

Violation Process State Summary Table — Active FERC Enforceable Alleged Violations

Below is a breakdown, as of February 28, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Violation “state” summary for the 1689 active violations.

Region	State 1 (Assessment and Validation)		State 2 (Confirmation)					Settlement	State 3 (Regulatory Filings)			State 4 (Closing)	Total
	Substate A (NERC Reviewing)	Substate B (Region Preparing NAVAP)	Substate C (NERC Reviewing NAVAP and awaiting RE Response)	Substate D (Region Preparing NOCV)	Substate E (Pending Hearing)	Substate F (RE Hearing Process)	Substate G (NERC Appeal Process)	Substate K (Settlement Negotiations)	Substate H (NERC Reviewing NOCV)	Substate L (NERC Reviewing Settlement Agreement)	Substate I (NERC Issues NOP)	Substate J (Violation Closes)	
FRCC	2	52	19	8	0	0	0	25	31	0	0	0	137
MRO	8	3	2	2	0	0	0	5	36	0	0	0	56
NPCC	0	2	0	0	0	0	0	20	5	12	0	0	39
RFC	0	45	0	0	0	2	0	46	13	3	0	0	109
SERC	0	47	0	1	0	0	0	65	7	15	15	4	150
SPP	0	13	0	31	0	0	0	10	13	1	0	0	68
TRE	0	19	0	0	0	0	0	14	6	4	12	0	55
WECC	49	525	29	214	10	0	0	166	82	0	0	0	1075
TOTAL	59	706	50	256	10	2	0	351	193	35	27	4	1689
Percentage of Total	3.49%	41.80%	2.96%	15.16%	0.59%	0.12%	0.00%	20.78%	11.43%	2.07%	1.60%	0.24%	
State Totals	765		318					351	255			4	

Definitions

Substate A = Preliminary Notice of Alleged violation information has been received from the Region but no Initial Notice has been issued to FERC.

Substate B = NERC is awaiting receipt of Notice of Alleged Violation Proposed Penalty or Sanction from the Region.

Substate C = NERC has received Notice of Alleged Violation Proposed Penalty or Sanction and is awaiting acceptance, auto acceptance or contest.

Substate D = Region received acceptance letter from Registered Entity, or 30 day clock expired and violation is Auto Accepted and is now Confirmed.

Substate E = Region has received letter contesting violation from Registered Entity.

Substate F = Region has received request for Hearing from Registered Entity.

Substate G = NERC has received request for Appeal from Registered Entity.

Substate H = NERC has received a Notice of Confirmed Violation from the Region.

Substate I = Violation is Confirmed/Settled and a Notice of Penalty has been issued by NERC to Registered Entity and submitted to FERC.

Substate J = Payment of Penalties, Fulfillment of Sanctions, Completion of Mitigation Plan, Exhaustion of Administrative and Judicial Remedies, and Fulfillment of Settlement terms have all been met and violation is closed.

Substate K = Settlement negotiations are in progress.

