



Agenda
SERC Reliability Corporation Compliance Seminar
Marriott Atlanta Airport - Atlanta, Georgia
April 14 – 15, 2009
“Strengthening Compliance”

Tuesday April 14, 2009

9:00AM *Registration & Breakfast* (Ballroom Foyer)

10:00AM Welcome

Tom Galloway
VP & Director of Compliance (SERC)

- Introduction/Welcome
- Agenda Overview
- CMEP Overview
- Compliance Program / Culture

10:30AM Lessons Learned in 2008; Understanding Penalty Determination

Ken Keels
Manager of Compliance Enforcement (SERC)

- Review of Posted Notices of Penalty and Associated Lessons Learned; Key Messages
- Observations from 2008 Enforcement Actions
- Overview of Penalty Determination Process; Mitigating and Aggravating Factors

11:15AM Audit Program Key Focus for 2009

Bob Goss
Manager of Compliance Audits (SERC)

- Audit Program Update
- SERC's Spot Check Process 2009
- Quality of Evidence During Audits, Spot Checks and Mitigation Plan Closeout

12:00PM *Lunch*

All

1:00PM Day 2 Preview

Tom Galloway
VP & Director of Compliance (SERC)

1:15PM FERC Perspectives / Q & A

Roger Morie
Reliability Enforcement Counsel (FERC)



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2:15PM Updates from NERC

- Electric Reliability Organization Overview
- NERC Compliance Oversight of REs
- Compliance Violation Investigations
- Organization Registration & Certification

Jim Hughes

*Registration & Certification Lead Auditor
(NERC)*

3:15PM *Break*

All

3:30PM Creating a Compliance Culture

- Characteristics of a Compliance Culture
- The Bradley Curve
- Strategic Stages of Development

Ken Sheridan

*Manager, Safety and Technical Training
(E.ON US)*

4:30PM New SERC Compliance Issues Tracking System - Preview of Entity Interfaces

- Self-Reports
- Complaints
- Mitigation Plan, Milestone Update, Certification of Closure

Catherine Sills

Compliance Engineer (SERC)

5:00PM Question and Answer

SERC Staff

6:00PM *Close Day 1*



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Wednesday April 15, 2009

7:00AM *Breakfast* (Ballroom Foyer)

8:00AM Re-cap of Day 1 and Overview of Day 2

Tom Galloway
VP & Director of Compliance (SERC)

8:30AM Compliance Topics: Engineering/Planning Related Standards

- FAC, TPL, and PRC standards
- Protective Relaying & Control (PRC) Perspective

Jerry Heeren - ECAG
Manager, Regulatory Compliance (MEAG)

Steve Waldrep - PCS Co-Chair
Transmission Manager (Southern Company – GPC Transmission)

9:30AM Compliance Topics: Operations Related Standards

- BAL-003-0a: Compliance requirements
- FAC-003-1: Vegetation Management, and update activities to version 2
- EOP-008: Plans for Loss of Control Center Functionality and update activities to version 1

Larry Akens - OCAG
Manager of Compliance & Emergency Preparedness (Tennessee Valley Authority – TVA)

10:30AM *Break*

10:45AM Compliance Topics: Cyber Security Related Standards

- NERC CIP 2-9 v2 Phase 1 update
- Technical Feasibility Exceptions update
- Self Certification dates
- Spot Check Program

Ed Goff - CSCAG
CISSP- System Architect - IT&T Security (Progress Energy)

11:45AM Panel Discussion

- Development of Successful Compliance Culture and Programs
- Best Practices
- Lessons Learned

Nancy Huddleston *Manager - Forestry and Right of Way Services (GPC)*
Rheal Caron *Director of NERC Compliance (GDF – SUEZ)*
Angie Sheffield *Director, Internal Audit & Compliance (GTC)*

1:00PM *Adjourn*