

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Key Compliance Trends

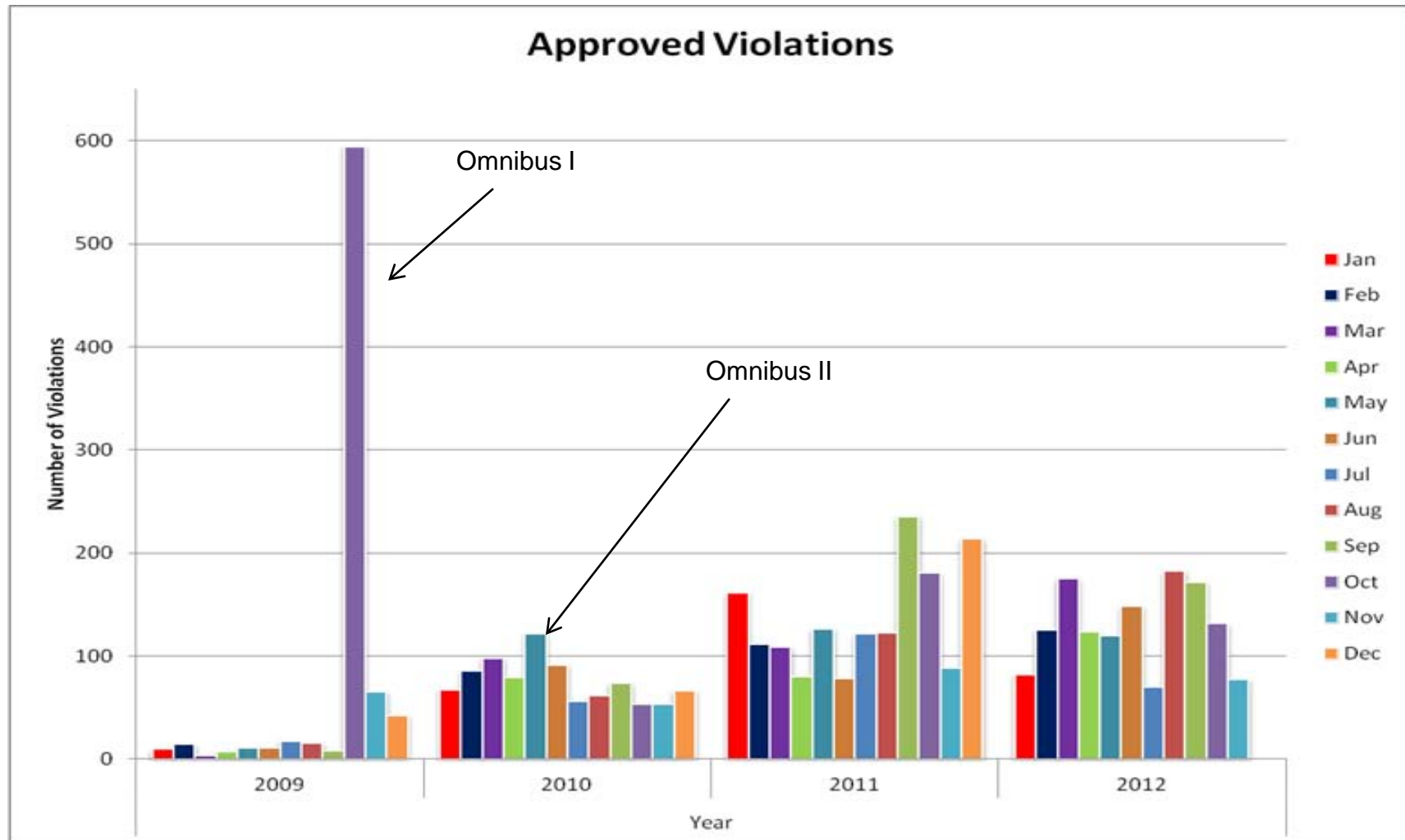
Item 3.a

December 10, 2012

RELIABILITY | ACCOUNTABILITY

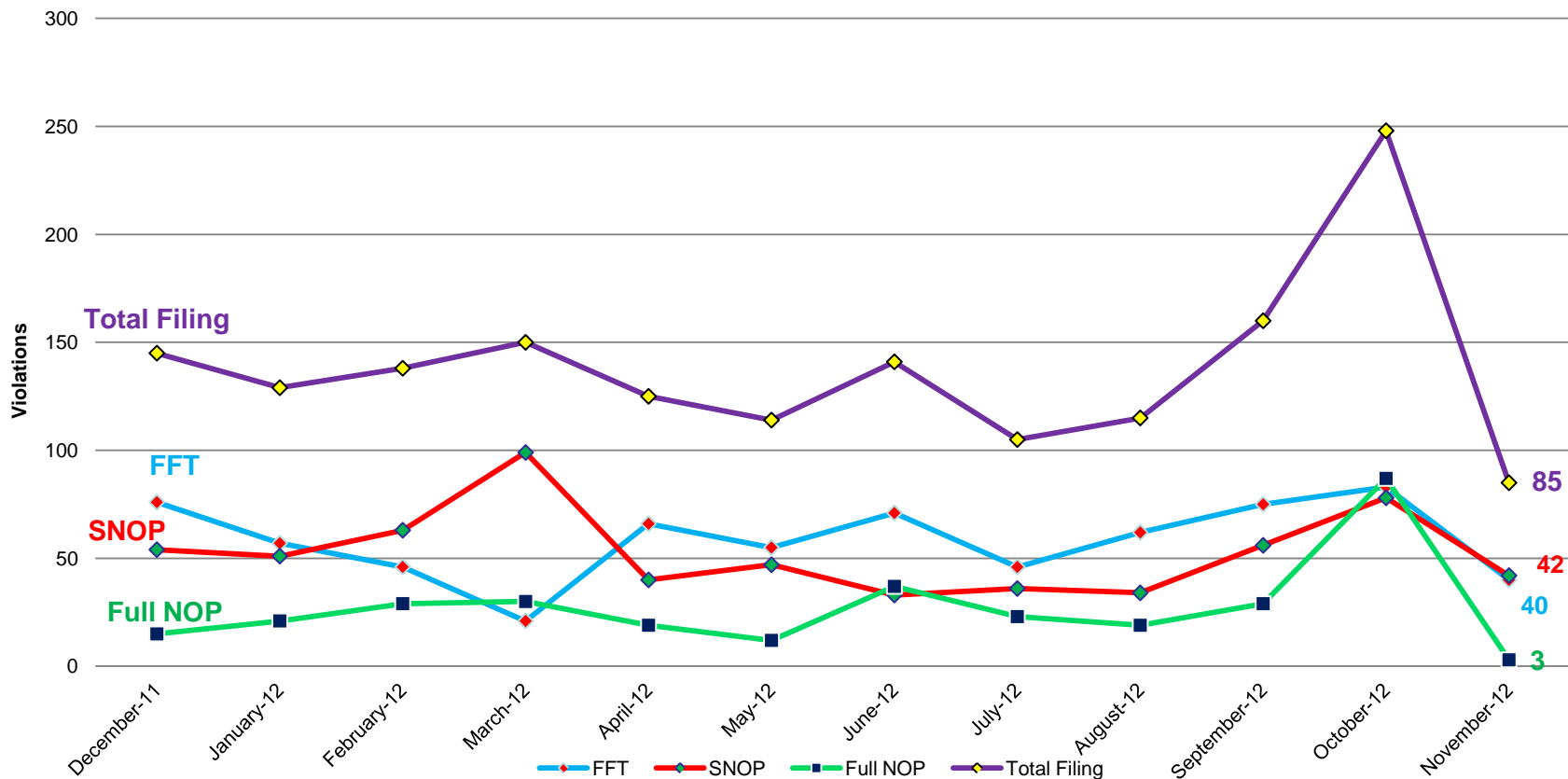


- 138 new violations received in November
- 163 new violations were received in October
 - No Canadian violations were received in November or October 2012
- 85 items filed with FERC in November
 - 40 FFT remediated issues
 - 45 NOPs (42 via spreadsheet NOPs and 3 via full NOPs)
- 248 items filed with FERC in October
 - 83 FFT, 78 SNOP, 87 Full NOP
- Six months violation receipt average
 - November: 174 violations per month
 - October: 183 violations per month

