



**Agenda**  
**SERC Reliability Corporation Compliance Seminar**  
**Sheraton City Center – St. Louis, Missouri**  
**May 19 – 20, 2009**

*“Strengthening Compliance”*

**Tuesday May 19, 2009**

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

10:00AM Welcome

Tom Galloway  
*VP & Director of Compliance (SERC)*

- Introduction / Welcome
- Agenda Overview
- Logistics

10:15AM 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

11:00AM *Break*

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*

1:00PM Day 2 Preview

Tom Galloway  
*VP & Director of Compliance (SERC)*

1:15PM CMEP Overview; Compliance Program / Culture

Tom Galloway  
*VP & Director of Compliance (SERC)*



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2:15PM Updates from NERC

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

**Dave Hilt**

Vice President and Director of Compliance  
(NERC)

3:15PM *Break*

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*



# Agenda

## SERC Reliability Corporation Compliance Seminar

### Sheraton City Center – St. Louis, Missouri

### May 19 – 20, 2009

*“Strengthening Compliance”*

### Wednesday May 20, 2009

7:00AM *Breakfast* (Breckenridge 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

Kirit Shah - ECAG  
*Manager, Reliability Standards Compliance (Ameren Services Company)*

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

Paul Nauert - PCS Member  
*Consulting Engineer (Ameren Services Company)*

9:30AM Compliance Topics: Operations Related Standards

Glenn Stephens - OCAg  
*Supervisor System Control (South Carolina Public Service Authority)*

- 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

10:30AM *Break*

10:45AM Compliance Topics: Cyber Security Related Standards

Chuck Abell - CSCAG  
*CIPC Vice-Chair - Supervising Engineer Transmission Operations - Technical Support (Ameren Services Company)*

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

11:45AM Panel Discussion

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

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

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

John Bussman  
*Manager, Reliability Compliance (Associated Electric Cooperative, Inc.)*

1:00PM *Adjourn*