

Key Compliance and Enforcement Metrics and Trends

Compliance Committee Open Session
May 6, 2014

RELIABILITY | ACCOUNTABILITY



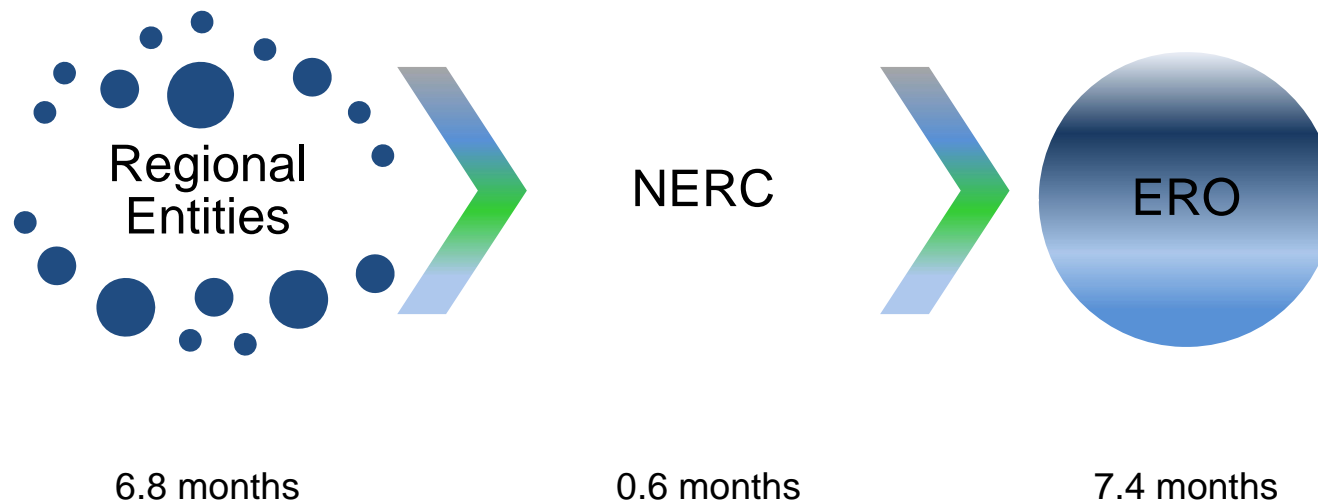
Enforcement

- Timeliness and transparency of compliance results (Caseload index and violation aging)
- Promotion of self-identification of noncompliance
- Timeliness of mitigation
- RAI enforcement reforms

