### Overview of the RAI risk-based compliance oversight framework planned to be released by NERC in September 2014.

Inform Regional Stakeholders of the risk-based compliance oversight framework that is based on RAI principles and supported by a series of documents that describe various processes that lead to the development of customized, entity specific Compliance Oversight Plans. Also, discuss RF specific approaches that align to this Framework that will further unfold during the conference.

### Enforcement Under the RAI

**Location:** Salon 1, 2, 3 - Lobby Level  
**Presenter:** Jeff Craigo, ReliabilityFirst  
**Description:** Overview of the RAI risk-based compliance oversight framework planned to be released by NERC in September 2014.  
**Objectives:** Inform Regional Stakeholders of the risk-based compliance oversight framework that is based on RAI principles and supported by a series of documents that describe various processes that lead to the development of customized, entity specific Compliance Oversight Plans. Also, discuss RF specific approaches that align to this Framework that will further unfold during the conference.

**Description:** Presentation will include discussion of various options for disposing of a possible violation at RF (compliance exception, FFT, settlement agreement, dismissal) and when and how each one is used. Focus will be on compliance exceptions which are new under the RAI, and how they are processed either on a case-by-case basis or through the logging privilege.  
**Objectives:** When and how RF uses settlement agreements to resolve possible violations. When and how RF uses FFTs to resolve possible violations. When and how RF uses dismissals to resolve possible violations. When and how RF uses compliance exceptions to resolve possible violations. The two avenues to achieve compliance exception treatment: case-by-case and logging privileges. When and how RF awards logging privileges. How the logs are processed at RF and with NERC and FERC.

### 2015 Compliance Oversight Plan

**Location:** Salon 1, 2, 3 - Lobby Level  
**Presenter:** Tony Purgar and Jim Uhrin, ReliabilityFirst  
**Description:** Overview of the approach and results for the ReliabilityFirst 2015 Compliance Oversight Plan applicable to our regional stakeholders subject to compliance audits in 2015.  
**Objectives:** Inform Regional Stakeholders on the approach taken in determining the 2015 Compliance Oversight Plan and the resulting Standards / Requirements that will be monitored in 2015.

### Risk-Based Registration

**Location:** Salon 1, 2, 3 - Lobby Level  
**Presenter:** Terry Brinker, NERC  
**Description:** Future changes in the way entities are registered.  
**Objectives:** Learn how Risk-Based Registration will affect registration in the future. The benefits that entities should expect from Risk-Based Registration.
Auditing Fundamentals

Location: Salon 1, 2, 3 - Lobby Level
Presenter: TBD

Description: Present the fundamental things that an auditor does in preparation for an engagement and is looking for during the engagement.

Objectives: Provide attendees an understanding how the audit teams prepare for an audit and what to expect once an engagement is initiated.

Date: Wednesday, October 1, 2014

Session 1 - Self-Logging

Location: Salon 1, 2, 3 - Lobby Level
Presenter: Niki Schaefer, ReliabilityFirst; Mike Deloach, AEP

Description: Presentation will include detailed discussion of why and how RF awarded logging privileges to AEP, the Risk Training component of logging, AEP’s internal process for risk assessments and for creating and maintaining the log, AEP’s experience in the logging pilot, and RF’s (and SPP and TRE’s) periodic review of the log.

Objectives: Why and how AEP was awarded logging privileges. The training AEP underwent to participate in the logging pilot. The process AEP adopted/adapted following training to make its risk determinations. The process AEP developed to create and maintain the log. AEP’s experience in the logging pilot. The review process of the logs from AEP’s perspective. The review process of the logs from the Regions’ perspective.

Session 2 - PHI/Appraisal

Location: Salon 1, 2, 3 - Lobby Level
Presenter: Derek Kassimer, ReliabilityFirst; Jim Boone, PHI

Description: A look from both side of the coin - PHI and RF.

Objectives: Overview of the appraisal (objectives). Planning stages (initial discussions with PHI, scoping, sampling, etc.) On site performance of the appraisal. Appraisal results. Improvements to the appraisal process moving forward. PHI improvements to their internal processes (possibly depending on if PHI agrees).

Session 3 - Management Practices Applicability to Requirements Mapping

Location: Salon 1, 2, 3 - Lobby Level
Presenter: Carl Dister, ReliabilityFirst

Description: The “Management Practices Applicability to Requirements Mapping” session provides an overview of the methodology at ReliabilityFirst for connecting appraisal results to their impact on NERC Standards and Requirements.

Objectives: Learners will learn:
- The tradeoffs for popular methods of connecting Risks to Requirements, and why we selected the use of Management Practices;
- To visualize the connection between Management Practices and Requirements through the use of Root Cause Analysis;
- The probabilistic nature of internal controls by being presented with an internal controls hierarchy map, and voting on which internal controls provide the best likelihood of reducing risks to the grid; and
- The relationship between tailoring of management practices among business units to the likelihood of mitigating risks to the grid.

Forward Together • ReliabilityFirst
### Session 1 - Compliance Monitoring Approach to PRC-005-2

**Location:** Gary Campbell, Reliability First; Curtis Crum, ReliabilityFirst

**Presenters:**

**Description:** Present the approach RF plans to take associated with the compliance monitoring and auditing of PRC-005-2.

**Objectives:** Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.

### Session 2 - Compliance Monitoring Approach to EOP-010-1

**Location:** TBD

**Presenters:**

**Description:** Present the approach RF plans to take associated with the compliance monitoring and auditing of EOP-010-1.

