

Connect the Dots:  
How will **ET & SMART Grids** Transform the  
Future of Regulation?



Building Cultures of Compliance

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System Operations Success  
Preparing Energy Professionals  
for Tomorrow



Prequalified Ready Employees for Power  
Preparing Tomorrow's Energy Professionals



# Energy Technology Era



- New politics – uncertainties – ET Era
- Banking, auto, global credit crises
- Calls for more effective rules & regulation
  - Resource Scarcity
  - Energy Poverty
  - Global Warming
  - Petro Dictatorship
  - Loss of Species
- Requiring more detailed assessment of
  - Internal programs & Cultures of Compliance & Leadership
- ET revolutionizes the world/work => SMART Grid
  - central to jobs, environmental focus and economic recovery
- A Capabilities Maturity Model will be needed



# Sentencing courts consider six factors of culpability

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## Four may increase punishment of an organization

1. Management involvement or tolerance of criminal activity
2. Prior violation history
3. Disregard of earlier court orders
4. Obstruction of justice

## Two factors may mitigate penalties

5. Existence of an effective compliance and ethics program
6. Combination of the leadership's efforts in
  - self-reporting
  - cooperating with the authorities
  - accepting responsibility



# Effective Compliance & Ethics Program

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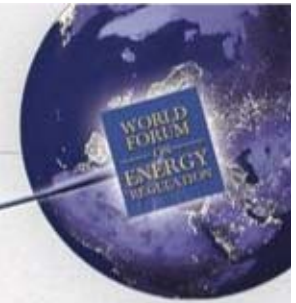


## *Suggested Components for Culture of Compliance*

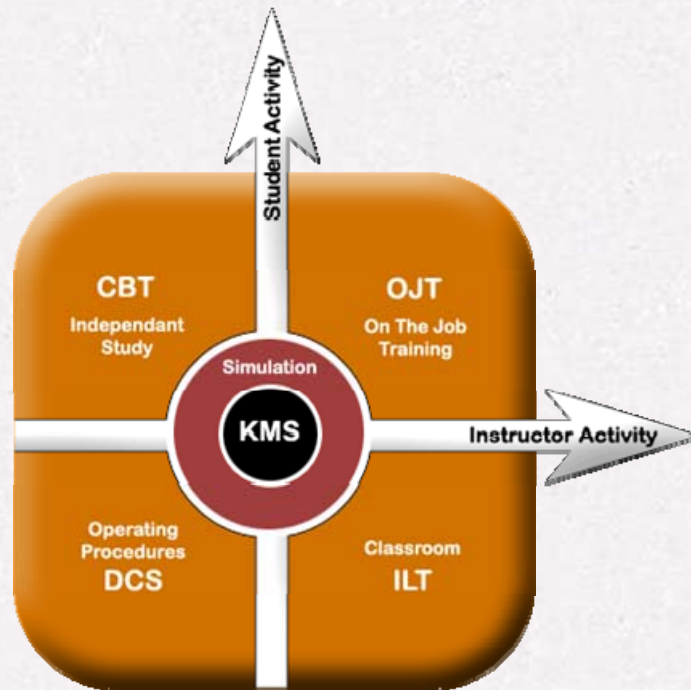
1. Standards and procedures
2. Compliance oversight – High-level responsibility
3. Trustworthy professionals – with authority to act
- 4. Training & Communication (LEARNING)**
5. Monitoring and auditing
6. Enforcement and discipline – consistency
7. Response and prevention