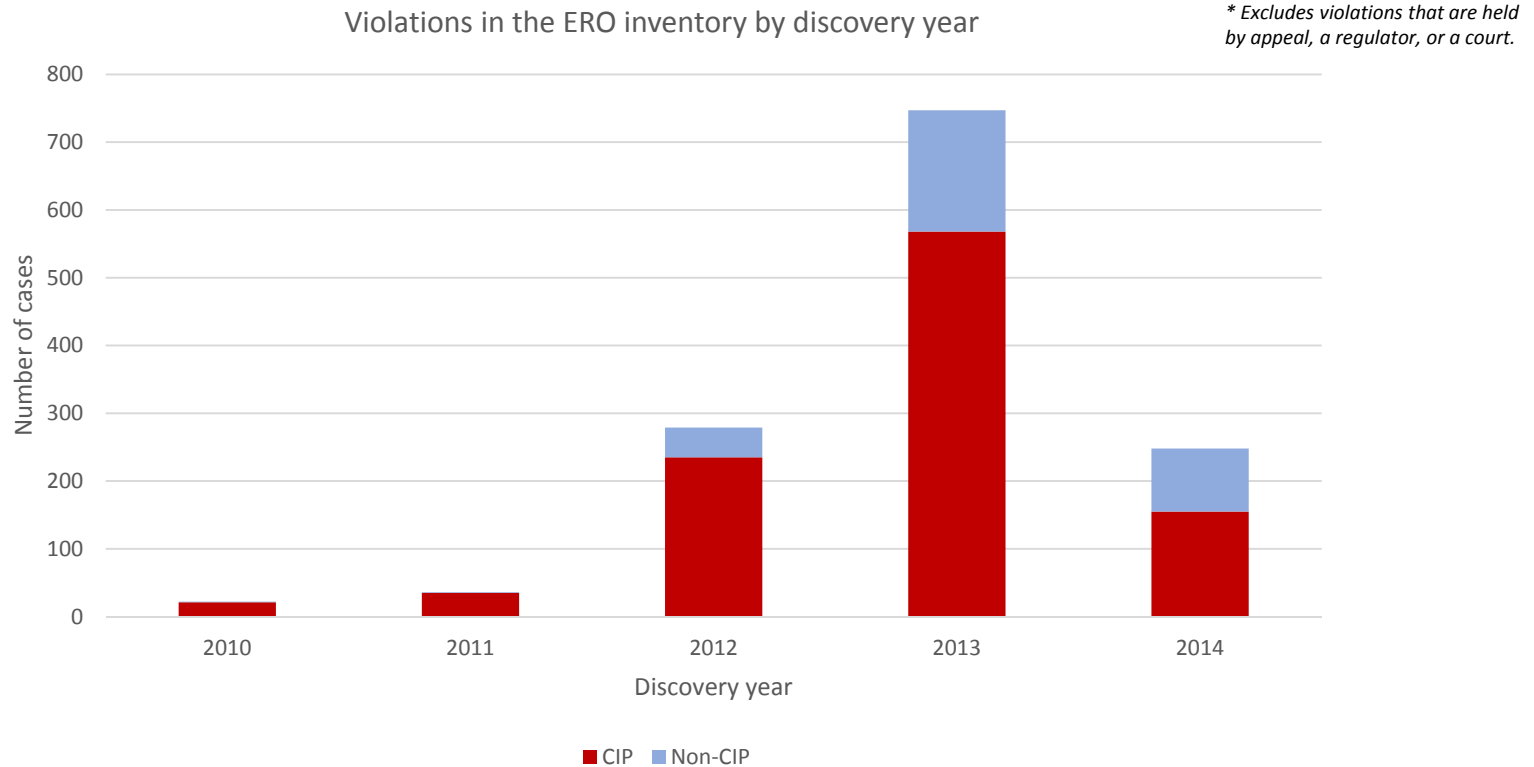
Compliance

- Implementation of risk-based registration
- RSAWs
- RAI compliance reforms

** Excludes violations that are held by appeal, a regulator, or a court.*

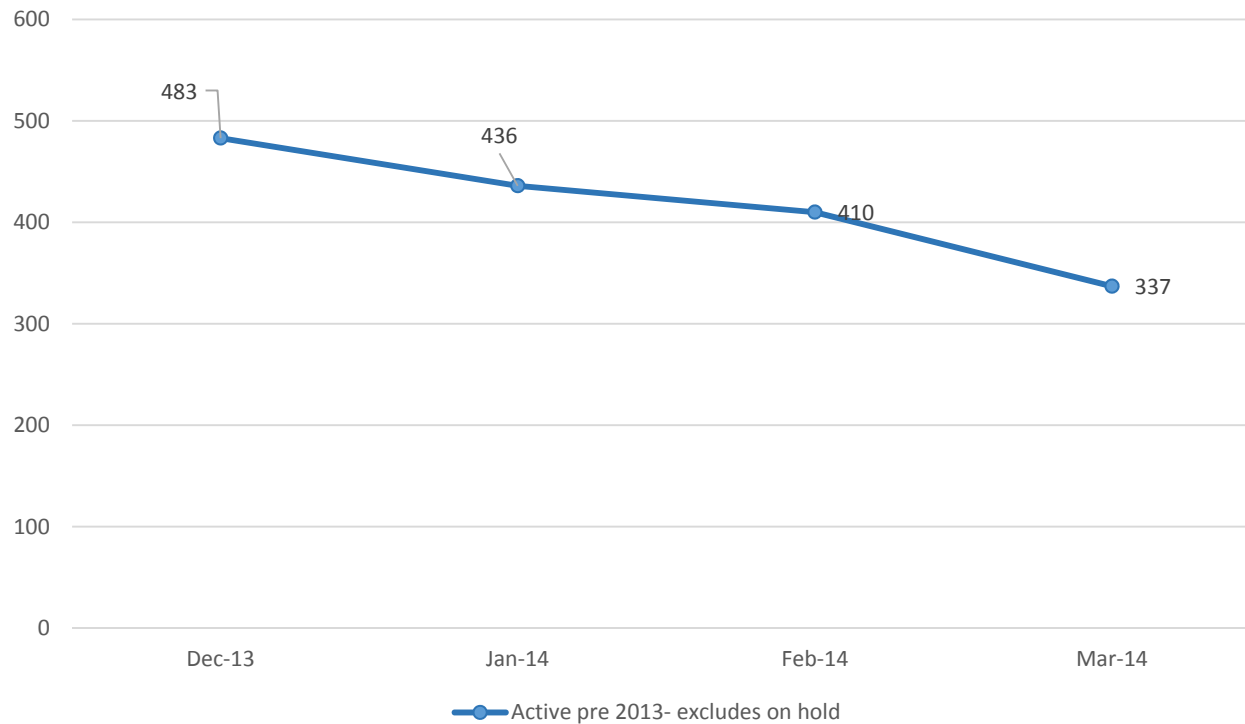


The ERO caseload index is about 7.4 months as of