**Objectives:** Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.

### Session 2 - Compliance Monitoring Approach to TPL-001-4

**Location:** TBD

**Presenters:**

**Description:** Present the approach RF plans to take associated with the compliance monitoring and auditing of TPL-001-4.

**Objectives:** Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.

### Session 3 - Compliance Monitoring Approach to FAC-008-3

**Location:** TBD

**Presenters:**

**Description:** Approach RF plans to take associated with the compliance monitoring and auditing of FAC-008-3.

**Objectives:** Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.

### Session 1 - Self-Logging

**Location:** TBD

**Presenters:** Niki Schaefer, ReliabilityFirst; Mike Deloach, AEP

**Description:** Presentation will include detailed discussion of why and how RF awarded logging privileges to AEP, the Risk Training component of logging, AEP’s internal process for risk assessments and for creating and maintaining the log, AEP’s experience in the logging pilot, and RF’s (and SPP and TRE’s) periodic review of the log.

**Objectives:** Why and how AEP was awarded logging privileges. The training AEP underwent to participate in the logging pilot. The process AEP adopted/adapted following training to make its risk determinations. The process AEP developed to create and maintain the log. AEP’s experience in the logging pilot. The review process of the logs from AEP’s perspective. The review process of the logs from the Regions’ perspective.

### Session 2 - PHI/Appraisal

**Location:** TBD

**Presenters:** Derek Kassimer, ReliabilityFirst; Jim Boone, PHI

**Description:** A look from both side of the coin - PHI and RF.

**Objectives:** Overview of the appraisal (objectives). Planning stages (initial discussions with PHI, scoping, sampling, etc.) On site performance of the appraisal. Appraisal results. Improvements to the appraisal process moving forward. PHI improvements to their internal processes (possibly depending on if PHI agrees).
### Session 3 - Management Practices Applicability to Requirements Mapping

<table>
<thead>
<tr>
<th>Location:</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter:</td>
<td>Carl Dister, ReliabilityFirst</td>
</tr>
<tr>
<td>Description:</td>
<td>The “Management Practices Applicability to Requirements Mapping” session provides an overview of the methodology at ReliabilityFirst for connecting appraisal results to their impact on NERC Standards and Requirements.</td>
</tr>
</tbody>
</table>
| Objectives: | Learners will learn:  
  • The tradeoffs for popular methods of connecting Risks to Requirements, and why we selected the use of Management Practices;  
  • To visualize the connection between Management Practices and Requirements through the use of Root Cause Analysis;  
  • The probabilistic nature of internal controls by being presented with an internal controls hierarchy map, and voting on which internal controls provide the best likelihood of reducing risks to the grid; and  
  • The relationship between tailoring of management practices among business units to the likelihood of mitigating risks to the grid. |

### OPS/Planning Track

#### Session 1 - Compliance Monitoring Approach to PRC-005-2

<table>
<thead>
<tr>
<th>Location:</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter:</td>
<td>Gary Campbell, Reliability First; Curtis Crum, ReliabilityFirst</td>
</tr>
<tr>
<td>Description:</td>
<td>Present the approach RF plans to take associated with the compliance monitoring and auditing of PRC-005-2.</td>
</tr>
<tr>
<td>Objectives:</td>
<td>Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.</td>
</tr>
</tbody>
</table>

#### Session 2 - Compliance Monitoring Approach to EOP-010-1

<table>
<thead>
<tr>
<th>Location:</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter:</td>
<td>David Lake, ReliabilityFirst</td>
</tr>
<tr>
<td>Description:</td>
<td>Present the approach RF plans to take associated with the compliance monitoring and auditing of EOP-010-1.</td>
</tr>
<tr>
<td>Objectives:</td>
<td>Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.</td>
</tr>
</tbody>
</table>

#### Session 2 - Compliance Monitoring Approach to TPL-001-4

<table>
<thead>
<tr>
<th>Location:</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter:</td>
<td>Brian Thiry, ReliabilityFirst</td>
</tr>
<tr>
<td>Description:</td>
<td>Present the approach RF plans to take associated with the compliance monitoring and auditing of TPL-001-4.</td>
</tr>
<tr>
<td>Objectives:</td>
<td>Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.</td>
</tr>
</tbody>
</table>

#### Session 3 - Compliance Monitoring Approach to FAC-008-3

<table>
<thead>
<tr>
<th>Location:</th>
<th>TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presenter:</td>
<td>Rich Gloff, ReliabilityFirst</td>
</tr>
<tr>
<td>Description:</td>
<td>Approach RF plans to take associated with the compliance monitoring and auditing of FAC-008-3.</td>
</tr>
<tr>
<td>Objectives:</td>
<td>Provide an understanding of the compliance monitoring approach RF will be using to audit and monitor this FERC approved reliability standard.</td>
</tr>
<tr>
<td>Time</td>
<td>Event Description</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------------------------------------------------</td>
</tr>
<tr>
<td>11:00 AM - 12:00 PM</td>
<td><strong>CIP v5 High Level Overview of Changes</strong></td>
</tr>
<tr>
<td>Description</td>
<td>CIP V5 Transition – High Level Overview</td>
</tr>
<tr>
<td></td>
<td>• CIP V5 Transition Program Update</td>
</tr>
<tr>
<td></td>
<td>• Lessons Learned and FAQs Update</td>
</tr>
<tr>
<td></td>
<td>• SDT Activities</td>
</tr>
<tr>
<td>12:00 PM - 1:00 PM</td>
<td><strong>Lunch - Location: Skyline Ballroom</strong></td>
</tr>
</tbody>
</table>