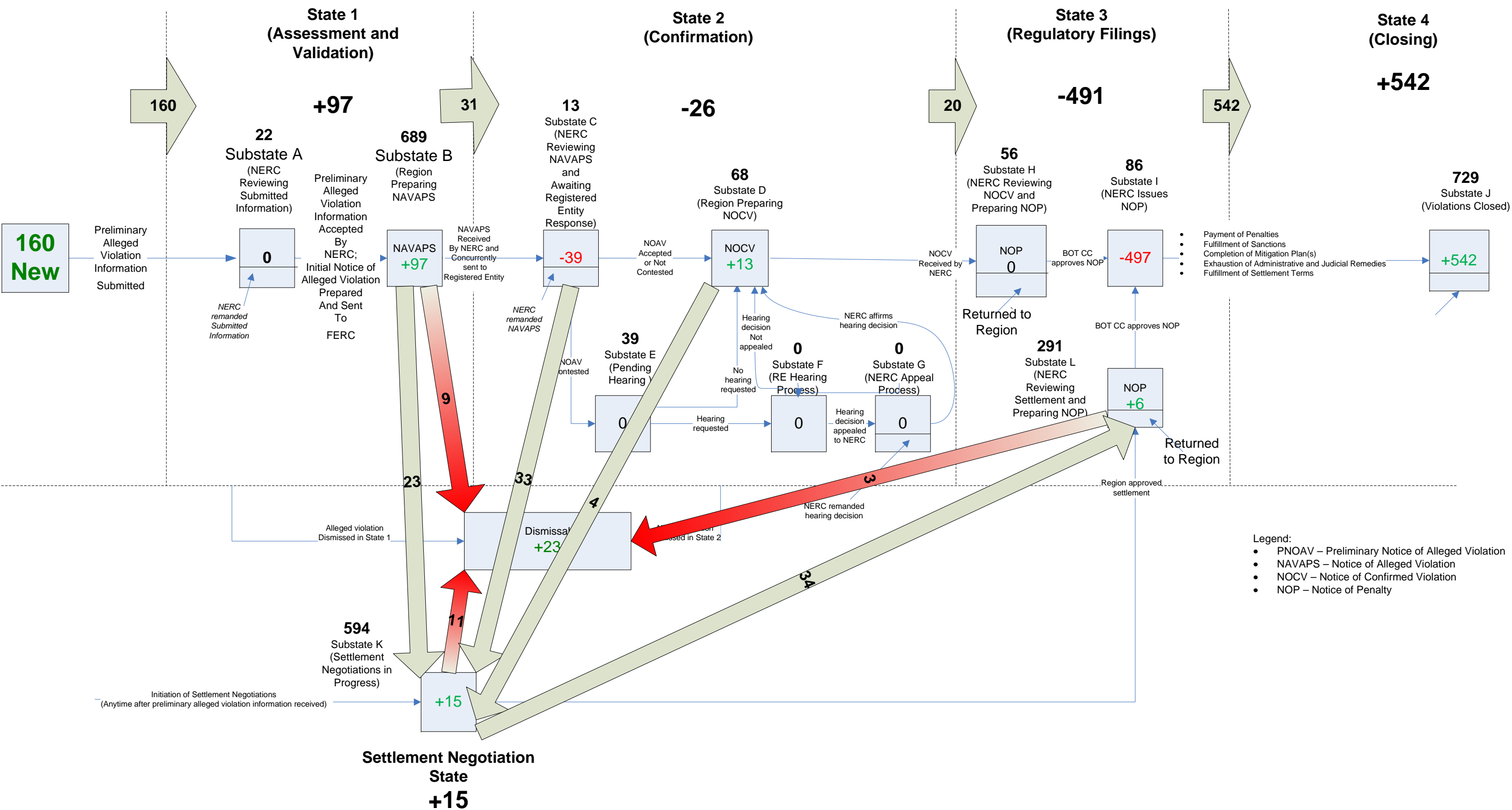


Violation Process States and Underlying Process Sub states

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



Violation Process State Summary Table — Active FERC Enforceable Alleged Violations