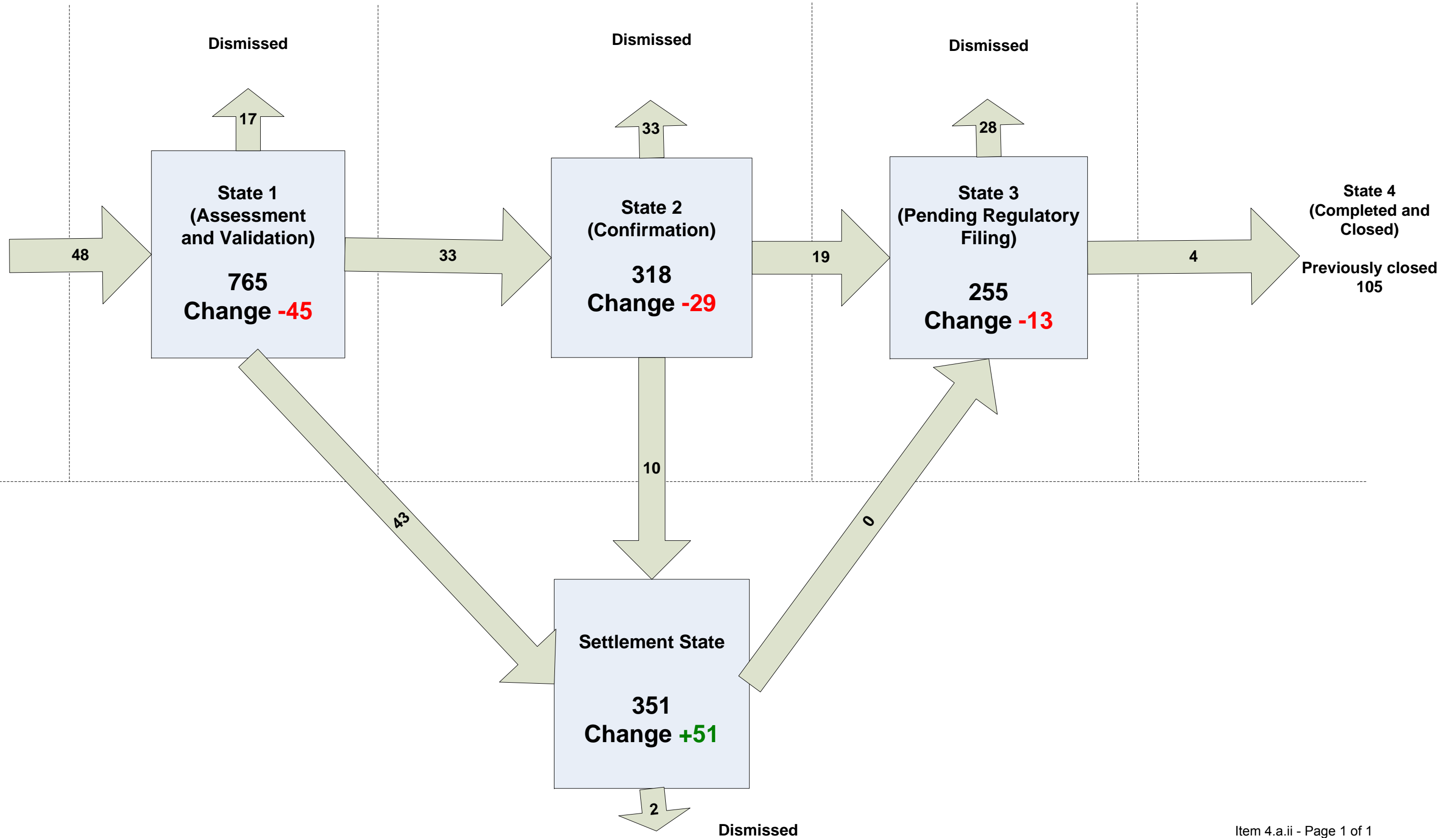
Substate L = NERC has received a Settlement Agreement from the Region.

* Includes new violations received through 2/28/2009.

Report Date: 3/3/2009

Violation Process States

Snapshot comparison between February 1, 2009 and February 28, 2009



Summary of all Post June 18th Alleged Violations by Region

Below is a breakdown, as of February 28, 2009 of the Compliance Monitoring and Enforcement (CMEP) alleged violation summary for all 2519 violations.

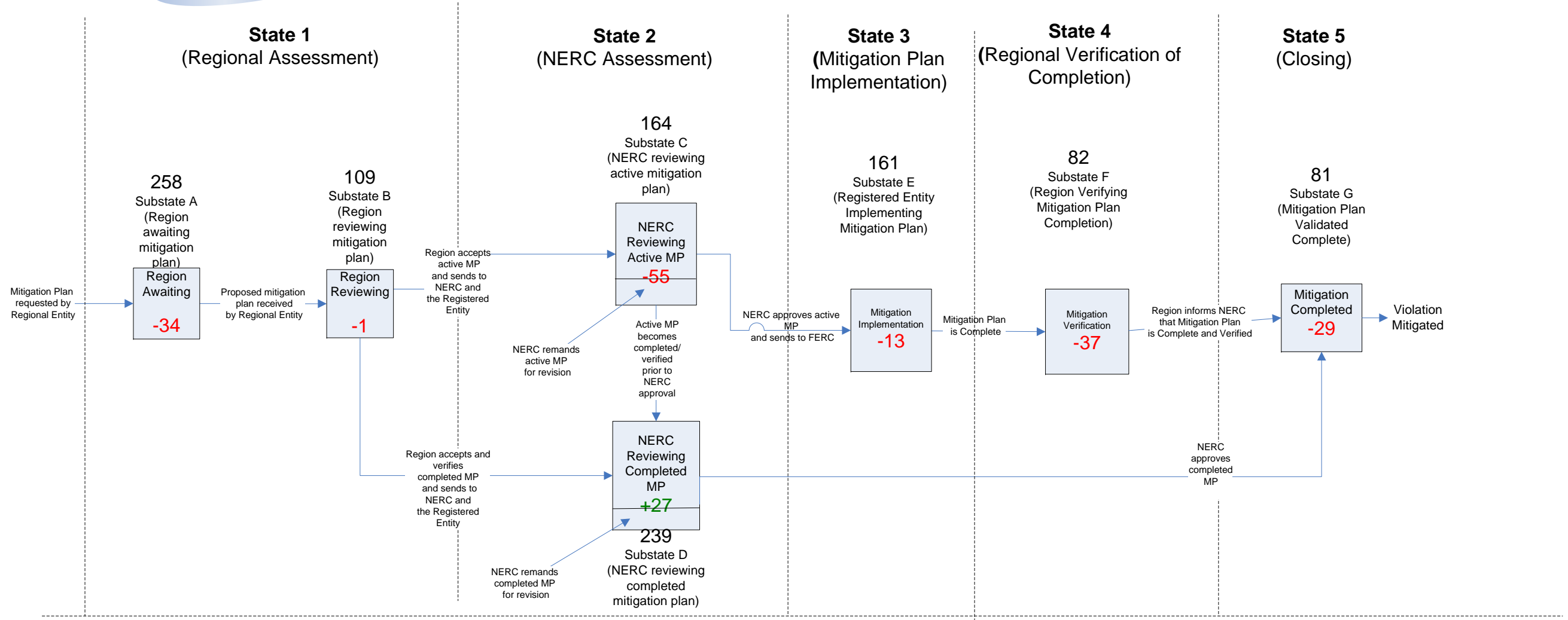
	Dismissed	Previously Closed	Newly Closed	FERC Enforceable			Total Canadian Violations	Total
				Total	Normalized by Registered Entity	% Non-Document Related		
FRCC	5	0	0	137	1.80	53%	0	142
MRO	14	7	0	56	.48	50%	7	84
NPCC	9	12	0	39	.14	51%	3	63
RFC	16	1	0	109	.31	65%	0	126
SERC	34	70	4	150	.66	99%	0	258
SPP	1	5	0	68	.61	81%	0	74
TRE	3	10	0	55	.26	82%	0	68
WECC	627	0	0	1075	2.27	52%	2	1704
TOTAL	709	105	4	1689	.92	59%	12	2519

