



# SERC Spring CIP Reliability and Security Webinar

March 9, 2022  
9:00 a.m. – 12:00 p.m. Eastern  
WebEx



SERC is committed to providing training and non-binding guidance to industry stakeholders regarding emerging and revised Reliability Standards. However, compliance depends on a number of factors including the precise language of the Standard, the specific facts and circumstances, and the quality of evidence.

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### **Purpose:**

CIP Themed discussions will focus on reliability and security of the bulk power system and lessons learned.

- Explain new compliance program developments within the ERO
- Review new or existing CIP standards and audit approaches
- Present examples of good practices by registered entities within the SERC Region

### **Target Audience:**

This event will be of interest to CIP-focused technical staff of registered entities responsible for compliance with NERC Reliability Standards.

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The agenda allows time for Q&A after each presentation. Therefore, times listed may vary.

# Agenda

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## Wednesday, March 9, 2022

9:00 a.m. Welcome

*Bill Peterson – SERC  
Senior Manager, Outreach and Training*

9:10 a.m. CIP Audit Observations

*Matt Stryker - SERC  
Principal CIP Auditor*

9:30 a.m. Most Violated CIP Standards  
Lessons Learned

*Justin Kelly – SERC  
Senior CIP Engineer*

9:50 a.m. Break



10:00 a.m. Extent of Condition

*Rick Dodd- SERC  
Senior CIP Compliance Specialist*

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## Wednesday, March 9, 2022

10:20 a.m. CIP-013 Supply Chain  
Audit Approach

*Robert Vaughn- SERC  
CIP Auditor  
Mark Givens- SERC  
CIP Auditor*

10:40 a.m. Break



10:50 a.m. Evidence Request Tool v6

*Justin Kelly – SERC  
Senior CIP Engineer*

11:10 a.m. CIP-009 Recovery and Restoration Planning

*Ted Bell – SERC  
CIP Auditor  
Kara White – SERC  
CIP Auditor*

11:30 a.m. CIP Standards Update

*Mike Hagee – SERC  
Principal Reliability & Security Advisor*

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**Wednesday, March 9, 2022**

11:50 a.m.      Wrap -Up

*Bill Peterson – SERC  
Senior Manager, Outreach and Training*

12:00 p.m.      Adjourn

# WebEx Logon



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**The WebEx session will be recorded. The recording will be posted to the SERC website and will, therefore, become public.**

WebEx login information will be sent to registered attendees by **Monday, 07 March , 2022**  
Join by phone 1-408-792-6300 Call-in toll number (US/Canada)

**Participants will be muted upon entry to eliminate background noise. Please send questions through the Chat feature.**

IMPORTANT NOTICE: Please note that this WebEx service allows audio and other information sent during the session to be recorded, which may be discoverable in a legal matter. By joining this session, you automatically consent to such recordings. If you do not consent to being recorded, discuss your concerns with the host or do not join the session.

## Slido Information

SERC will be making use of slido to encourage Audience engagement as well as the Event Feedback Survey. Please scan the QR code below or go to [slido.com #SERC1](https://slido.com/#SERC1)



# Useful Links

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Topic	Purpose
<a href="#">Registered Entity Forum</a> <a href="#">CIP REF Steering Committee Members</a> <a href="#">O&amp;P REF Steering Committee Members</a>	If you have a question you would like to submit anonymously, you may do so by contacting one of the Registered Entity Forum Steering Committee members.
<a href="#">Resource Library</a> <a href="#">Newsroom</a>	eLearning Modules, COVID-19, Hurricane and Cold Weather Preparedness, Supply Chain Resources. Past and present newsletters.
<a href="#">Events Calendar</a>	Register for SERC's upcoming outreach events
<a href="#">Acronym List</a>	Industry Acronym Reference Index

# Questions for SERC

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- Q&A Process
- Entity Assistance

## Topic

## Email

- General inquiries / FAQ
- Seminar & Webinar Topic Suggestions
- Media inquiries
- SERC Membership
- SERC Committees
- SERC Compliance & Committee Portal/Committee related issues

[Support@serc1.org](mailto:Support@serc1.org)

- Registration and Certification Issues
- Compliance monitoring methods:
  - Self-Certification
  - Self-Report submittals
  - Compliance data submittals
- Enforcement and Mitigation
  - Mitigation Plan submittals
- SERC Compliance & Committee Portal-Compliance related issues

[SERCComply@serc1.org](mailto:SERCComply@serc1.org)

- Reliability Assessment data reporting
- Reliability Assessment forms
- Annual Voting Rights
- Reliability Data Reporting Portal

[RAStaff@serc1.org](mailto:RAStaff@serc1.org)

- Industry Subject Matter Expert (ISME) Program
- Submitting an ISME application

[ISME@serc1.org](mailto:ISME@serc1.org)

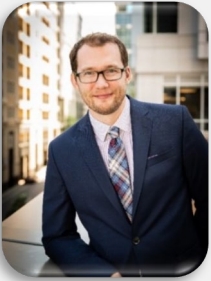
- Situational Awareness
- Events Analysis

[SAEA@serc1.org](mailto:SAEA@serc1.org)





# Speaker Biographies



## Bill Peterson - SERC

Bill Peterson is the Senior Manager Outreach and Training with SERC Reliability Corporation. Bill has contributed over 20 years to the information technology profession with 17 years dedicated to securing the bulk power system. He started working with CIP security in 2007 and has helped numerous organization strengthen their security posture over the years.

