Draft Agenda
Compliance Workshop

June 21, 2011 | 8:30 a.m. – 4:30 p.m.
Crowne Plaza O’Hare Hotel & Conference Center
5440 North River Road
Rosemont, IL 60018
847-671-6350

Objective: Provide Industry detailed information to improve their compliance processes.

8:30 am – Noon: Compliance Monitoring
(10:00am – 10:15am AM Break)

Opportunity for Q&A after each topic

1. Welcome - Mike Moon, Director of Compliance Operations
2. Introduction to the First NERC Compliance Workshop - Tom Galloway, Senior Vice President and Chief Reliability Officer
3. Risk-Based Reliability Compliance Monitoring and Entity Assessment - Mike Moon
4. Internal Compliance Program (ICP) - Val Agnew, Manager of Compliance Standards Interface and Outreach
   a. Elements of an ICP
   b. Review two ICP examples
5. Transparency of the Compliance Process to Industry and Others – Jim Hughes, Manager of Organization Registration and Certification
   a. NERC Transparency Initiatives
      i. Lessons learned, Alerts, CANs, CARs, Case Notes, RSAWs
      ii. Auditor training
   b. The Audit Process
      i. Preparing for an audit
      ii. Submitting quality evidence
         1. Attestations
      iii. Audit trends/focus

12:00pm – 12:45pm Lunch Provided
12:45pm – 1:45pm Events Analysis

Opportunity for Q&A after each topic

6. Event Analysis Process - Earl Shockley, Director of Events Analysis and Investigations

1:45 – 4:00 – Compliance Enforcement
(3:00pm – 3:15pm PM Break)

7. NERC Enforcement Violation processing – Rebecca Michael, Associate General Counsel and Ed Kichline, Manager of Enforcement Processing
   a. Settlement vs. NOCV
   b. Administrative Citation and Other Processing Methods
   c. Self-Reporting and Mitigation Plans
   d. The Risk Story Behind a Violation and How to Tell it
   e. Dismissals of Possible Violations

4:00pm – 4:30pm – Summary and Q&A