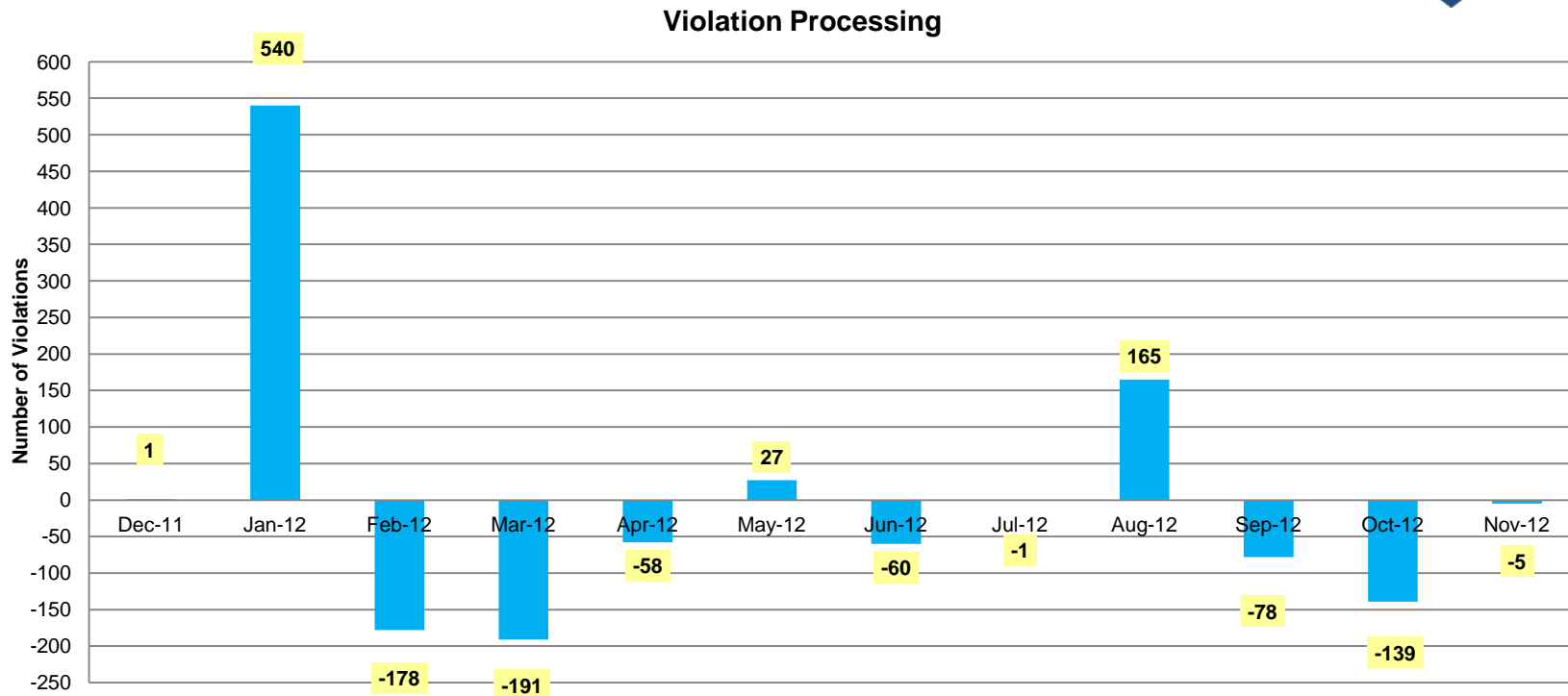


Includes FFTs and NOPs

FFT, SNOP and NOP Filings
From December 2011 Through November 30, 2012



Violation Processing Within 12 Months



	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	For the Year 2012	End of year 2011
New	203	693	229	168	106	194	149	122	332	138	163	138	2432	2944
Dismissed	57	24	269	209	39	53	68	18	52	56	54	58	900	962
Filed	145	129	138	150	125	114	141	105	115	160	248	85	1510	1695
Total Dismissed and Filed	202	153	407	359	164	167	209	123	167	216	302	143	2410	2657
Violation Processing	1	540	-178	-191	-58	27	-60	-1	165	-78	-139	-5	22	287

