



SERC Reliability Corporation Compliance Seminar
SERC Office / Cauley Room – Charlotte, NC
November 16 – 17, 2010

“Continuous Compliance”

Tuesday, November 16, 2010

7:30AM *Registration & Breakfast*

8:30AM Welcome

- Introduction/Welcome
- Agenda overview
- Opening comments

Ken Keels

Director of Compliance, SERC

9:00AM Registered Entity Forum (REF)
Q & A and sharing of best/good practices

Open to all SERC Registered
Entities

*The REF is a self-directed forum that provides a formal
platform for Registered Entities to address compliance issues
of interest and importance to them.*

Facilitated by the REF Steering
Committee

12:00PM *Lunch*

1:00PM Registered Entity Forum recap with SERC staff

REF and Ken Keels

1:30PM SERC vision for 2011 – Impressions and expectations of
compliance in the SERC region

Scott Henry
President & CEO, SERC

2:00PM NERC Update

- NERC's vision
- Compliance Monitoring Enforcement Program
changes
- Transparency and consistency
- Compliance application notices

Tom Galloway
*Senior Vice President and
Chief Reliability Officer, NERC*

2:45PM *Break*

3:15PM 2011 Annual Implementation Plan

Ken Keels
Director of Compliance, SERC

3:30PM Changes for 2011 – non-CIP

James Harrell
*Manager of Compliance Audits
SERC*

4:00PM Changes for 2011 - CIP

Bob Goss
*Manager Compliance Programs
SERC*



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4:30PM Technical Feasibility Exceptions Lessons Learned

Bob Goss
Manager Compliance Programs
SERC

Matt Stryker
CIP Compliance Auditor, SERC

5:00PM Questions

SERC staff

5:30PM *Close Day 1*



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- 7:00AM *Breakfast and Late Registration*
- 8:00AM SERC Responses to Registered Entity Forum questions SERC staff
- 9:30AM Registration and Certification Bob Goss
Manager Compliance Programs
SERC
 - Coordinated functional registry
 - Multi-region registered entity
 - Mapping projectKevin Berent
Registration and Certification
SERC
- 10:00AM *Break*
- 10:30AM Overview of penalty determination Ken Keels
Director of Compliance, SERC
- 11:00AM Audit readiness Bob Goss
Manager Compliance Programs
SERC

Kevin Berent
Registration and Certification
SERC

Matt Stryker
CIP Compliance Auditor, SERC
- 12:30PM Q & A / Wrap-up All
- 1:00PM *Adjourn*