

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