



## 2008 Compliance Monitoring and Enforcement Program Seminar

### DAY 1 GENERAL SESSION AGENDA

Day 1 – Local Time	General Session	
<b>7:30 - 11:00 AM</b>	Registration	
<b>8:00 AM</b>	Overview of Compliance Monitoring and Enforcement Program (CMEP)	Tom Galloway and SERC Staff
	<i>(Target audience: Entities and Individuals new to the SERC Compliance Process)</i>	
	<ul style="list-style-type: none"> <li>• Background on Mandatory Enforcement</li> <li>• FERC, NERC, and Regional Entity Role &amp; Relationships</li> <li>• Applicability / Registration</li> <li>• Reliability Standards</li> <li>• CMEP Overview               <ul style="list-style-type: none"> <li>○ Monitoring Processes</li> <li>○ Enforcement Processes</li> </ul> </li> <li>Wrap-up / Question and Answer</li> </ul>	
<b>12:00 NOON</b>	Deli Lunch provided by SERC	
<b>1:00 PM</b>	Kickoff/Arrangements/Welcome	Tom Galloway
<b>1:15 PM</b>	NERC Presentation	Earl Shockley, NERC Regional Compliance Program Coordinator
	<ul style="list-style-type: none"> <li>• Current Status of ERO Implementation</li> <li>• Transition to Imposition of Financial Penalties for Confirmed Violations</li> <li>• Regional Program Oversight</li> <li>• NERC Roles in Compliance Enforcement</li> <li>• FERC Role in Compliance</li> <li>• Compliance Registry Issues and Updates</li> </ul>	
<b>2:45 PM</b>	Break	
<b>3:00 PM</b>	SERC Compliance Monitoring and Enforcement Program (CMEP) Processes	SERC Staff
	<ul style="list-style-type: none"> <li>• CMEP</li> <li>• Reliability Standards</li> <li>• Monitoring Processes</li> <li>• Enforcement Processes</li> <li>• Other Processes</li> <li>• Portal Demonstration/Self Certification Process</li> </ul>	



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<b>Day 1 – Local Time</b>	<b>General Session (<i>Continued</i>)</b>	
<b>4:30 PM</b>	High Visibility Reliability Standards / Compliance Areas of Focus <ul style="list-style-type: none"><li>• Penalty Determination</li><li>• CIP-001 (Sabotage Reporting)</li><li>• PER-002 (Training)</li><li>• PRC-005 (Transmission and Generation Protection System Maintenance and Testing)</li><li>• FAC-003 (Transmission Vegetation Management)</li><li>• FAC-008 (Facility Rating Methodology)</li><li>• FAC-009 (Establish and Communicate Facility Ratings)</li></ul>	SERC Staff
<b>5:15 PM</b>	CSCAG,OCAG,ECAG –Overview of Day 2 Breakout Sessions	Compliance Advisory Group Representative
<b>5:30 PM</b>	Question and Answer Session	SERC Staff
<b>6:00 PM</b>	Adjourn Day 1 Activities	

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## 2008 Compliance Monitoring and Enforcement Program Seminar

### DAY 2 GENERAL SESSION AGENDA

Day 2 – Local Time	General Session	
<b>7:30 AM</b>	Breakfast	
<b>8:00 AM</b>	Breakout Sessions <ul style="list-style-type: none"> <li>• Planning Standards</li> <li>• Operating Standards</li> <li>• Cyber Security Standards</li> </ul>	Compliance Advisory Group (CAG) Representatives
<b>10:30 AM</b>	Break ( All Breakout Sessions)	
<b>10:45 AM</b>	Road Map for Audit Preparation	Roman Carter
<b>11:00 AM</b>	Panel Discussion <ul style="list-style-type: none"> <li>• Preparation for Compliance</li> <li>• Audit Preparation and Lessons Learned</li> </ul> (With a perspective from large integrated entities, small integrated entities and generator owner/operator entities)	John Wolfmeyer Roman Carter Steve Gaynier Tim Hattaway - Charlotte Jay Farrington - Atlanta Jerry Heeren – St. Louis
<b>1:00 PM</b>	Adjourn	
<b>Special notes:</b>		



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### DAY 2 CSCAG BREAKOUT SESSION AGENDA

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Day 2 – Local Time	Cyber (CSCAG) Breakout Session	
7:30 AM	Breakfast	
8:00 AM	Welcome: Introductions/Agenda Review	Mark Engels / Ed Goff CSCAG
8:15 AM	SERC Compliance Program: CIP 002 – CIP 009 (focus on standards/requirements where entities are to be compliant in 2008)	Ken Keels SERC Staff
8:30 AM	Open Forum Topics <ul style="list-style-type: none"><li>• How involved is your internal auditing group in preparing for compliance audits? What about your Legal department?</li><li>• How involved is your external auditor in NERC CIP compliance?</li><li>• How are you handling audit preparation? What teams/groups are involved?</li><li>• Sharing experiences from previous compliance audits (operational or planning)</li><li>• Differences between SERC and other regional audits (if you have assets in multiple regions)</li><li>• What, if any, software are you using to help with all of this.</li></ul>	Mark Engels / Ed Goff CSCAG (Facilitators)
10:30 AM	Adjourn Breakout Session	