Below is a breakdown, as of November 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Violation “state” summary for the 2400 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	45	0	0	0	0	0	141	0	0	10	54	250
MRO	0	29	1	2	0	0	0	18	2	3	0	6	61
NPCC	0	33	0	0	0	0	0	22	0	8	12	0	75
RFC	0	69	0	0	0	0	0	40	0	47	28	13	197
SERC	7	128	0	0	0	0	0	52	0	61	17	1	266
SPP	6	70	0	5	0	0	0	50	26	2	0	11	170
TRE	0	14	0	7	0	0	0	9	5	1	4	0	40
WECC	9	274	12	54	39	0	0	262	23	169	15	457	1314
NERC	0	27	0	0	0	0	0	0	0	0	0	0	27
TOTAL	22	689	13	68	39	0	0	594	56	291	86	542	2400
Percentage of Total	0.92%	28.71%	0.54%	2.83%	1.63%	0.00%	0.00%	24.96%	2.33%	11.92%	3.58%	22.58%	
State Totals	711		120					594	433			542	

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.

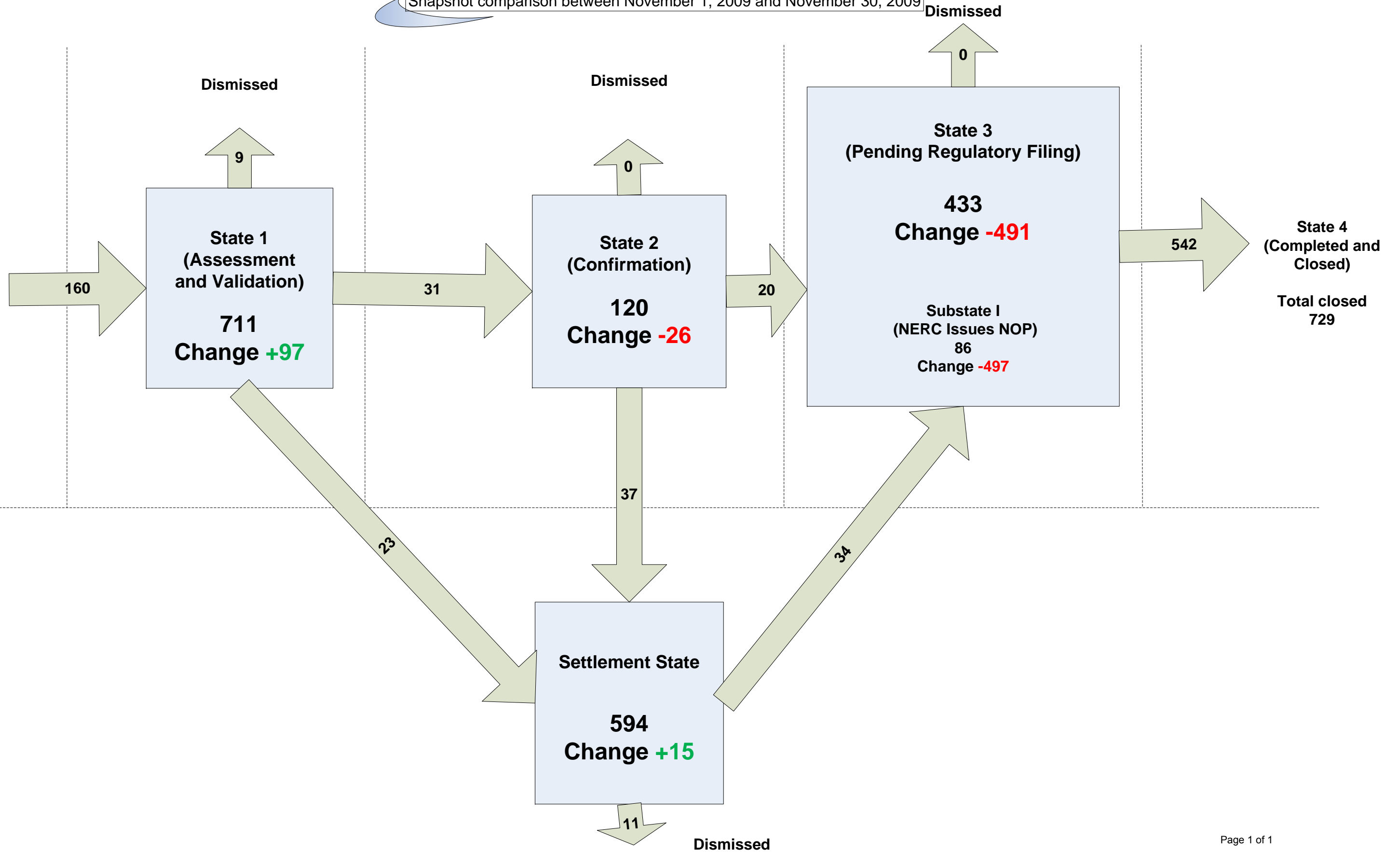
Substate L = NERC has received a Settlement Agreement from the Region.

