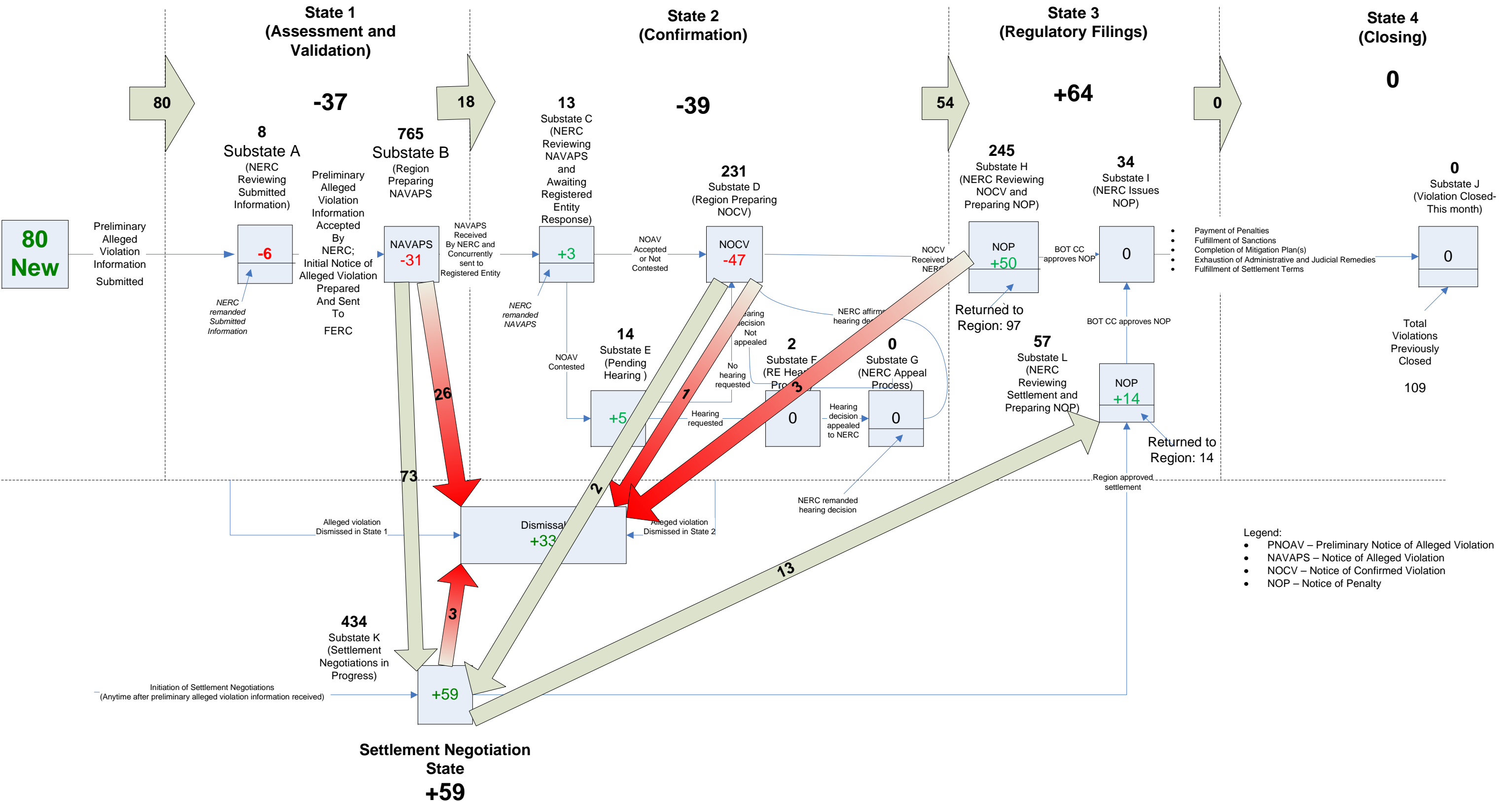


# Violation Process States and Underlying Process Sub states

Snapshot comparison between April 1, 2009 and April 30, 2009



**Violation Process State Summary Table — Active FERC Enforceable Alleged Violations**

Below is a breakdown, as of April 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Violation “state” summary for the 1803 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	0	11	0	3	0	0	0	81	52	0	0	0	147
MRO	0	12	0	0	0	0	0	4	37	3	0	0	56
NPCC	0	0	0	0	0	0	0	29	4	12	1	0	46
RFC	0	47	0	0	0	2	0	51	13	3	0	0	116
SERC	0	33	0	1	0	0	0	77	5	17	21	0	154
SPP	0	15	0	4	0	0	0	10	40	1	0	0	70
