

# Office of NERC Compliance

## OFFICE OF NERC COMPLIANCE

### NERC COMPLIANCE APPRAISAL

- ▶ Program Appraisal
- ▶ Implementation Effectiveness
- ▶ Standards & RSAWS
- ▶ Procedure Quality / Effectiveness
- ▶ Root Cause & Extent of Condition
- ▶ Status of Audit Documentation
- ▶ NERC Reporting / Self-Certification
- ▶ Performance Monitoring & Feedback
- ▶ Mitigation Strategies
- ▶ Reporting of Results

### NERC PRE-AUDIT SERVICES

- ▶ Audit Strategy & Support Plan
- ▶ Audit Preparation
- ▶ Compliance Questionnaire
- ▶ Communications
- ▶ Mock Audit
- ▶ Audit Documentation

### NERC AUDIT (Scheduled / Unscheduled / Spot)

- ▶ Registered Entity Consultation
- ▶ Auditor / RE Communication
- ▶ Issues Facilitation, Negotiation & Resolution

### NERC POST-AUDIT SERVICES

- ▶ Audit Debrief
- ▶ Recommended Action Strategy
- ▶ Mitigation Plan

### NERC MONITORING

- ▶ News, Alerts, & Issues
- ▶ Regional Entity Monitoring



## Imagine Managing the NERC Regulatory Process to Your Advantage

Imagine experiencing complete confidence and satisfaction in your NERC compliance program — from compliance appraisal through audit preparation, to successful audit completion.

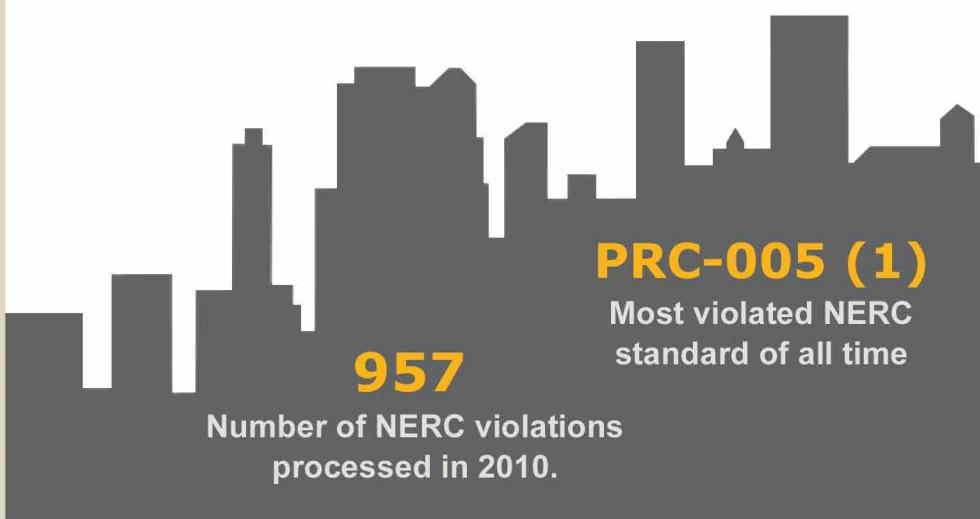
***Now you can.***

Certrec supports NERC Compliance managers through our Office of NERC Compliance services. As your regulatory partners, Certrec Office of NERC Compliance (ONC) allows you to focus on other core business functions while being confident that nothing escapes your attention.

Staffed by NERC compliance experts with more than 250 cumulative years of regulatory compliance and audit experience, Certrec's Office of NERC Compliance (ONC) allows you to better:

- *Manage the Impact of the NERC Regulatory Process*
- *Manage Communication with Multiple Regulators*
- *Maintain NERC Compliance*

"Our facility is in compliance with all NERC standards and was recognized as having the best audit records this team has seen. Thanks Certrec." - Omar Sharief, Compliance Mgr., Leading North American Utility





- Manage the Impact of the NERC Regulatory Process
- Manage Communication with Multiple Regulators
- Maintain NERC Compliance

Certrec serves electric industry professionals who are responsible for regulatory compliance with FERC, NERC, NRC and other bodies.

With more than 20+ years of direct utility experience, Certrec's highly skilled and industry-seasoned team offers extensive regulatory compliance, audit, engineering service know-how. Many hold degrees in Nuclear, Electrical and Mechanical Engineering, Engineering Physics, Computer Science, and Engineering Technology.

Our Office of NERC Compliance clients include the North American Electric Reliability Corporation (NERC), Sabine River Authority, NISCO, Shell Wind Energy, Entergy, and others.

## Office of NERC Compliance

### COMPLIANCE APPRAISAL

#### COMPLIANCE APPRAISAL

Compliance expertise when and where you need it:

- Program Appraisal
- Implementation Effectiveness
- Standards & RSAWs
- Procedure Quality / Effectiveness
- Root Cause & Extent of Condition
- Status of Audit Documentation
- NERC Reporting / Self-Certification
- Performance Monitoring & Feedback
- Mitigation Strategies
- Reporting of Results

### NERC AUDIT

#### PRE-AUDIT PHASE

From audit planning, through the extent of condition, to the status of your documentation, Certrec's expertise assures your NERC audit readiness.

#### AUDIT PHASE

During the audit, Certrec is at your side and in your corner with Auditor / Registered Entity issues facilitation, communication, and negotiation.

#### POST-AUDIT PHASE

Post-audit, Certrec guides you through audit debrief, recommended actions and strategy, and effective mitigation planning.

### COMPLIANCE TOOLS

#### CATS

(Condition Action Tracking System)

Stay within regulatory guidelines by identifying critical conditions, assigning actions, verifying status, and generating accurate reports.

#### TAKTIX

(NERC Project Management)

Bridge geography and streamline document development with action tracking, electronic document libraries, on-line commenting and more.

#### NERC eLIBRARY

Your Reliability Standards research system for NERC, FERC, and SERC Regional regulatory information - maintained in logical electronic file cabinets with full text search

### NERC MONITORING

➢ NEWS

➢ ALERTS

➢ ISSUES

➢ REGIONAL ENTITIES

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Office of NERC  
Compliance

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