April 1, 2014. The caseload index for the majority of Regional Entities is below the ERO average.

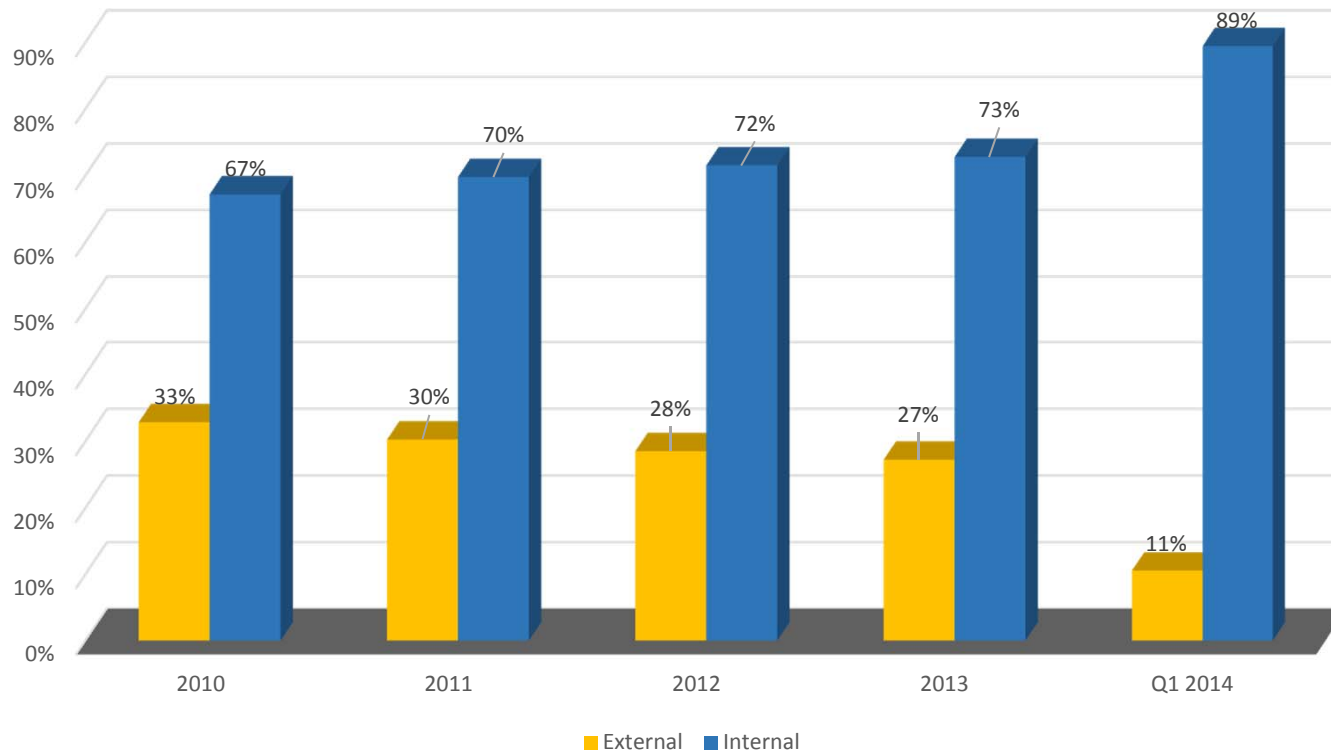


In 2014, NERC and Regional Entities will continue to focus on eliminating the older caseload, in particular that which was discovered prior to January 1, 2013.