TRE	0	18	0	0	0	0	0	13	6	5	12	0	54
WECC	8	629	13	223	14	0	0	169	88	16	0	0	1160
<b>TOTAL</b>	<b>8</b>	<b>765</b>	<b>13</b>	<b>231</b>	<b>14</b>	<b>2</b>	<b>0</b>	<b>434</b>	<b>245</b>	<b>57</b>	<b>34</b>	<b>0</b>	<b>1803</b>
<b>Percentage of Total</b>	<b>0.44%</b>	<b>42.43%</b>	<b>0.72%</b>	<b>12.81%</b>	<b>0.78%</b>	<b>0.11%</b>	<b>0.00%</b>	<b>24.07%</b>	<b>13.59%</b>	<b>3.16%</b>	<b>1.89%</b>	<b>0.00%</b>	
<b>State Totals</b>	<b>773</b>		<b>260</b>					<b>434</b>	<b>336</b>			<b>0</b>	

**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.

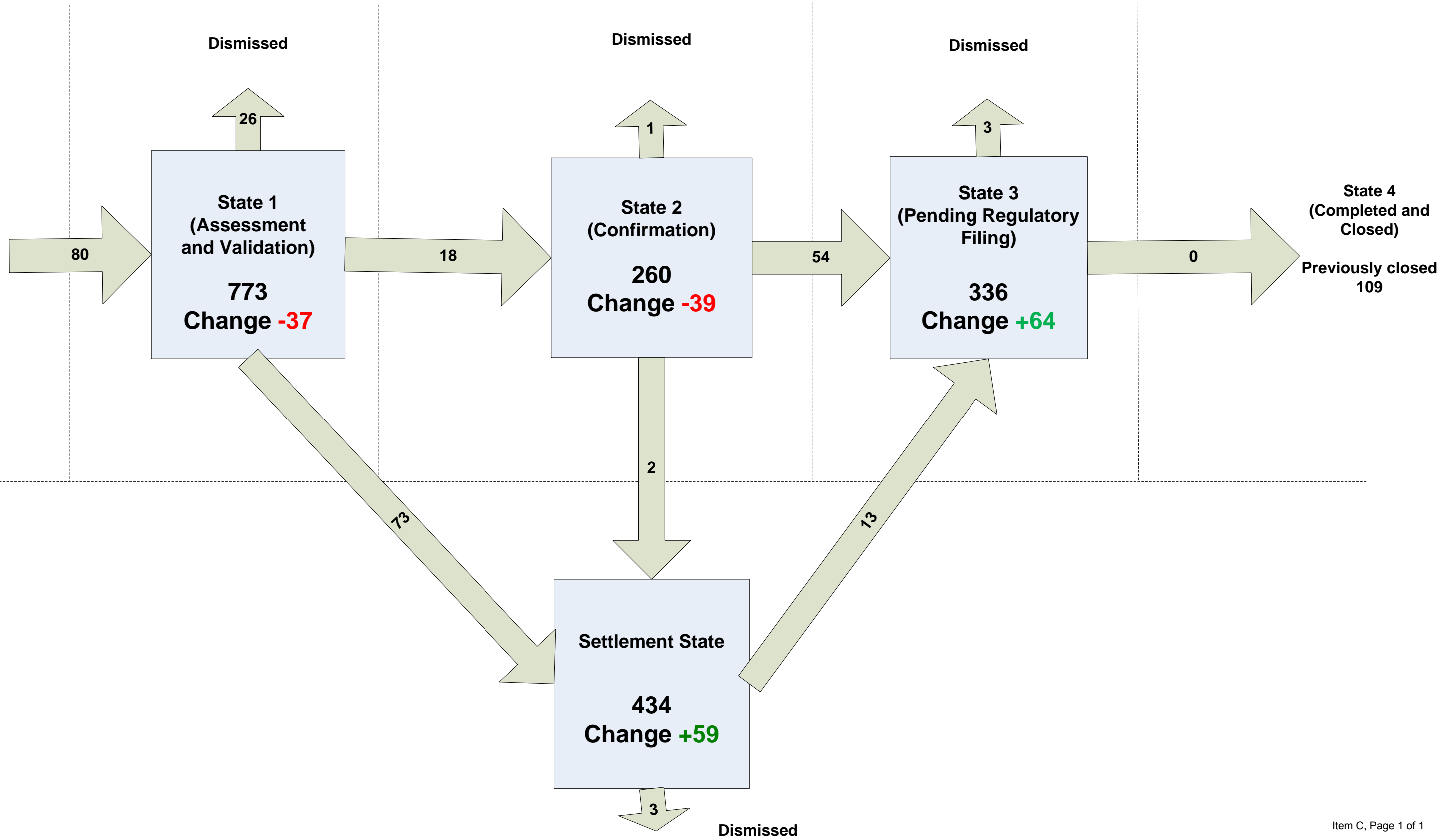
Substate L = NERC has received a Settlement Agreement from the Region.