Previously, Mr. Peterson was the Manager, IT and Assistance, Program Manager, Cyber Security in the Technical Resources department and a Senior CIP Engineer in the Compliance group. Prior to joining SERC, he worked in security roles for Duke Energy and the New York Power Authority. Mr. Peterson has a Master's in Business Administration with a concentration on Information Technology Management from the State University of New York at Utica/Rome. Mr. Peterson has a Bachelor's of Science degree with a dual major in Computer Engineering and Electrical Engineering Technology from the State University of New York at Utica/Rome. Bill holds a certification in Certified Information Security Manager (CISM), a Certified Information Systems Security Professional (CISSP), a Certified Risk and Information Systems Control (CRISC) and a Leadership Certificate from Cornell University



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## Matt Stryker - SERC

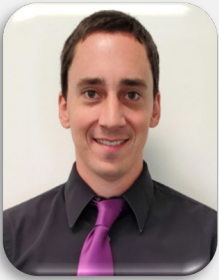
Matt joined the CIP Compliance audit team at SERC Reliability Corporation in January 2019.

Previously, Matt Stryker was a Supervisor of CIP with Georgia System Operations Corporation (GSOC) in Tucker, Georgia. He worked in the Security Operations department on both physical and electronic security processes in support of Georgia Transmission (GTC) and GSOC's compliance with the NERC CIP Reliability Standards. Mr. Stryker performed similar roles as a Group Lead of CIP for Georgia Transmission Corporation (GTC) since 2012.

Previously, Mr. Stryker held positions as a Senior CIP Compliance Auditor and later as the Manager of CIP Compliance Monitoring at SERC Reliability Corporation. He served as an Audit Team Lead or team member during audits of compliance with NERC Reliability Standards in the SERC Region.

Matt has more than 15 years of security experience in asset management, physical security, network operations, and compliance. Matt holds the ASIS Physical Security Professional (PSP) and the ISC2 Certified Information Systems Security Professional (CISSP) certifications. Matt holds a Bachelor of Science degree in Management from Georgia Tech

# Speaker Biographies



## Justin Kelly - SERC

In September 2019, Justin joined SERC Reliability Corporation as a Senior CIP Auditor. In September 2021, Justin joined the Risk Assessment and Mitigation group as a Senior CIP Engineer.

Previously, Justin Kelly was an Electrical Engineer with the Federal Energy Regulatory Commission in Washington, DC. He was a sub-team lead for both CIP Version 5 and CIP-014 FERC-led audits. Justin has also been involved in monitoring Standard Drafting Teams, drafting FERC Orders, reviewing CIP related sanctions filed or posted by NERC, and observing regional entity audits. He primarily focused on CIP Reliability Standards during his time at FERC, but also was a technical team lead for Geomagnetic Disturbance and Electromagnetic Pulse research and standards projects.

Justin received a Master of Science in Electrical Engineering degree from Virginia Polytechnic and State University in 2009. He is a licensed Professional Engineer (PE) in the state of Maryland and is a Certified Information System Security Professional (CISSP).



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## Rick Dodd - SERC

Rick Dodd has over 41 years management and technical experience in all aspects of IT and Information Security along with more than 14 years specializing in Critical Infrastructure Protection within the electric utility industry. Rick joined SERC as a Senior CIP Compliance Specialist within the Risk Assessment and Mitigation (RAM) team on July 1, 2019, and prior to that was with the former FRCC Regional Entity since January 1, 2013. His current responsibilities include assessing overall Registered Entity risk and working with Entities to review, accept, track, and verify their noncompliance activity and associated Mitigation Plans pertaining to issues or violations of NERC Reliability Standards.

Prior to joining FRCC, he was a senior member of the DYONYX Energy Practice Team for 5 years, participating on NERC working groups and numerous client engagements relevant to the CIP Reliability Standard and NEI 08-09 including many engagements at Registered Entities throughout the continental US and Canada. During his 26 year tenure with Verizon Data Services, he also managed an Information Security team of more than 30 employees. He brings demonstrated expertise in gathering business requirements, business process analysis, setting policies and standards, trouble shooting, tuning, and system evaluation. His wide versatility in multiple computing environments, with a strong understanding of object-oriented technologies, web services and workflow technologies, complements the needs of the team. He has directed and participated in the selection of hardware and software, building proof-of-concept/pilot projects aiding in deployment of enterprise-wide systems.