- NERC Caseload Index--Total number of Active Violations divided by the sum of the 6-month average of number of violations filed with FERC plus the 6-month average number of dismissals
- Regional Caseload Index-- Total number of Active Violations divided by the sum of the 6-month average of number of violations filed with NERC plus the 6-month average number of dismissals
- Active violations include all violations as of November 30, 2012 that are not closed or dismissed. This includes violations that are being processed by NERC or have been sent to FERC and are awaiting closing actions

ERO Caseload Index – As of November 30, 2012 (Months)				
	Active Violations	Violations Filed with FERC (June 1, 2012 to November 30, 2012)	Total # of dismissals (June 1, 2012 to November 30, 2012)	Caseload Index (Months)
ERO	3621	883	301	18.7*

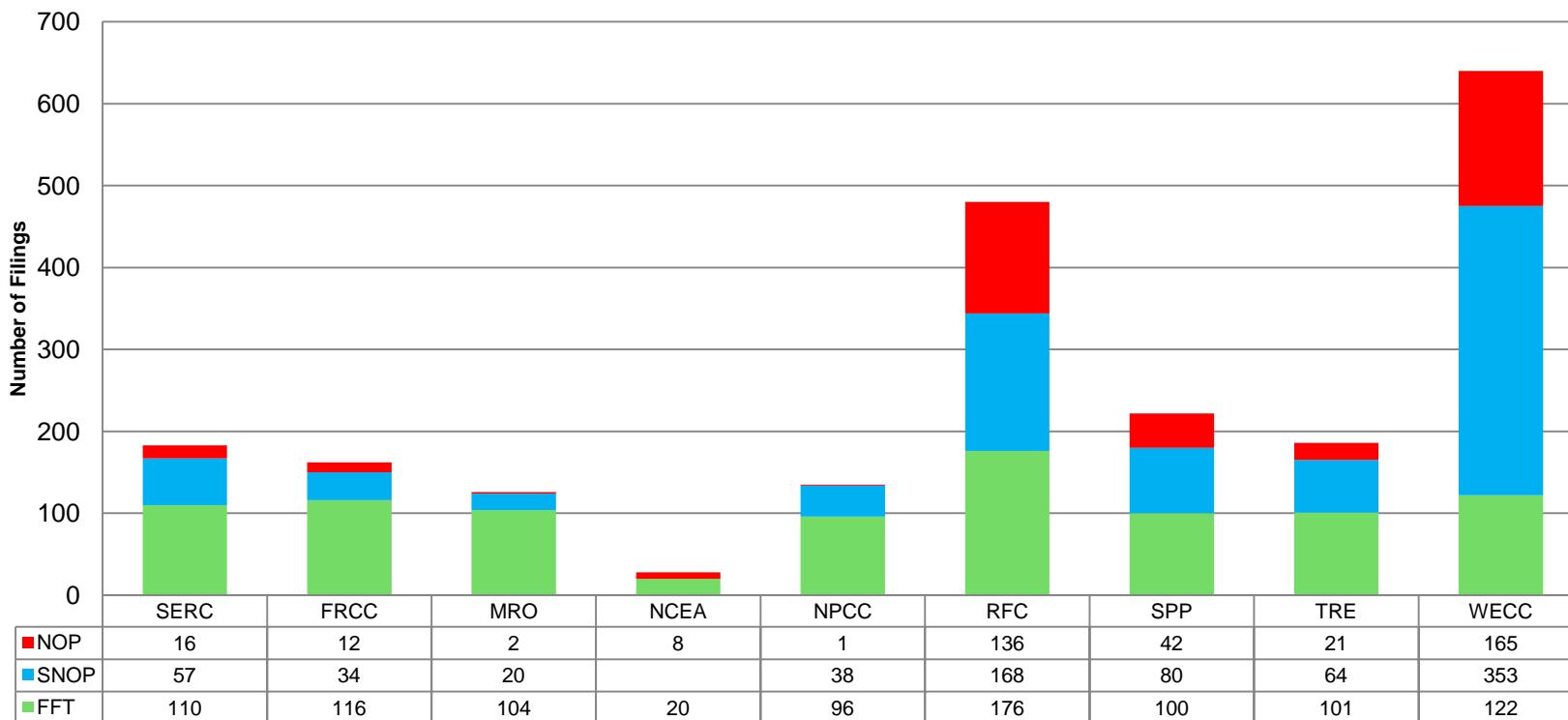
•When violations already filed with FERC are excluded, the number of active violations equals 2915 and the caseload index is 15.1.

