



Agenda

SERC Reliability Corporation Compliance Seminar

Nashville Renaissance Hotel – Nashville, TN

September 9 – 10, 2009

“Strengthening Compliance”

Wednesday September 9, 2009

8:30AM *Registration & Breakfast* (Ballroom Foyer)

9:30AM Welcome

- Introduction / Welcome
- Agenda Overview
- Logistics

Tom Galloway

VP & Director of Compliance (SERC)

9:45AM Strengthening Compliance

- Compliance Monitoring and Enforcement Process Overview
- Elements of an Effective Compliance Program; Establishing a Culture of Compliance

Tom Galloway

VP & Director of Compliance (SERC)

10:15AM Audit Program Key Focus for 2009-2010

- Audit Program Update
- SERC's Spot Check Process 2009-2010
- Proposed Monitored Standards for 2010

Bob Goss

Manager of Compliance Audits (SERC)

10:45AM *Break*

11:00AM Lessons Learned in 2008-2009; Understanding Penalty Determination

- Observations from 2008-2009 Enforcement Actions
- Overview of Penalty Determination Process; Mitigating and Aggravating Factors

Ken Keels

Manager of Compliance Enforcement (SERC)

11:30AM New SERC Compliance Issues Tracking System – Preview/Demo of Entity Interfaces

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

Andrea Koch/Catherine Sills

Compliance Engineers (SERC)

12:00PM *Lunch*



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- 1:00PM Updates from NERC
- Staff Organization and Roles
 - Violation Statistics; Most Frequently Cited Standards
 - Results of PRC-005 and CIP-004 Analysis
 - Reliability Performance Metrics
 - Proposed Changes to Rules of Procedure for Registration and Certification
- Craig Struck
Regional Compliance Auditor (NERC)
- 2:00PM 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)
- 3:00PM *Break*
- 3:15PM Preview and Guidelines for Registered Entity Forum and Roundtable; Preview of Day 2 Program
- Tom Galloway
VP & Director of Compliance (SERC)
- 3:30PM Registered Entity Forum
- Discuss Compliance Issues, Establishing a Compliance Culture, Lessons Learned
 - Develop Questions and Discussion Topics for Roundtable and Open Forum/SERC and NERC Panel
- Jerry Heeren, Moderator
Engineering Compliance Advisory Group (ECAG) Chair
- 4:45PM Roundtable and Open Forum; Question and Answer Session
- Panel:
Tom Galloway (SERC)
Ken Keels (SERC)
Craig Struck (NERC)
Jerry Heeren (ECAG)
- 6:00PM Wrap up of Day 1; Preview of Day 2
- Tom Galloway
VP & Director of Compliance (SERC)



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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-008-1, FAC-009-1 Perspective
- Protective Relaying & Control (PRC) Perspective

Jerry Heeren - ECAG
Manager, Regulatory Compliance (MEAG)

George Pitts - PCS Member
System Protection & Analysis Engineering Specialist (Tennessee Valley Authority)

9:30AM Compliance Topics: Operations Related Standards

- BAL-003-0a, BAL-005-0.1b, COM-002-2 Perspective
- 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

Tim Hattaway - OCAG
Energy Control Manager (PowerSouth Energy Cooperative)

10:30AM *Break*

10:45AM Compliance Topics: Cyber Security Related Standards

- NERC CIP 2-9 v2 Phase 1 update
- CIP Self Certification Schedule
- CIP Spot Check Program Overview

L.C. Williams – CSCAG -
CISSP, PMP
Project Manager Critical Cyber Assets (Tennessee Valley Authority)

11:15AM Technical Feasibility Exceptions (TFE) Process Update

Matt Stryker
Associate Compliance Auditor (SERC)

11:45AM Presentations and Panel Discussion

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

Larry Rodriguez
Director of NERC Compliance (Entegra Power Group LLC)

Nancy Huddleston *Manager - Forestry and Right of Way Services (Georgia Power Company)*

Patrick Woods
Reliability Standards Compliance Specialist (East Kentucky Power Cooperative)

1:00PM *Adjourn*