* Includes new violations received through 11/30/2009.

Report Date: 12/2/2009

Violation Process States

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



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

Below is a breakdown, as of November 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Violation Process Steps summarized by State for the 2587 FERC enforceable violations.

	Assessment and Validation	Confirmation	Settlement	Pending Regulatory Filing	Completed and Closed	
Region						Total
FRCC	45	0	141	10	56	252
MRO	29	3	18	5	43	98
NPCC	33	0	22	20	17	92
RFC	69	0	40	75	15	199
SERC	135	0	52	78	99	364
SPP	76	5	50	28	18	177
TRE	14	7	9	10	23	63
WECC	283	105	262	207	458	1315
NERC	27	0	0	0	0	27
TOTAL	711	120	594	433	729	2587

* Includes new violations received through 11/30/2009.

Report Date: 12/1/2009

Summary of all Post June 18th Alleged Violations by Region

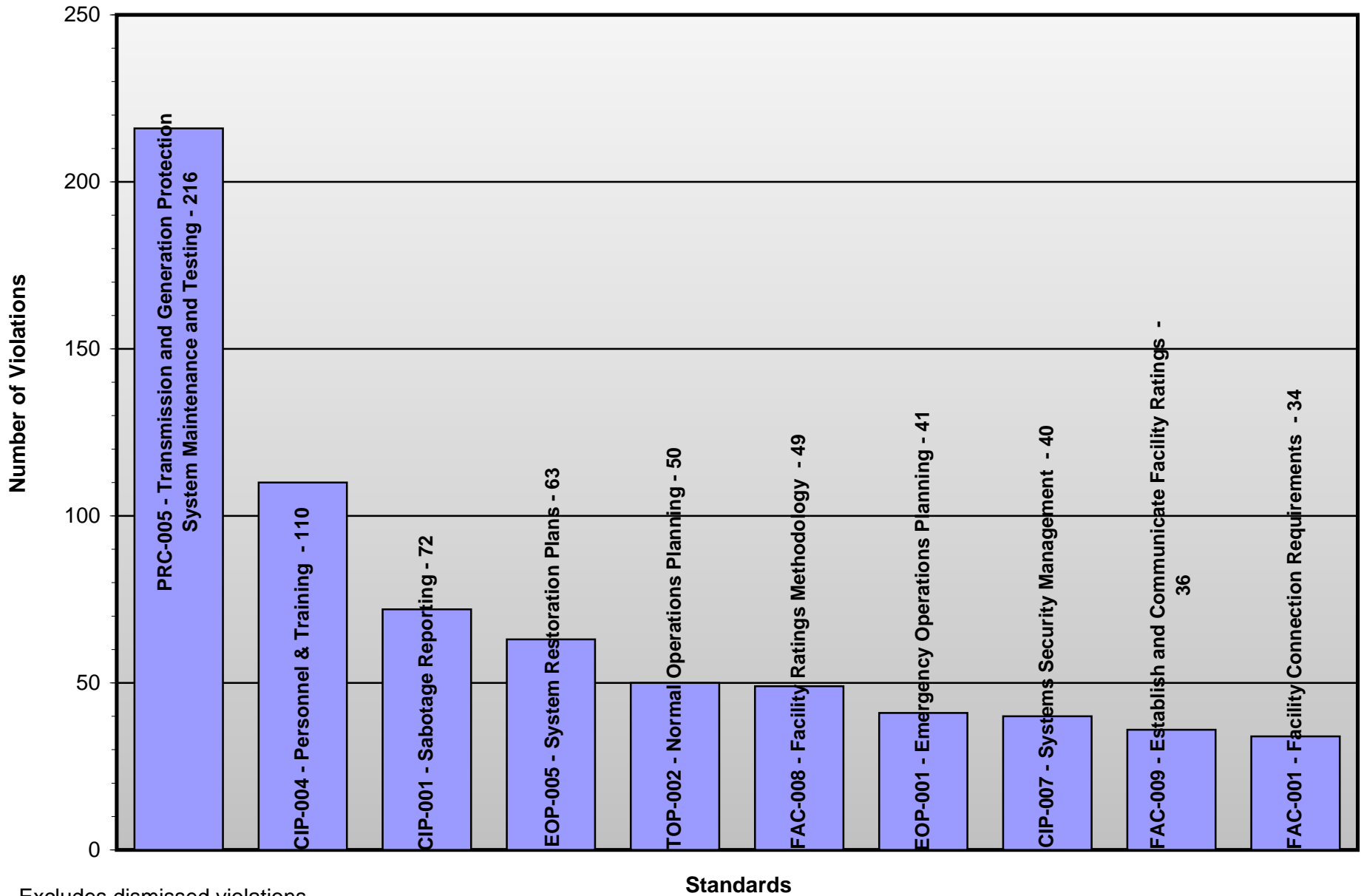
Below is a breakdown, as of November 30, 2009 of the Compliance Monitoring and Enforcement (CMEP) alleged violation summary for all 3637 violations.

