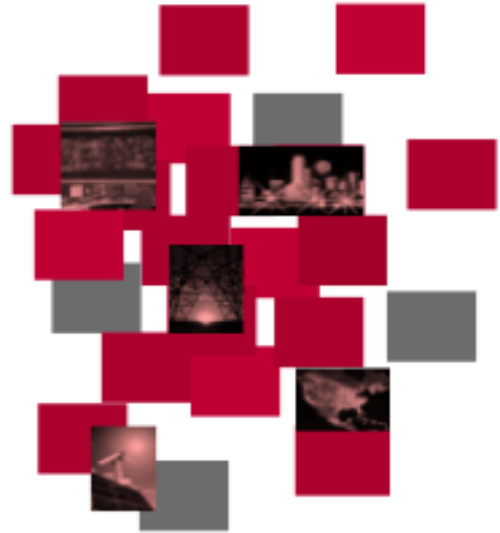
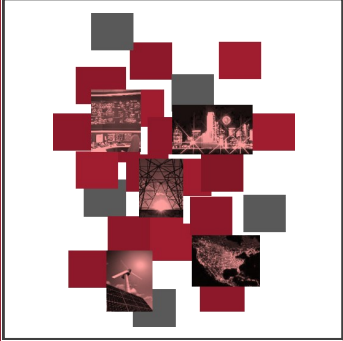


**CERTREC**<sup>®</sup>  
YOUR REGULATORY EXPERTS



# NERC Internal Compliance Program



# NERC Internal Compliance Program

Improving electric system reliability is an increasing focus of Federal regulation (FERC) and industry oversight through entities such as the North American Electric Reliability Corporation (NERC) and the Electric Reliability Organization (ERO). As such, Registered Entities (RE) are encouraged to implement robust Internal Compliance Programs (ICP) that support reliability on a forward-looking (rather than reactive) basis.

Registered Entities (RE) are the most qualified to devise appropriate internal compliance programs – and are being given run time to develop compliance policies, procedures, training and controls that monitor, find, fix, track and report reliability issues.

However, many lack the regulatory experience, compliance process knowledge, program development expertise or time to build and deploy a custom ICP.

For NERC compliance managers that wish to quickly deploy a comprehensive compliance program, Certrec offers a proven, end-to-end Internal Compliance Program that is easy to implement, cuts resource time and costs, and ensures:

- ▶ Senior management participation and leadership
- ▶ Effective policy and procedure documentation and program training
- ▶ Prompt problem detection, corrective action, and self-reporting
- ▶ Preventative measures supported by compliance evidence

## The Complexity can be Challenging

RE's that have developed ICPs internally soon realize that they are multi-faceted endeavors - often involving extensive policy and procedure documentation, executive education and oversight, employee training, cross-functional committee participation, maintenance of "living" records, regular communications, and enforcement of NERC Standards and Regional Entity Directives. Potential areas of risk include lack of program cohesion, missing procedures, controls, or corrective actions, effective training and enforcement, or management participation.

# Cut Through the ICP Complexity

## Internal Compliance Program



Certrec's Internal Compliance Program is a systematic approach for meeting internal compliance directives.

Developed by regulatory compliance experts with deep utility experience, our proven program ensures senior management understanding, engagement, and participation through:

- ▶ Detailed compliance policies
- ▶ Standardized procedure templates
- ▶ Compliance awareness and training instructional materials
- ▶ Program communication templates
- ▶ Corrective action and self-reporting guidelines

Also included are Certrec's web-based, compliance tools that manage your ICP in real-time, anywhere / anytime.

Relieved of having to build an ICP "from scratch", Registered Entities can take control of their compliance "destiny", confident that all the bases are covered.

### Possible Benefits of Certrec's ICP

- ▶ Reduced scope and frequency of audits
- ▶ Ability to exercise the FFT program
- ▶ Avoidance or lessening of violations and fines
- ▶ Ability to "get ahead of the Power Curve"





## Helping You Cut Through the Complexity

Founded in 1988, Certrec is a regulatory compliance expert that helps utilities manage the regulatory process to their advantage.

With more than 300 cumulative years of regulatory and industry experience with the Nuclear Regulatory Commission, the Federal Energy Regulatory Commission, the North American Electric Reliability Corporation (NERC), and other Regional Entities,

Certrec's:

- ▶ Office of Licensing and Compliance
- ▶ Office of NERC Compliance
- ▶ Office of Assessment and Recovery
- ▶ New Plant Services

are used by utilities across North America.

© 2013 Certrec Corporation

**CERTREC**  
YOUR REGULATORY EXPERTS

4150 International Plaza, Ste. 820  
Ft. Worth, TX 76109 817.738.7661  
Fax: 817.785.8572

For further information regarding the Office of NERC Compliance, please contact: Bob Biggs at [bob.biggs@certrec.com](mailto:bob.biggs@certrec.com)