Pre-2013 caseload reduction as of 4/1/2014
** Excludes violations that are held by appeal, a regulator, or a court*



Percent internal and external discovery



Internal discovery = self-report and self-certification

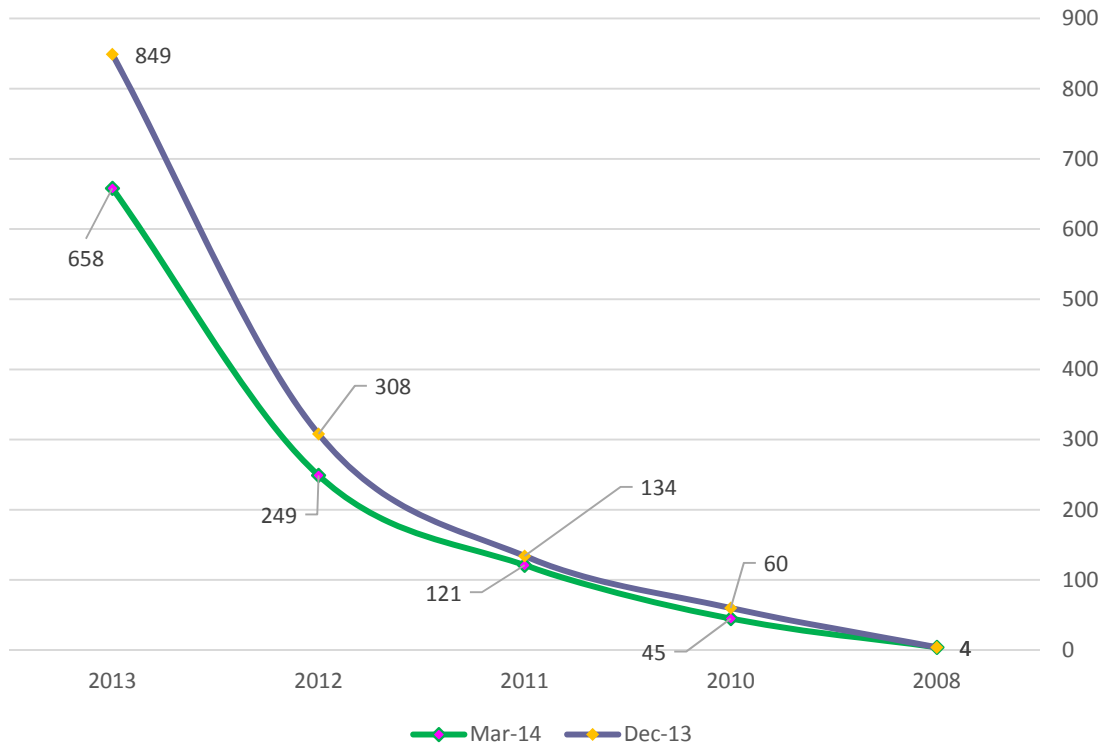
External discovery = all other discovery mechanisms

The first quarter of 2014 shows a marked increase in the percentage of self-identified items.