	Dismissed	Previously Closed	Newly Closed	FERC Enforceable			Total Canadian Violations	Total
				Total	Normalized by Registered Entity	% Non-Document Related		
FRCC	38	2	54	196	2.72	64%	0	290
MRO	30	37	6	55	0.46	56%	7	135
NPCC	9	17	0	75	0.26	40%	5	106
RFC	25	2	13	184	0.51	71%	0	224
SERC	52	98	1	265	1.16	50%	0	416
SPP	6	7	11	159	1.36	65%	0	183
TRE	18	23	0	40	0.19	73%	0	81
WECC	850	1	457	857	1.83	57%	2	2167
NERC	8	0	0	27	9.00	96%	0	35
TOTAL	1036	187	542	1858	0.99	59%	14	3637

Includes new violations received through 11/30/2009.

Report Date: 12/1/2009

**Top 10 FERC Enforceable Standards
(Submit Dates: 12/1/2008 thru 11/30/2009)**

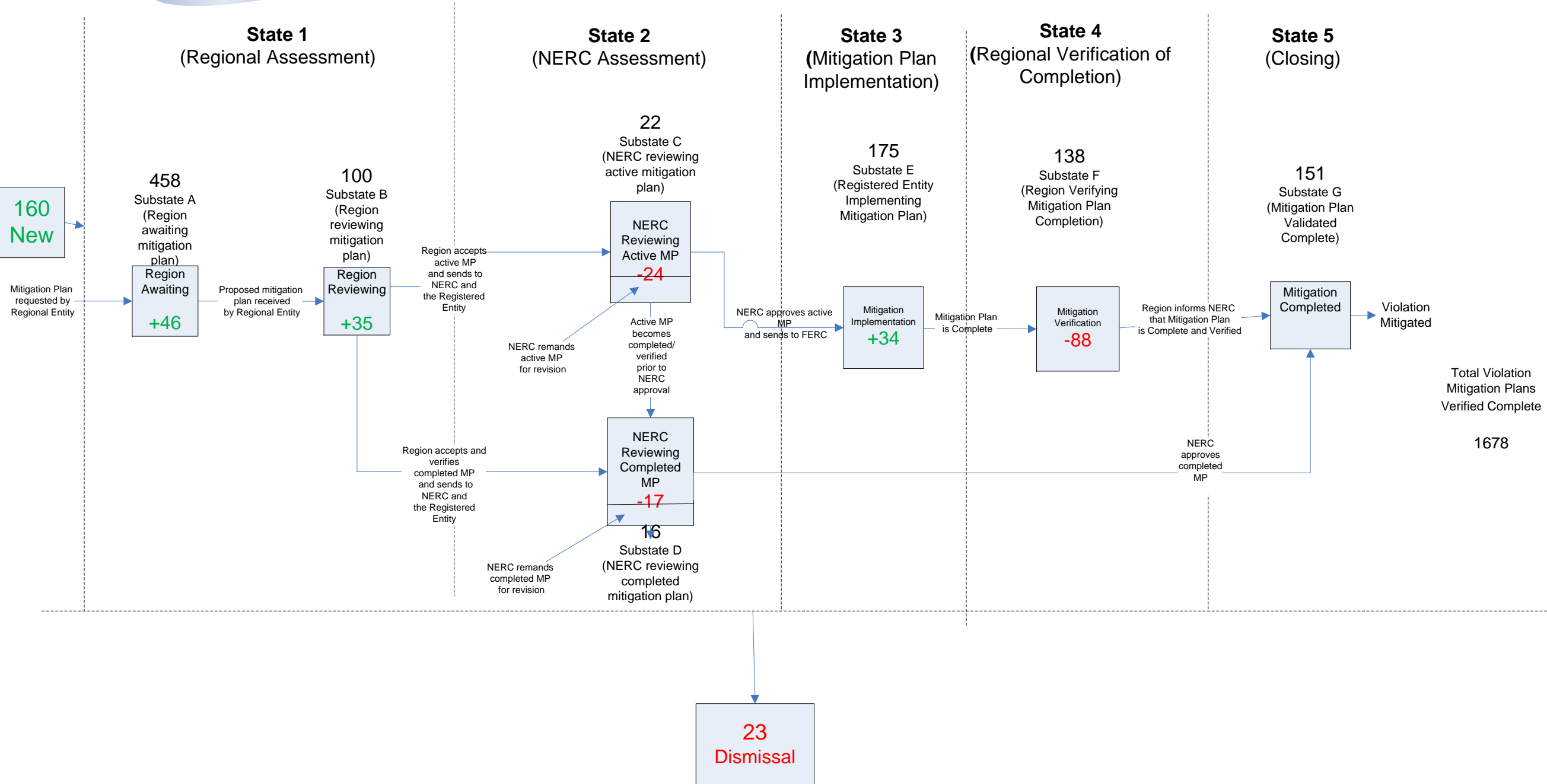


Excludes dismissed violations.

Report Date: 12/1/2009

Mitigation Process States and Underlying Process Substates

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



Mitigation Plans Process State Table — Active FERC Enforceable Alleged Violations

Below is a breakdown, as of November 30, 2009, of the Compliance Monitoring and Enforcement Program (CMEP) Mitigation Plan “state” summary for the 1060 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	61	19	0	3	2	11	32	6	134
MRO	32	0	0	0	1	6	1	3	43
NPCC	25	0	0	0	0	4	0	37	66
RFC	57	0	0	7	0	10	30	44	148
SERC	97	39	0	5	2	6	15	17	181
SPP	84	0	0	3	0	35	19	0	141
TRE	8	1	0	0	1	9	0	4	23
WECC	74	37	0	4	10	94	41	40	300
NERC	20	4	0	0	0	0	0	0	24
TOTAL	458	100	0	22	16	175	138	151	1060
State Totals	558		38			175	138	151	

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 11/30/2009.
- Mitigation information reported at the violation level.

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 November 30, 2009.

	2007 Unmitigated	
	Total Unmitigated	Under Verification
FRCC	0	0
MRO	0	0
NPCC	0	0
RFC	0	0
SERC	0	0
SPP	0	0
TRE	0	0
WECC	2	0
TOTAL	2	0

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.

Report Date: 12/2/2009

Progress with Pre-June 18th Violation Mitigation Plans