Regional Caseload Index –as of November 30, 2012 (months)				
	Active Violations	Violations Filed with NERC (June 1, 2012 to November 30, 2012)	Total # of Dismissals (June 1, 2012 to November 30, 2012)	Caseload Index (Months)
FRCC	81	36	6	11.6
MRO	195	107	19	9.3
NPCC	220	77	25	12.9
RFC	702*	155	20	24.1
SERC	533	151	36	17.1
SPP RE	270*	136	22	10.3
TRE	307	80	53	13.9
WECC	564*	217	90	11.0

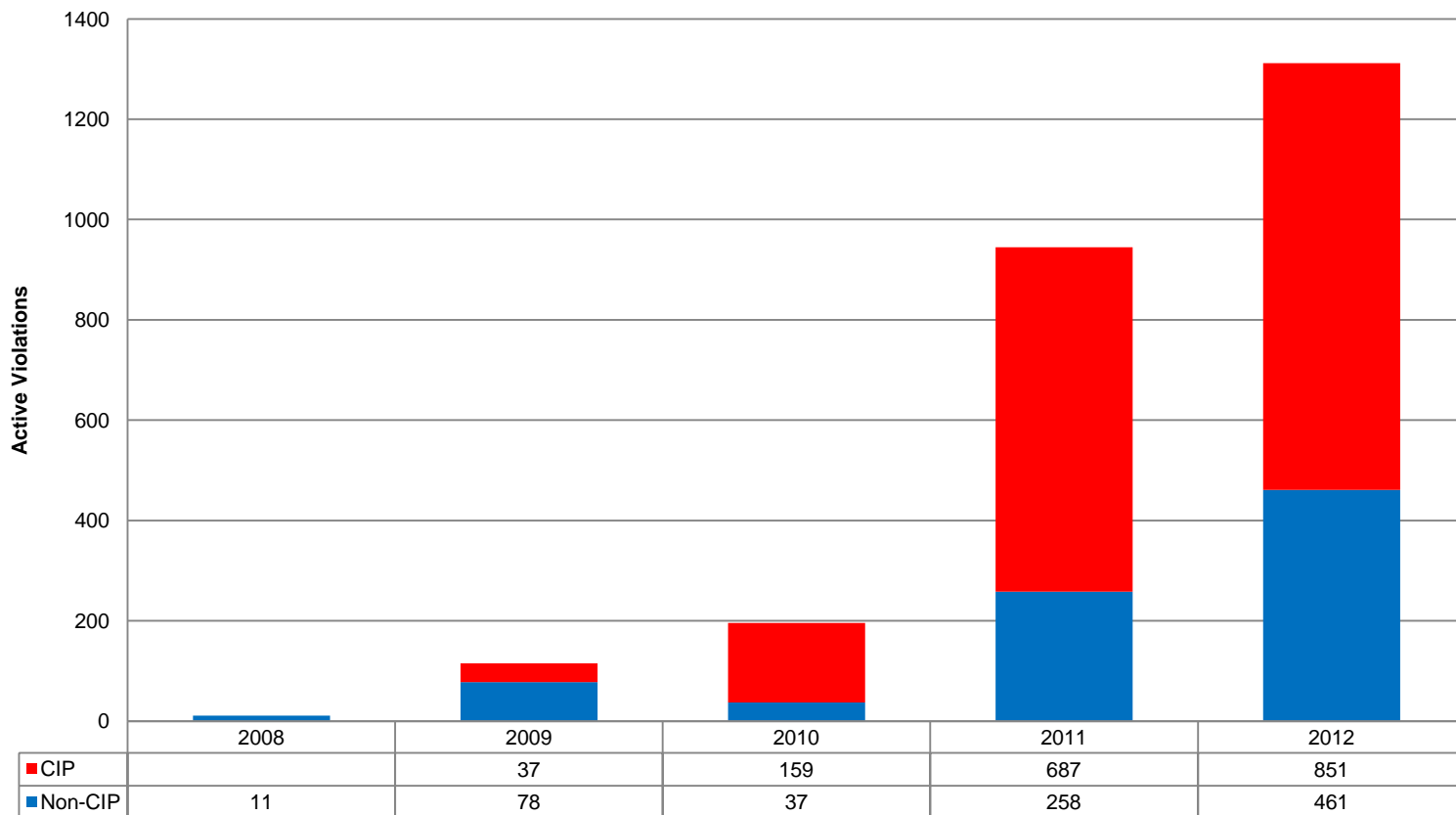
* Excludes "On-hold" violations.