Mitigation Completion Progress

As of April 1, 2014

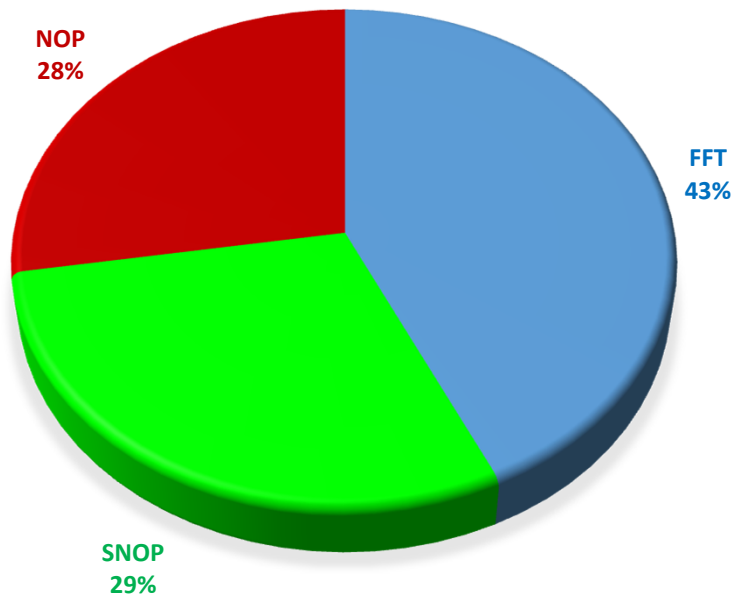
* Includes cases which are on hold



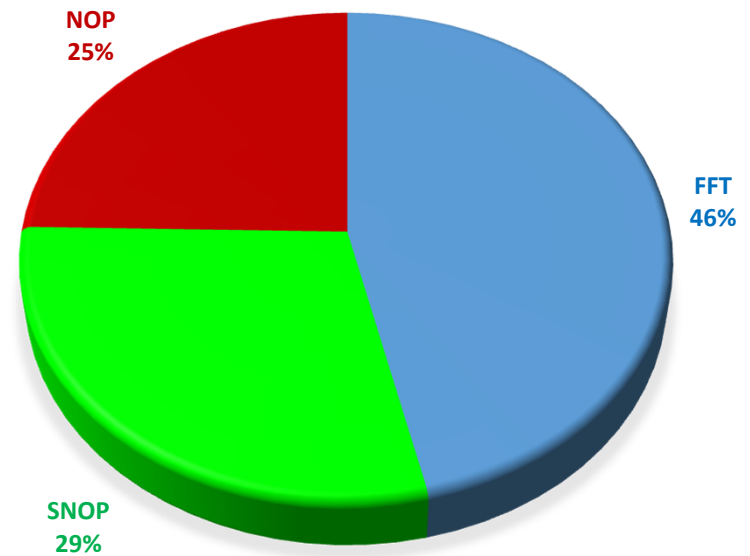
Discovery year	Progress as of 4/1/2014	Threshold	Target
2010 and older	99%	98%	100%
2011	93%	95%	98%
2012	83%	90%	95%
2013	49%	75%	80%

NERC and Regional Entities continue to monitor mitigation completion for all noncompliance. Additional progress has been made in the first quarter of 2014.

