance Compensation Plan monies as well as review the results of the process.

Malinda presented a memorandum and report on the process utilized to award 2018 compensation under the plan. Every SPP manager meets with either Nick Brown or Carl Monroe and discusses the performance of each employee reporting to them. Managers recommend a rating for employee performance and the rating is then utilized to determine the percentage of target funding to allocate to the employee. A final review of the entire staff is conducted by the SPP officer team to ensure equity across

the organization. Malinda noted that Market Monitoring Unit (MMU) employee payouts and approvals are reviewed and approved by the Oversight Committee.

Agenda Item 7 – Review and Discussion of SPP Performance Compensation Plan Metrics

The committee reviewed data gathered by staff on measurements of corporate performance utilized by peer organizations. The review included a review of the current SPP corporate performance metrics. The metrics are utilized by the committee as part of their annual funding decision for the employee Performance Compensation Plan. The plan currently utilizes four equally weighted metrics as part of a quantitative evaluation of staff performance: financial, Members Committee satisfaction, operational and compliance. The committee has changed the compliance metric since the plan inception to accurately quantify staff adherence to compliance, but has not been satisfied the metric is an accurate representation. The committee invited Josh Martin, chairman of the Oversight Committee (OC) to join the discussion, as the OC is responsible for corporate compliance. Discussion was held on the corporate compliance information that is presented to the OC. The committee and Josh agreed that the OC is better suited to evaluate overall corporate compliance on an annual basis.

As an action item, the committee tasked the OC to develop a method of reporting an annual staff compliance rating to the Human Resources Committee as an input to the annual Employee Performance Compensation Plan funding analysis. Once developed, this component will be provided to the HRC annually at the January meeting. The committee discussed utilizing this new metric for the 2019 evaluation. Josh agreed to take this action item to the OC and keep the HRC informed of the progress.

The committee concluded that the other three quantitative metrics in the plan are still valid measurements of corporate success.

Agenda Item 8 – Review of 2019 Meetings, Agendas and Work Plans

Malinda reviewed the remaining 2019 meetings and agendas with the committee. The previously scheduled August 5, 2019 meeting with Mercer consultants is no longer a date that best accommodates committee members. The committee agreed to meet prior to the board meeting in July to receive the Mercer report. Malinda was tasked with coordinating and confirming the meeting change with Mercer.

The committee also reviewed the annual HR staff “Department Overview and Strategic Focus”. The HR Director, Brian Smith, develops this document annually with his staff to set work plans, goals and expectations. Julian Brix commented that he would like to work toward the staff work plan coordinated with the HRC work plan.

The committee reviewed 2019 agenda items and discussed meeting dates and locations. 2019 meeting dates, locations, and agendas are:

Sunday, July 28 & Monday, July 29 – Des Moines, Iowa

Time: 1:30p – 5:30p (Sunday) 8a – 1p (Monday)

Agenda Item:

- **Action:** Recommend 2020 Merit Pool funding
- Mercer Compensation and Benefit Survey Report
- Mercer report on SPP Retirement plans
- Review of SPP Benefit programs

Monday, October 28, 2019 - SPP Corporate Offices

Time: 8am – 1pm

- Breakfast with SPP HR staff
- HR metrics report
- Review report from SPP Administrative Committee on investment manager performance
- Review SPP Fraud Prevention Report
- Annual Review of committee activities and Scope Review
- Approve 2020 meeting schedule and agendas

Southwest Power Pool Human Resources Committee Minutes
April 29, 2019

Agenda Item 9 – HR Metrics

The committee reviewed the corporate HR metrics for the first quarter of 2019.

Agenda Item 10 – Executive Session

The committee went into executive session to discuss compensation and benefit matters.

Agenda Item 11 – Other Items

None noted.

Agenda Item 6 - Adjourn

Julian Brix adjourned the meeting at 12:46 pm CDT on April 29, 2019.

Respectfully Submitted,

Malinda See
Secretary



Southwest Power Pool, Inc.
OVERSIGHT COMMITTEE
Pending Action Items Status Report

July 28, 2019

	Action Item	Date Originated	Status	Comments
1.	Develop a new annual compliance metric and process for reporting the annual compliance rating to the Human Resources Committee as an input to the annual Employee Performance Compensation Plan funding analysis.	April 29, 2019	Discuss July 28, 2019	Staff develop straw-proposal. Committee to consider and approve final metric Communicate to HRC final metric
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