

Compliance Management-Self Assessment	
Topic:	Compliance Management
Client:	Exelon
Objective:	<ul style="list-style-type: none"> Align internal procedures for compliance operations to manage annual self-assessment. Review documentation and processes to validate compliance status, as well as, identify areas of potential risk across the enterprise. Ensure adequate evidence exists to prove compliance. In-scope period was eight (8) months.
The Challenge:	<ul style="list-style-type: none"> Our client, Exelon, was faced with newly implemented standards by its internal processes/procedures which were mandated by the NERC external regulatory agency. These standards have specific guidelines that require an organization to have adequate evidence to demonstrate compliance. The client needed to ensure that the newly implemented processes and procedures are working as designed and review opportunities of improvement.
Our Approach:	<ul style="list-style-type: none"> Coordinated meetings with the compliance team members to review standards and client's procedure documents. Assigned certain standards to each compliance analyst to focus on. Each compliance analyst captured evidence from the compliance information repositories. Coordinated meetings with the compliance team members to review evidence and prepare presentations for the larger self-assessment.
The Results:	<ul style="list-style-type: none"> Able to identify process and procedure document enhancements. Align evidence being requested by the NERC external regulatory agency. Identified opportunities of improvement across the enterprise: <ul style="list-style-type: none"> Standardize reporting by different business units Emphasize use of internal processes and procedures management models to mitigate confusion between standard parts that may be similar Compliance tool enhancements for making compliance due date deadlines and automatic reporting subscriptions Self-reports found which are now escalated to the compliance review team for reporting to external regulatory agency Reliability First
Value Created:	<ul style="list-style-type: none"> Evidence is aligned with external NERC Standard Requirements. Our client can meet its compliance schedule which avoids fines and penalties. Internal processes and procedures are updated and aligned with evidence. Compliance tools have been enhanced. Business practices have been enhanced.