From 1/1/2013 to 4/1/2014

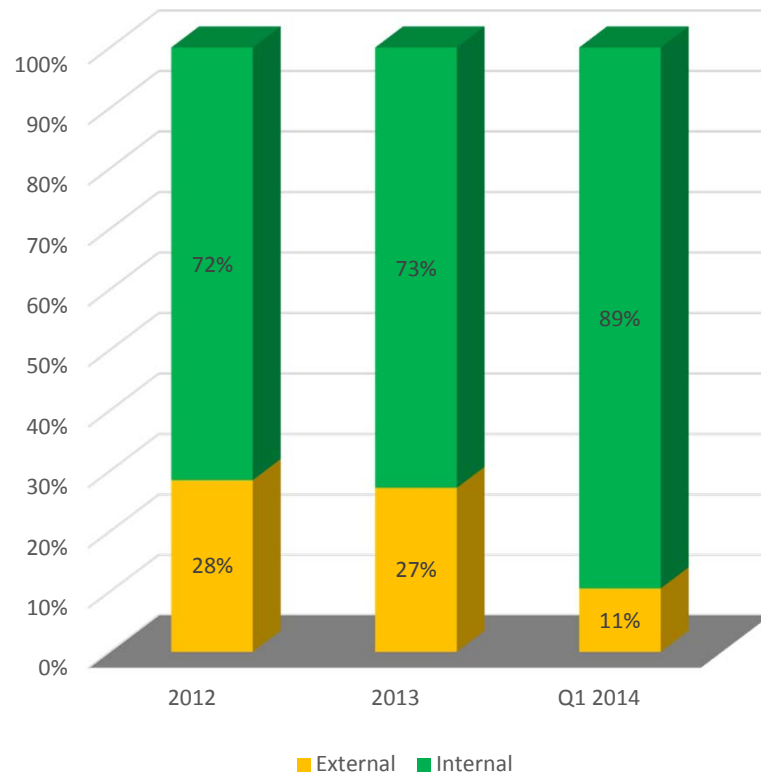


Q1 2014

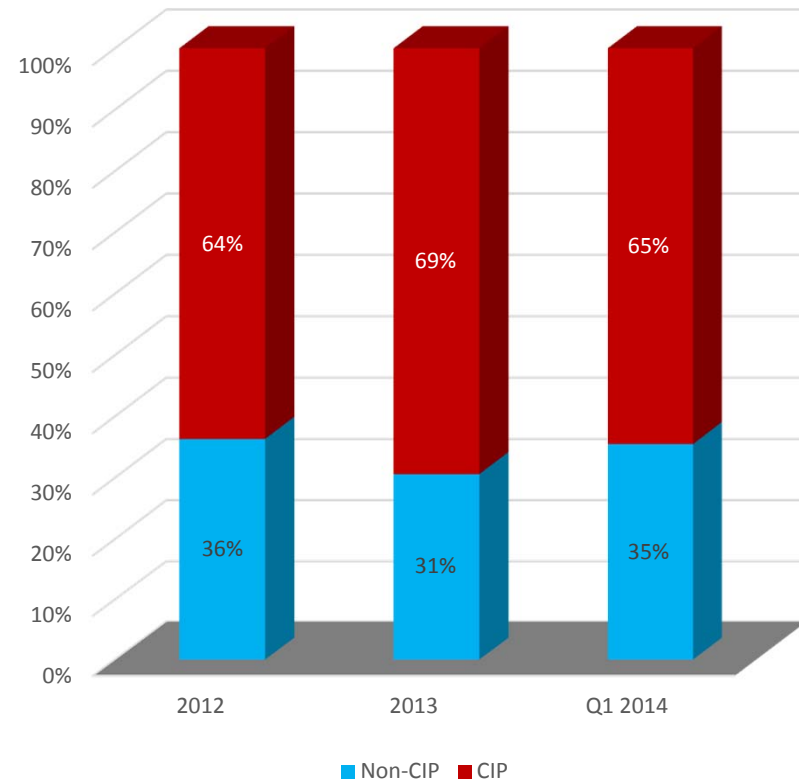


FFT utilization remains strong.

