



# Compliance Workshop - 2007

## Introduction

Last October, NPCC held a workshop and discussed with regional participants regarding the registration and the compliance program in 2007. Earlier this year, NPCC CBRE completed the Registration Verification Survey. The information obtained from this survey will help NPCC CBRE determine entities responsible for compliance with NERC and Regional Reliability Standards. NPCC CBRE has also developed the compliance program implementation plan which includes the compliance schedule for 2007. The plan was approved and posted on the NPCC CBRE website at [www.npcc-cbre.org](http://www.npcc-cbre.org).

NPCC CBRE is holding a workshop this year to further update regional participants regarding the 2007 compliance program and processes. Based on the information available and the work that has been accomplished to date, NPCC CBRE will discuss the result of the Registration Verification Survey and the audit program this year. NPCC CBRE will also present its implementation of the uniform Compliance Monitoring and Enforcement Program (CMEP) and participants will have the opportunity to see examples of simulated financial penalties based on the NERC Sanction Guidelines and a demonstration the online web application for submitting compliance reports and tracking compliance status as well as mitigation plan.

## Workshop Date and Location

**April 25, 2007 (9 AM to 4:30 PM)**

**At The State Room - Downtown Albany, NY**  
142 State Street, Albany, New York 12207  
Phone: (518) 432-7773

### Nearby Hotel

Crown Plaza Albany Hotel  
State & Lodge Streets Albany, NY 12207  
Phone: 518-462-6611 | [www.cpalbany.com](http://www.cpalbany.com)  
For mapping, use the address: 105 State Street

## Attire

Business Casual.

## Registration

Advance registration is recommended. A registration form is attached. **Fee to cover cost of the workshop is \$100 (US)**. Continental breakfast and lunch will be provided. Participants will be responsible for their own hotel accommodations.

## Workshop Objectives

- Result of Compliance Registration Verification
- Update on Status of ERO/MOUs
- Compliance Processes and NPCC CBRE Implementation of CMEP
- Compliance Audit Program
- Demo of Online Compliance Submittals
- Simulations of Financial Penalties

## Who Should Attend

- NPCC Inc. and NPCC CBRE Members and all those who have registered or are required to register for compliance with the ERO and Regional Reliability Standards
- Independent System Operator and Power Pool staffs and committee members
- Transmission and Generation owners
- Independent Power Producers
- Control Area and Transmission System Operators and Planners
- Power Marketers
- Regulators
- Other Electric Industry Participants
- NPCC Inc. Committee, Task Force and Working Group members



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## Preliminary Agenda

April 25, 2007

Continental Breakfast (8:15–9:00 AM)

**9:00 – 9:15 AM**

**Welcome and Introduction**

**9:15 - 9:45 AM**

**NPCC Inc / CBRE / MOUs**

**9:45 – 10:30 AM**

**Overview of NERC Compliance Activities**

Break (10:30–10:45 AM)

**10:45 – 11:30 AM**

**NPCC Compliance Registry (Entity Registration)**

**11:30 – 12:15 PM**

**NPCC Implementation of the Uniform NERC CMEP**

Lunch (12:15–01:00 PM)

**01:00 – 1:30 PM**

**Actively Monitored Standards and Requirements in 2007**

**01:30 – 2:00 PM**

**Compliance Audit Program**

**02:00 – 3:00 PM**

**Demo Presentation on Web-based Compliance Application**

Break (3:00–3:15 PM)

**03:15 – 3:45 PM**

**Simulations of Financial Penalties**

**03:45 – 4:30 PM**

**Open Discussion/Wrap-up**



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## Registration Form

### NPCC CBRE Compliance Workshop

#### Albany, New York

The State Room  
142 State Street  
Albany, New York 12207  
(518) 432-7773

April 25, 2007

**Name:** \_\_\_\_\_

**Name or Nickname on Nametag:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Organization:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City/State/Zip:** \_\_\_\_\_

**Phone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Email address:** \_\_\_\_\_

**REGISTRATION FEE: \$100 (US), excluding guest speakers**  
**Payable to: Northeast Power Coordinating Council CBRE**  
*(by check or money orders only,*  
*No credit cards)*

**Send completed Registration Form along with payment to:**  
**Northeast Power Coordinating Council CBRE**  
**1515 Broadway 43<sup>rd</sup> floor**  
**New York, New York 10036**  
**Phone: (212) 840-1070**  
**Fax (212) 302-2782**  
**Email Address: [mfeliciano@npcc.org](mailto:mfeliciano@npcc.org)**