\* Includes new violations received through 4/30/2009.

Report Date: 5/4/2009

# Violation Process States

Snapshot comparison between April 1, 2009 and April 30, 2009



## Pending Violations Summary by Process Steps FERC Enforceable Alleged Violations Summarized by State

Below is a breakdown, as of April 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Violation Process Steps summarized by State for the 1803 FERC enforceable violations.

Region	STATE 1	STATE 2	Settlement Negotiations	STATE 3	STATE 4	Total Active	% Closed to Total
	Assessment and Validation	Confirmation		Pending Regulatory Filing	Completed and Closed (Previous 12 Months)		
FRCC	11	3	81	52	0	147	0%
MRO	12	0	4	40	7	56	11%
NPCC	0	0	29	17	12	46	21%
RFC	47	2	51	16	1	116	1%
SERC	33	1	77	43	74	154	32%
SPP	15	4	10	41	5	70	7%
TRE	18	0	13	23	10	54	16%
WECC	637	250	169	104	0	1160	0%
<b>TOTAL</b>	<b>773</b>	<b>260</b>	<b>434</b>	<b>336</b>	<b>109</b>	<b>1803</b>	<b>6%</b>

\* Includes new violations received through 4/30/2009.

Report Date: 5/4/2009

## Summary of all Post June 18<sup>th</sup> Alleged Violations by Region

Below is a breakdown, as of April 30, 2009 of the Compliance Monitoring and Enforcement (CMEP) alleged violation summary for all 2692 violations.

	Dismissed	Previously Closed	Newly Closed	FERC Enforceable			Total Canadian Violations	Total	Percentage Entities with no Violations*
				Total	Normalized by Registered Entity	% Non-Document Related			
FRCC	16	0	0	147	2.10	52%	0	163	56%
MRO	19	7	0	56	0.48	34%	7	89	77%
NPCC	9	12	0	46	0.17	33%	3	70	89%
RFC	16	1	0	116	0.32	66%	0	133	85%
SERC	43	74	0	154	0.68	48%	0	271	64%
SPP	1	5	0	70	0.61	71%	0	76	82%
TRE	4	10	0	54	0.25	63%	0	68	92%
WECC	660	0	0	1160	2.46	54%	2	1822	58%
<b>TOTAL</b>	<b>768</b>	<b>109</b>	<b>0</b>	<b>1803</b>	<b>0.98</b>	<b>54%</b>	<b>12</b>	<b>2692</b>	<b>75%</b>