Includes new violations received through 2/28/2009.

Report Date: 3/3/2009

Mitigation Process States and Underlying Process Substates

Snapshot comparison between February 1, 2009 and February 28, 2009



Mitigation Plans Process State Table — Active FERC Enforceable Alleged Violations

Below is a breakdown, as of February 28, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Mitigation Plan “state” summary for the 1094 active violations.

	State 1		State 2			State 3	State 4	State 5	
	(Regional Assessment)		(NERC Assessment)			(Mitigation Plan Implementation)	(Regional Verification of Completion)	(Closing)	
	Substate A	Substate B	Substate C		Substate D	Substate E	Substate F	Substate G	Total
Region	Region Awaiting	Region Reviewing	Accepted MP Not Received from Region	NERC Reviewing Active MP	NERC Reviewing Completed MP	Registered Entity Implementation	Regional Verification of MP Completion	Mitigation Plan Validated Complete	
FRCC	8	4	1	27	20	8	19	1	88
MRO	9	2	0	3	1	0	0	5	20
NPCC	24	0	1	3	3	2	0	0	33
RFC	32	0	0	8	0	19	26	0	85
SERC	32	5	0	7	15	11	6	48	124
SPP	11	0	0	0	0	31	0	6	48
TRE	33	0	0	0	0	7	0	1	41
WECC	109	98	0	114	200	83	31	20	655
TOTAL	258	109	2	162	239	161	82	81	1094
Percentage of Total	23.58%	9.96%	0.18%	14.81%	21.85%	14.72%	7.50%	7.40%	
State Totals	367		403			161	82	81	

Definitions

Substate A = Region is still awaiting receipt of mitigation plan from Registered Entity.

Substate B = Region has received mitigation plan and is reviewing.

Substate C = NERC has received mitigation plan and is reviewing. Also includes any mitigation plans not yet received by NERC.

Substate D = Mitigation plan has been verified completed by the Region but is still awaiting approval by NERC.

Substate E = Mitigation plan has been approved by NERC, and sent to FERC, but has not been completed.

Substate F = Mitigation Plan has been completed per Registered Entity but is being verified by the Region.

Substate G = Mitigation plan has been verified completed by Region, has been approved by NERC, and sent to FERC.

- Includes Mitigation Plans received through 2/28/2009.
- Mitigation information reported at the violation level.

Report Date: 3/3/2009

Mitigation Plan Summary of Pre-June 18th Violations

Below is a breakdown of the remaining unmitigated pre-June 18th violations occurring between January 2006 and June 17, 2007, by Region, updated as of February 28, 2009.

	2006 Unmitigated			2007 Unmitigated			All Years	
	Alleged	Target Date Passed	Total 2006	Alleged	Target Date Passed	Total 2007	Total Unmitigated	Under Verification
FRCC	0	0	0	7	1	8	8	28
MRO	0	0	0	0	0	0	0	0
NPCC	0	0	0	0	0	0	0	0
RFC	0	0	0	0	0	0	0	0
SERC	0	0	0	0	0	1	1	0
SPP	0	0	0	0	0	0	0	1
TRE	0	0	0	0	0	0	0	0
WECC	0	0	0	2	30	62	62	27
TOTAL	0	0	0	9	31	71	71	56

Definitions

Target Date Passed = Violations that are listed as “In Progress” or “To be determined” per the region’s linear spreadsheet that have an Estimated Mitigation Completion Date which has passed.

*WECC alleged violations are considered to be RMS violations.

Report Date: 3/3/2009

Progress with Pre-June 18th Violation Mitigation Plans