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## 2008 Compliance Monitoring and Enforcement Program Seminar

### DAY 2 OCAG BREAKOUT SESSION AGENDA

Day 2 – Local Time	Operating OCAG Breakout Session	
<b>7:30 AM</b>	Breakfast	
<b>8:00 AM</b>	Welcome: Introductions/Agenda Review	
	Compliance Area of Focus NERC Standard PRC-005	Roman Carter
	Compliance Area of Focus NERC Standard PER-002	Gene Delk (Charlotte and Atlanta) Al McMeekin (St. Louis)
	Compliance Area of Focus NERC Standard CIP-001	Gene Delk (Charlotte and Atlanta) Al McMeekin (St. Louis)
	Compliance Area of Focus NERC Standard FAC-003	Glenn Stephens (Charlotte) Larry Akens (Atlanta) Raymond Wiesehan (St. Louis)
<b>10:30 AM</b>	Adjourn Breakout Session	



## 2008 Compliance Monitoring and Enforcement Program Seminar

### DAY 2 ECAG BREAKOUT SESSION AGENDA

Day 2 – Local Time	Engineering (ECAG) Breakout Session	
<b>7:30 AM</b>	Breakfast	
<b>8:00 AM</b>	Welcome/Introductions/Agenda Review <ul style="list-style-type: none"> <li>• Confidentiality and Anti-Trust Guidelines</li> </ul>	John Loftis – ECAG Chair (Charlotte, Atlanta) Jerry Heeren (St. Louis)
<b>8:15 AM</b>	Review of 2008 Compliance Filing Requirements <ul style="list-style-type: none"> <li>• Monitored Standards</li> <li>• Self Certifications vs. Letters of Certification</li> </ul>	John Loftis – ECAG Chair (Charlotte, Atlanta) Jerry Heeren (St. Louis)
<b>8:30 AM</b>	Discussion of Planning Related Standards in 2008 Program	SERC Engineering Committee Regional Review Groups
<b>8:30 – 9:00 AM</b>	Reliability Review Subcommittee (RRS) <ul style="list-style-type: none"> <li>• FAC-008-1 &amp; FAC-009-1 (Facility Ratings)               <ul style="list-style-type: none"> <li>○ Special Emphasis on Full Compliance                   <ul style="list-style-type: none"> <li>▪ 2007 audit issues</li> <li>▪ Past compliance filings issues</li> </ul> </li> </ul> </li> <li>• FAC-013-1 (Transfer Capabilities)</li> <li>• TPL-001-0 through TPL-004-0 (System Performance Under Variable Conditions)</li> </ul>	Ian Grant – RRS Chair (Charlotte, Atlanta) Curt Stepanek (St. Louis)
<b>9:00 – 9:30 AM</b>	Protection and Controls Subcommittee (PCS) <ul style="list-style-type: none"> <li>• PRC-004-1 (Protection System Misoperations)               <ul style="list-style-type: none"> <li>○ Special Emphasis on Full Compliance                   <ul style="list-style-type: none"> <li>▪ Adhering to Schedule</li> <li>▪ Closure of Mitigation Plans</li> </ul> </li> </ul> </li> <li>• PRC-005-1 (Protection System Maintenance &amp; Testing)</li> <li>• PRC-008-0 (UFLS Maintenance &amp; Testing)</li> <li>• PRC-011-0 (UVLS Maintenance &amp; Testing)</li> <li>• PRC-016-0 (SPS Misoperations)</li> <li>• PRC-017-0 (SPS Maintenance &amp; Testing)</li> </ul>	Bridget Coffman (Charlotte) Steve Waldrep (Atlanta) Robert Rauschenbach (St. Louis)
<b>9:30 – 9:45 AM</b>	Break	



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Day 2 – Local Time	Engineering (ECAG) Breakout Session ( <i>Continued</i> )	
<b>9:45 – 10:15 AM</b>	Dynamics Review Subcommittee (DRS) <ul style="list-style-type: none"> <li>• PRC-007-0 (Assuring Consistency with SERC UFLS Program Requirements)</li> <li>• PRC-010-0 (UVLS - Assessment of Program Design &amp; Effectiveness)</li> <li>• PRC-015-0 (SPS Data &amp; Documentation)</li> <li>• PRC-021-1 (UVLS Program Data)</li> </ul>	Herb Schrayshuen (Charlotte)  Bob Jones (Atlanta) Rick Foster (St. Louis)
<b>10:15 – 10:30 AM</b>	Questions and Discussion	Attendees & Presenters
<b>10:30 AM</b>	Adjourn Planning Breakout Session (Break)	