Percent internal and external findings

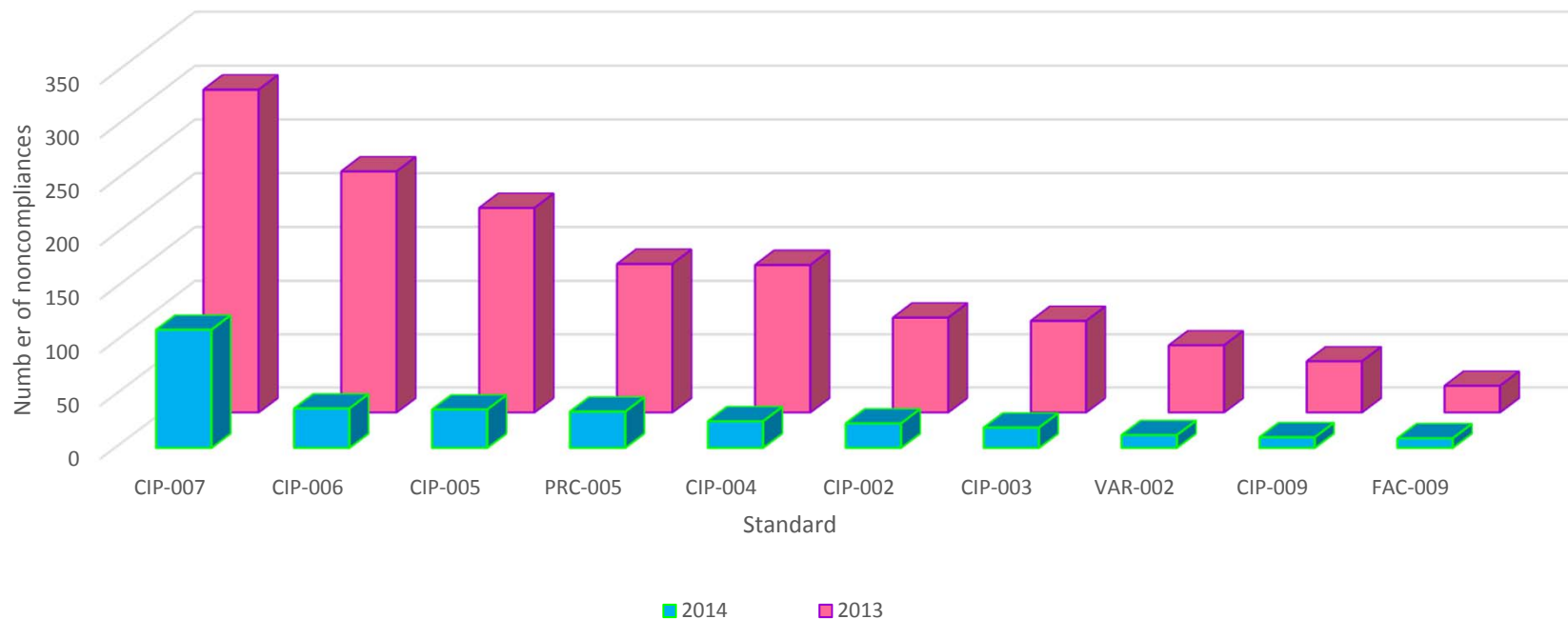


Percent CIP and non-CIP findings



Internal/external discovery and CIP/non-CIP noncompliance trends in Q1 2014 closely follow trends in the past two years.

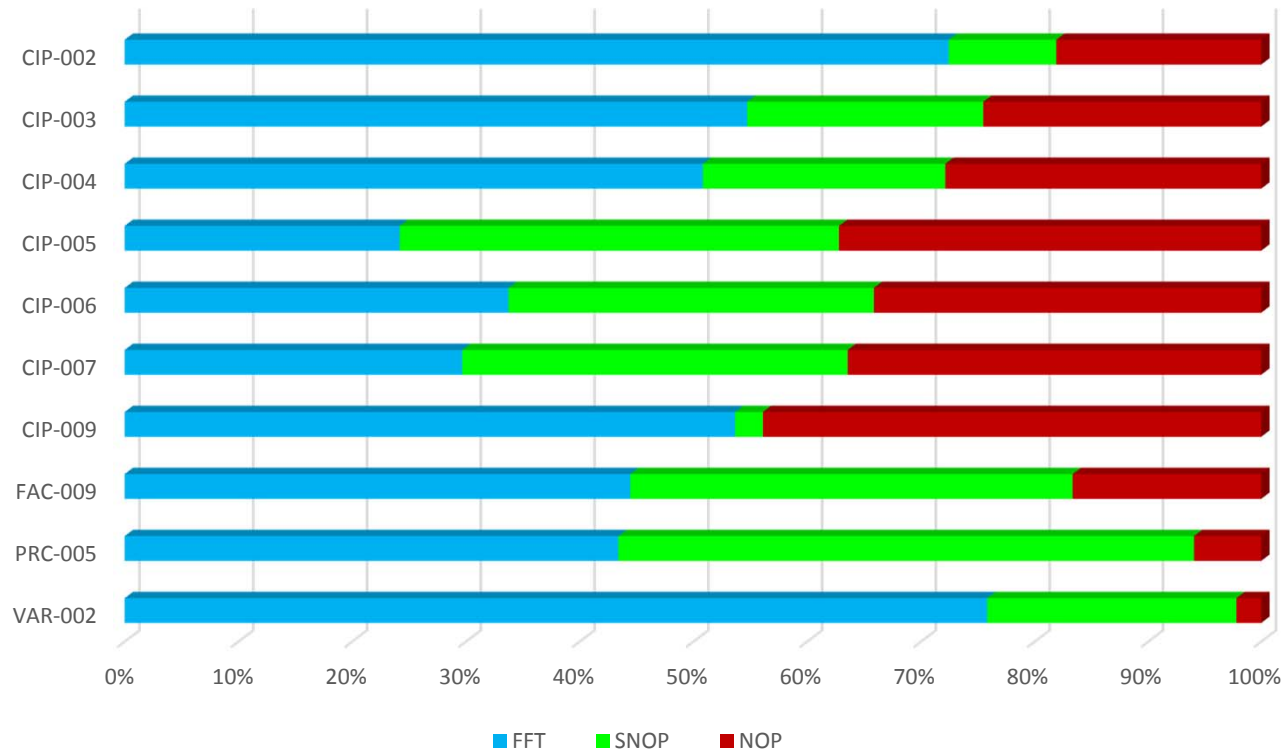
Top 10 violated standards



The trend for Q1 2014 of the top 10 violated standards is the same as in 2013.

