



Agenda

SERC Reliability Corporation Compliance Seminar

Renaissance Charlotte Suites Hotel – Charlotte, NC

October 6– 7, 2009

“Strengthening Compliance”

Tuesday October 6, 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
- Draft 2010 Implementation Plan – Proposed Monitored Standards
- Observations from 2008-2009 Enforcement Actions
- Overview of Penalty Determination Process; Mitigating and Aggravating Factors

Tom Galloway

VP & Director of Compliance (SERC)

10:30AM New SERC Compliance Issues Tracking System – Preview/Demo of Entity Interfaces

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

Andrea Koch

Compliance Engineers (SERC)

11:00AM *Break*

11:15AM 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)

12:15PM *Lunch*

1:15PM Perspectives from FERC

Stephen Flanagan

Chief, Division of Audits Branch 2 (Office of Enforcement (OE) FERC)



Tuesday October 6, 2009 – Continued

2:15PM Updates from NERC

- Staff Organization and Roles
- Backlog Omnibus Filing
- Violation Statistics; Most Frequently Cited Standards
- Results of PRC-005 and CIP-004 Analysis
- CIP Program Perspective

Joel deJesus

*Director of Regional Operations
(NERC)*

3:15PM *Break*

3:30PM Preview and Guidelines for Registered Entity Forum and Roundtable

Tom Galloway

VP & Director of Compliance (SERC)

3:45PM 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

John Loftis, Moderator

*Engineering Compliance Advisory Group
(ECAG) Chair, Manager - Transmission
Compliance Integration, Virginia Electric and
Power Company*

4:45PM *Break*

5:00PM Roundtable and Open Forum; Question and Answer Session

Panel:

Tom Galloway

VP & Director of Compliance (SERC)

Ken Keels

Manager of Compliance Enforcement (SERC)

Bob Goss *Manager of Compliance Audits
(SERC)*

John Loftis (ECAG), Moderator

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

John Loftis - ECAG
Manager - Transmission Compliance Integration, Virginia Electric and Power Company

Phil Winston - PCS Member
Protection & Control Applications Manager- Georgia Power Company

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

CSCAG – Representative
(TBD)

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

Catherine Sills
Compliance Engineer (SERC)

11:45AM Presentations and Panel Discussion

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

Helen Nalley
Generation Compliance Director (Southern Company)

Duncan Brown
VP of NERC Compliance (Calpine Corporation)

Compliance Representative
(TBD)
South Carolina Electric & Gas Company

1:00PM *Adjourn*