Rick is a Certified Information Systems Security Professional (CISSP), and holds a Master of Science in Computer Information Systems (MSCIS), a Master of Business Administration (MBA), and a Bachelor of Science in Professional Management from Nova Southeastern University, Ft. Lauderdale, FL.



# Speaker Biographies



## Robert Vaughn - SERC

Robert Vaughn joined SERC in April of 2018. Prior to joining SERC Robert was a Senior Compliance Auditor for the Southwest Power Pool Regional Entity (SPPRE) for three years.

Prior to joining the SPPRE, Robert was a Senior IT Auditor for the Windstream Communications Internal Audit Team for 3 years where he focused on Sarbanes-Oxley (SOX) IT risk areas.

Robert acquired a Bachelor of Science degree in Computer Information Systems with Quantitative Analysis from the University of Arkansas Fayetteville in 1998. Robert is also a Certified Information Systems Auditor (CISA).



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## Mark Givens - SERC

Mark joined the CIP Compliance audit team at SERC Reliability Corporation in December 2021.

Mark entered the electric power industry in 2007 and has more than 15 years of experience in energy and utility related regulatory compliance, including FERC, NERC and United States Nuclear Regulatory Commission (USNRC) regulated environments. Mr. Givens began his career in the industry working at NRG Energy, ultimately becoming a NERC Certified System Operator.

He later joined Entergy's Nuclear Operations business unit, continuing with success in the Nuclear Security organization as a Program Manager/Supervisor. There he was responsible for ensuring compliance to the Code of Federal Regulations enforced by the USNRC. There, Mr. Givens achieved much success as exemplified through outstanding regulatory performance, exiting rigorous NRC inspections and quality assurance audits without violation. There he gained notoriety with NRC inspectors and industry peers as an advocate for excellence.

Keeping with his desire to contribute and add value, when the opportunity presented itself, Mark desired to return to the world of NERC Compliance. In 2016, he joined Entergy's NERC Compliance team as a Sr. Compliance Specialist. Capitalizing on his previous experiences as a NERC Certified System Operator and as a Nuclear Security Program Manager, Mark's focus was given to CIP Compliance, primarily working with the physical standards. He was later promoted to the Ethics & Regulatory Compliance team, providing oversight of Entergy's FERC Compliance program.

Mr. Givens attended Southern University, Baton Rouge where he studied Civil Engineering. Through his experience, he has demonstrated a consistent track record of outstanding work performance. Mark is an effective communicator, leader, problem solver, and self-motivated active learner who thrives upon teamwork, and possesses the upward drive to surpass goals.



# Speaker Biographies



## Ted Bell - SERC

Ted Bell joined SERC on June 24, 2019 as a CIP Auditor.

Before joining SERC Ted was employed at Southwest Power Pool from 2005 through to 2019. He served in SPP's IT Department as a Developer and Data Modeler, SPP's Transmission Planning Department as an Analyst and Database Developer, the SPP Regional Entity as a Senior CIP Auditor, and SPP's Compliance Department as a Senior CIP Technical Specialist. Previously, Ted worked 13 years as a database and software developer and consultant in the Banking, Insurance and Medical fields.

Ted holds CISA and CRISC certifications. He has a Master's Degree in Technical and Expository Writing from the University of Arkansas at Little Rock.



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## Mike Hagee - SERC

Mike Hagee is a Principal Reliability and Security Advisor at SERC Reliability Corporation, a nonprofit corporation responsible for promoting and improving the reliability, adequacy, and critical infrastructure protection of the bulk power system in all or portions of 16 southeastern and central states. Supporting efforts in Technical Resources and Entity Assistance, Mr. Hagee is heavily engaged with the SERC and NERC Critical Infrastructure Protection Committees and other outreach and assistance programs. Mr. Hagee spent four years as Senior CIP Compliance Auditor, and as such, served as an Audit Team Lead and team member during spot checks and audits of compliance with NERC Reliability Standards in the SERC Region.

Prior to joining the SERC Reliability Corporation, Mr. Hagee was employed with Duke Energy Corporation in Charlotte, NC for 32 years, where he worked in various positions in the Nuclear and Corporate Security Departments managing their physical security programs, such as contract guard service, closed circuit television, access control systems, and investigations. Before retiring in 2011, Mr. Hagee was the Critical Infrastructure Asset Protection Manager for Duke Energy responsible for managing their regulated physical security programs, such as NERC CIP, FERC Dam Security, Maritime Security, and Chemical Security. Mr. Hagee has a Master of Arts in Business and Security Organizational Management from Webster University and a BS in Business Administration from Appalachian State University. Mr. Hagee is a Certified Protection Professional (CPP) sponsored by ASIS International and holds an Insider Threat Program Manager Certificate sponsored by Carnegie Mellon's Security Engineering Institute (SEI).

# Thank You

## ADDITIONAL INFORMATION

Questions concerning registration and meeting content - [Lynn Black](#)

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