# Training Delivery for Adult Learning Moves from Professionals to Teams



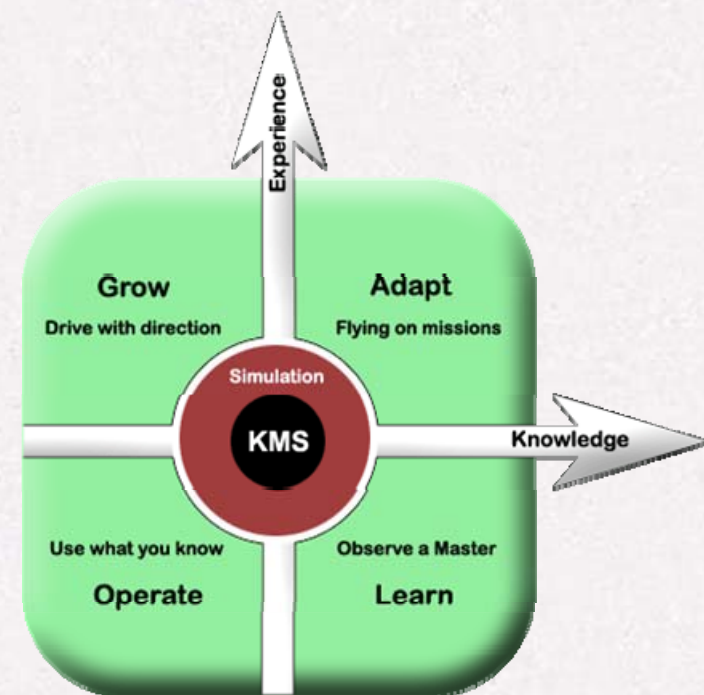
## Multi-Modal Training Delivery



Professionals



## Team Training with Simulation



Teams



# Build Expertise through Metacognition



Novice Pattern



Read

Analyze

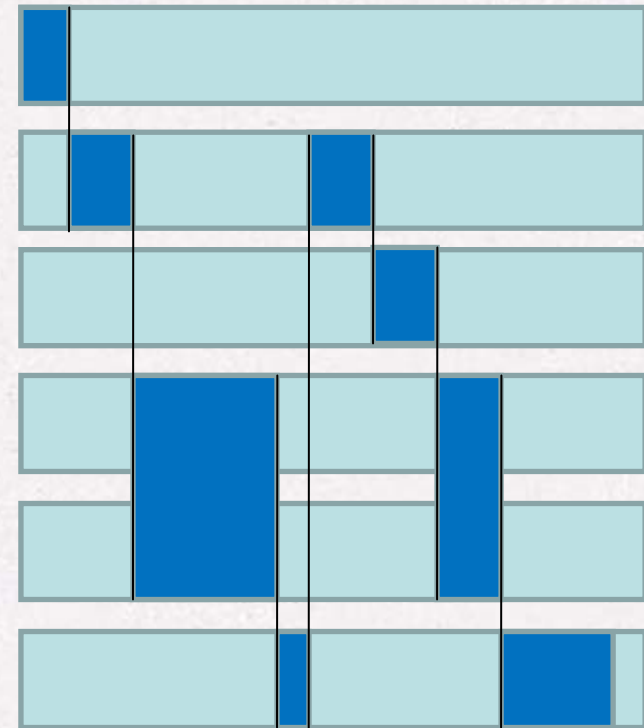
Explore

Plan

Implement

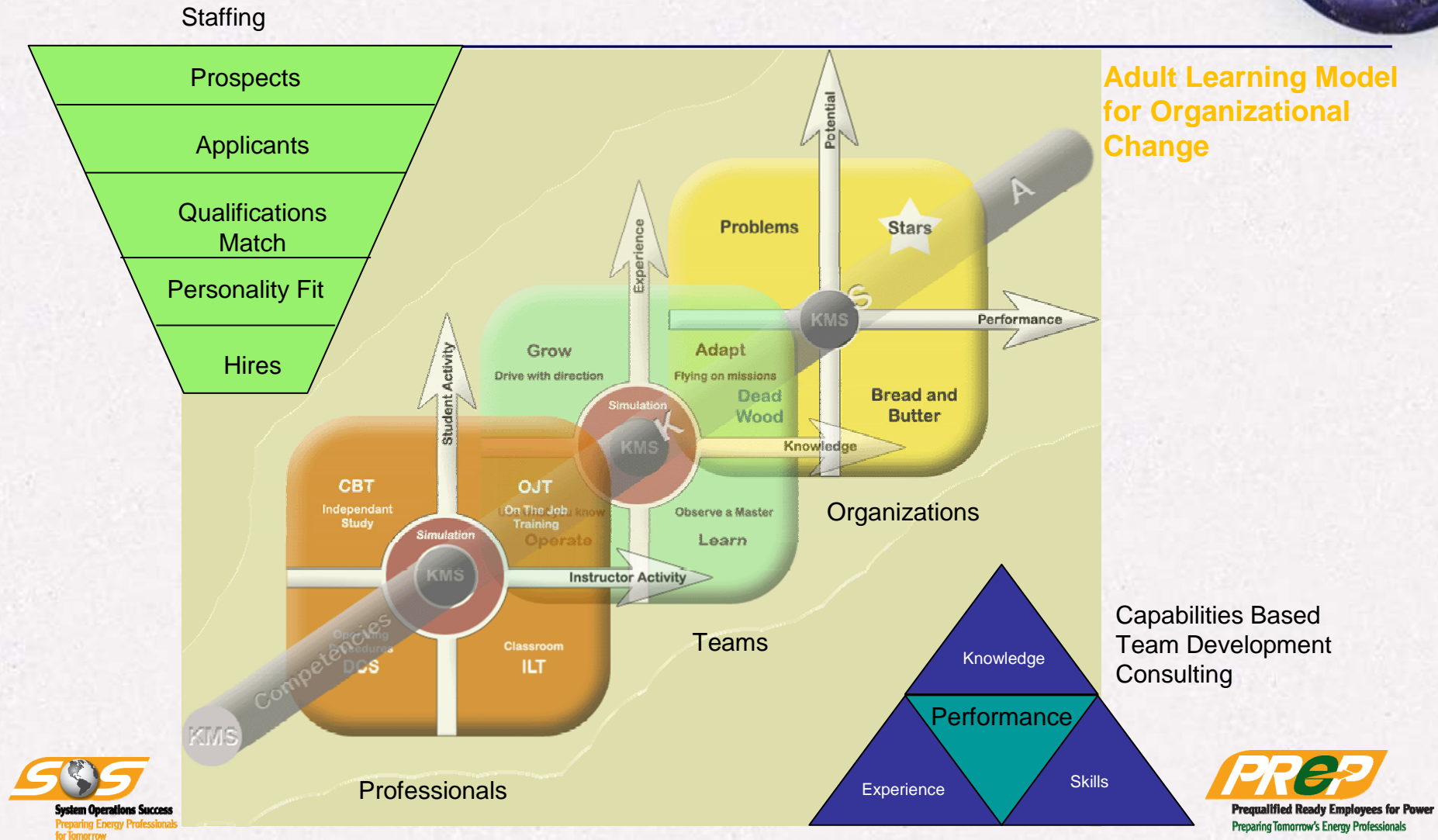
Verify

Expert Pattern





Integrating effective Professional and Team Based Adult Learning with Staffing and Team Development is increasingly important to effective regulation and compliance.



# SMART Grid brings pressure to Evolve Capabilities



Using a Capabilities Maturity Model (CMM) defines where energy organizations are on several critical dimensions of maturity and SMART Grid Implementation