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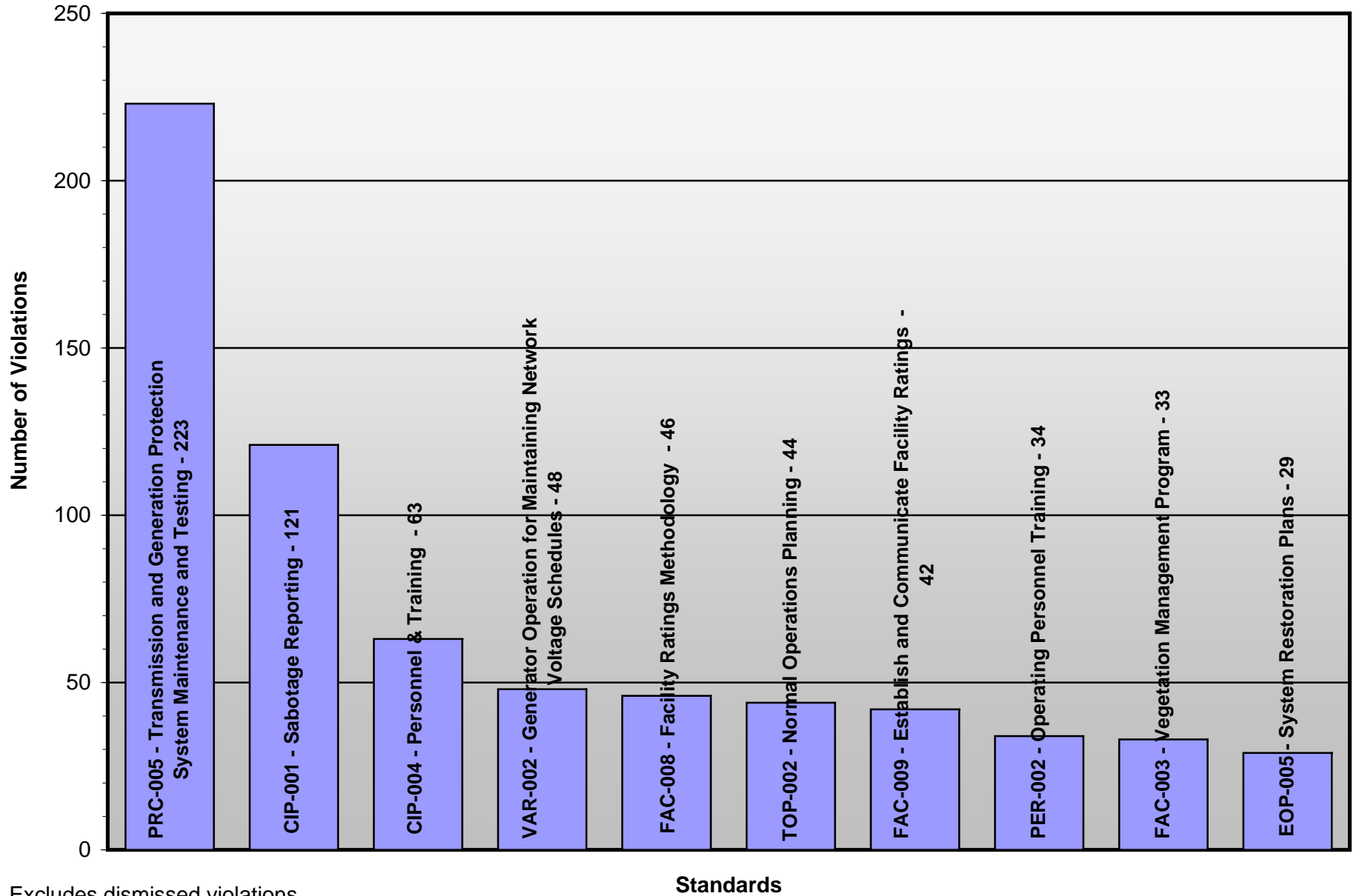
Includes new violations received through 4/30/2009.

\* Includes all Canadian entities

Report Date: 5/4/2009

Top 10 FERC Enforceable Standards  
(Submit Dates: 5/1/2008 thru 4/30/2009)