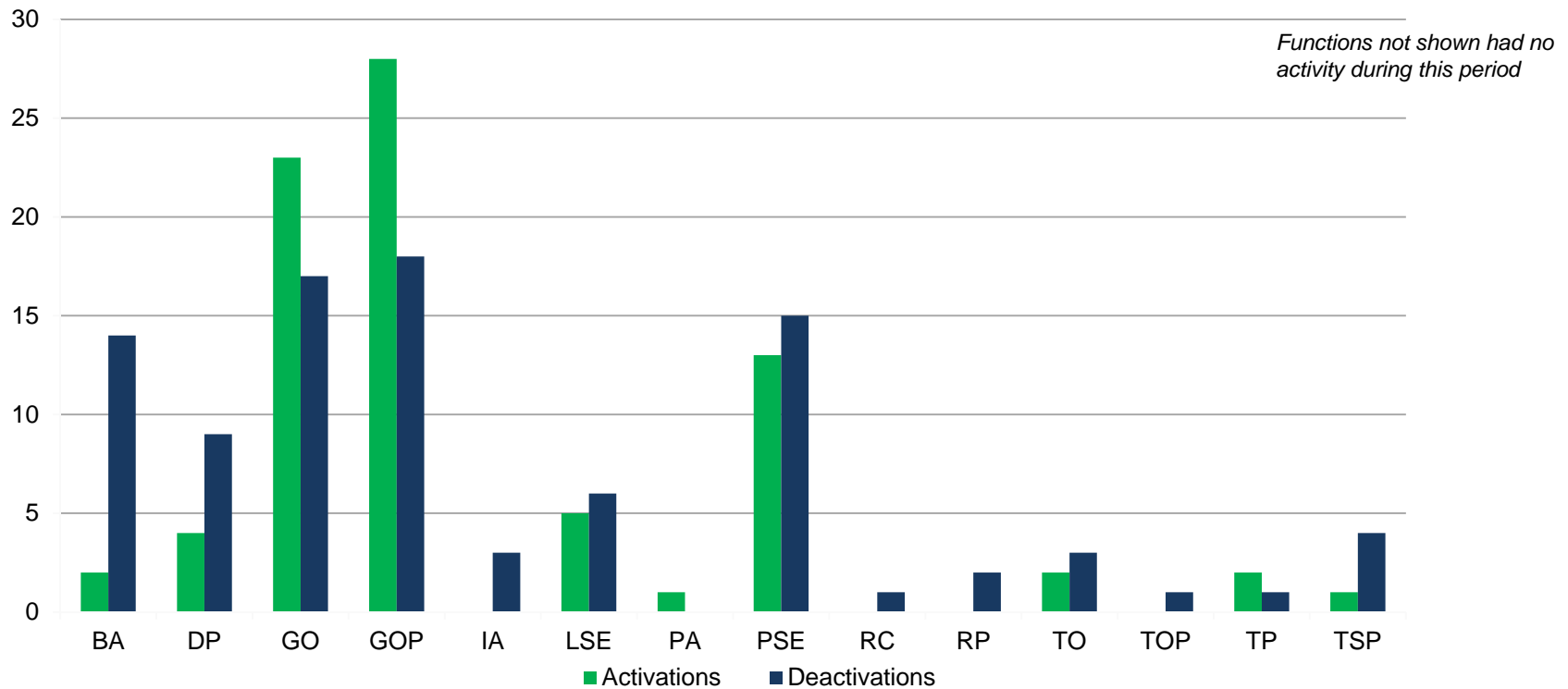
Top 10 Violated Standards by Filing Disposition

Top 10 violated standards by filing disposition
Filings from January 2013 to March 2014



CIP Reliability Standards are most frequently violated; however, the majority are filed or posted as FFTs or SNOPs.

Registration Activity for Q1 2014



Registered Functions															
	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
Beginning Qtr. Total	124	536	905	859	50	513	81	688	22	183	19	343	189	188	94
Ending Qtr. Total	112	531	911	869	47	512	82	686	21	181	19	342	188	189	91



Questions and Answers