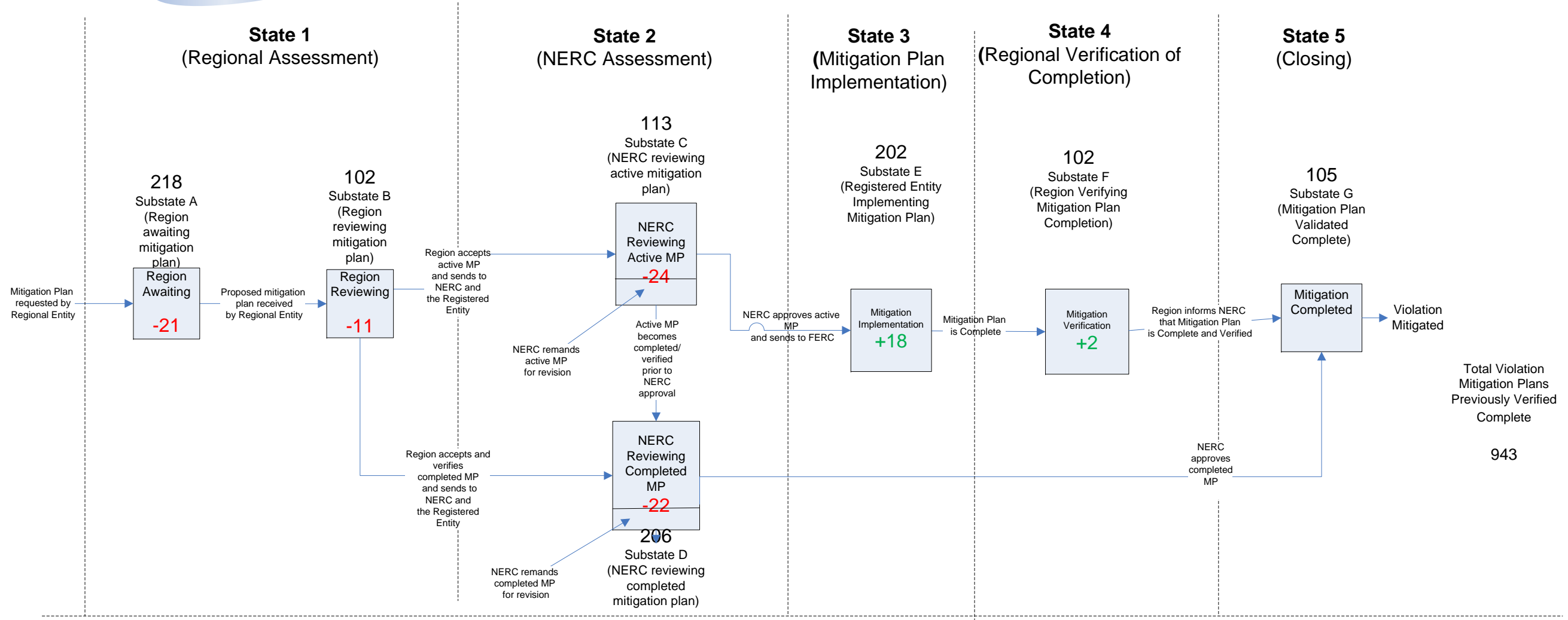
Item F



Excludes dismissed violations.

# Mitigation Process States and Underlying Process Substates

Snapshot comparison between April 1, 2009 and April 30, 2009



### Mitigation Plans Process State Table — Active FERC Enforceable Alleged Violations

Below is a breakdown, as of April 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Mitigation Plan “state” summary for the 1048 active violations.

Region	State 1 (Regional Assessment)		State 2 (NERC Assessment)			State 3 (Mitigation Plan Implementation)	State 4 (Regional Verification of Completion)	State 5 (Closing)	Total
	Substate A	Substate B	Substate C		Substate D	Substate E	Substate F	Substate G	
	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	10	2		5	11	31	12	11	82
MRO	9		1		1	4	0	0	15
NPCC		19		12	1	1	0	3	36
RFC	31					8	53	0	92
SERC	29	2			10	10	6	9	66
SPP	11					31	2	0	44
TRE	29					6	0	0	37
WECC	99	79	2	93	183	111	29	80	676
<b>TOTAL</b>	<b>218</b>	<b>102</b>	<b>3</b>	<b>110</b>	<b>206</b>	<b>202</b>	<b>102</b>	<b>105</b>	<b>1048</b>
<b>State Totals</b>	<b>320</b>		<b>319</b>			<b>202</b>	<b>102</b>	<b>105</b>	

#### 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 4/30/2009.
- Mitigation information reported at the violation level.

Report Date: 5/4/2009



## Mitigation Plan Summary of Pre-June 18<sup>th</sup> Violations

Below is a breakdown of the remaining unmitigated pre-June 18<sup>th</sup> violations occurring between January 2006 and June 17, 2007, by Region, updated as of April 30, 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	0	0	1	1	10*
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	0
TRE	0	0	0	0	0	0	0	0
WECC	0	0	0	1	19	32	32	5
<b>TOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>19</b>	<b>34</b>	<b>34</b>	<b>15</b>

### 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.

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\*Includes a 2006 violation that is under review by FRCC.

Report Date: 5/4/2009

### Progress with Pre-June 18th Violation Mitigation Plans