RFC= 60, SPP-RE= 48, WECC= 249

**FFTs, SNOPs and Full NOPs Filed
From September 2011 through November 30, 2012**

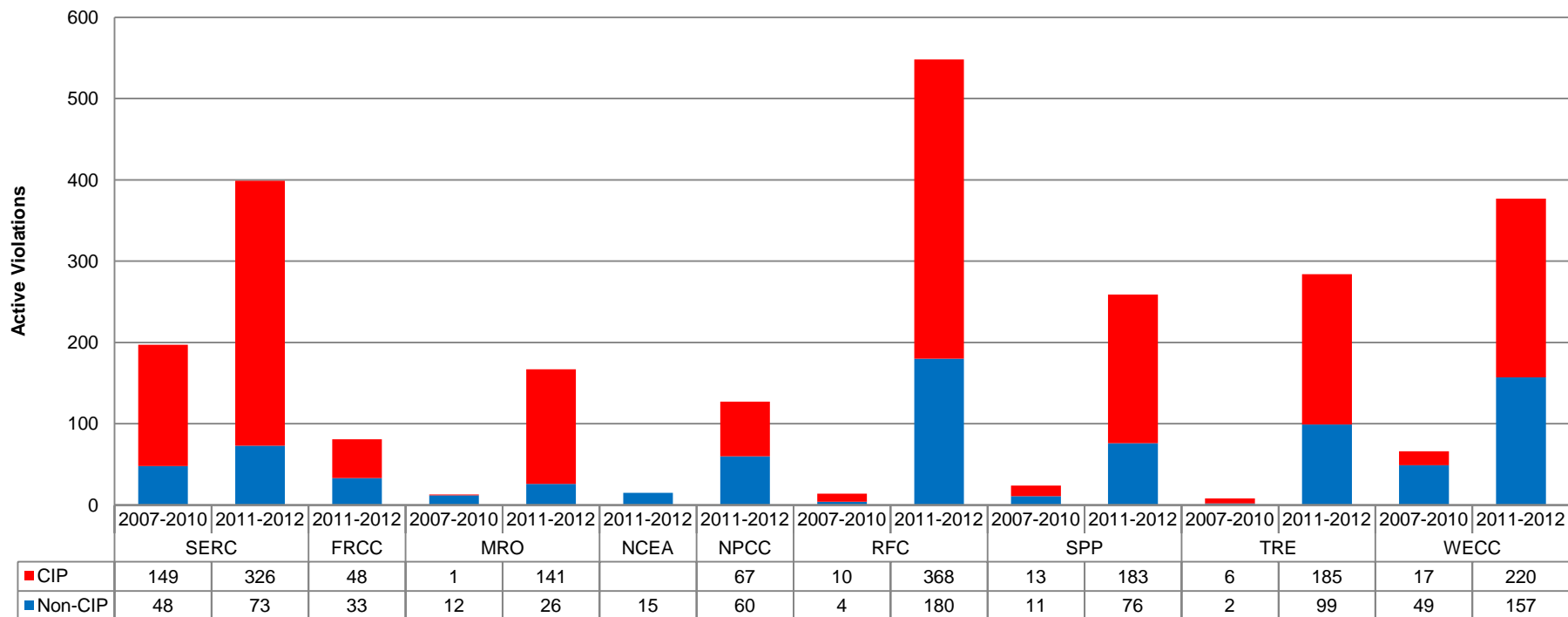


ERO Inventory CIP and Non-CIP Violations
Based on Discovery Dates from June 2007 to November 30, 2012
Reflects Violations for Federal Entities Being Processed
Excludes Canadian Violations



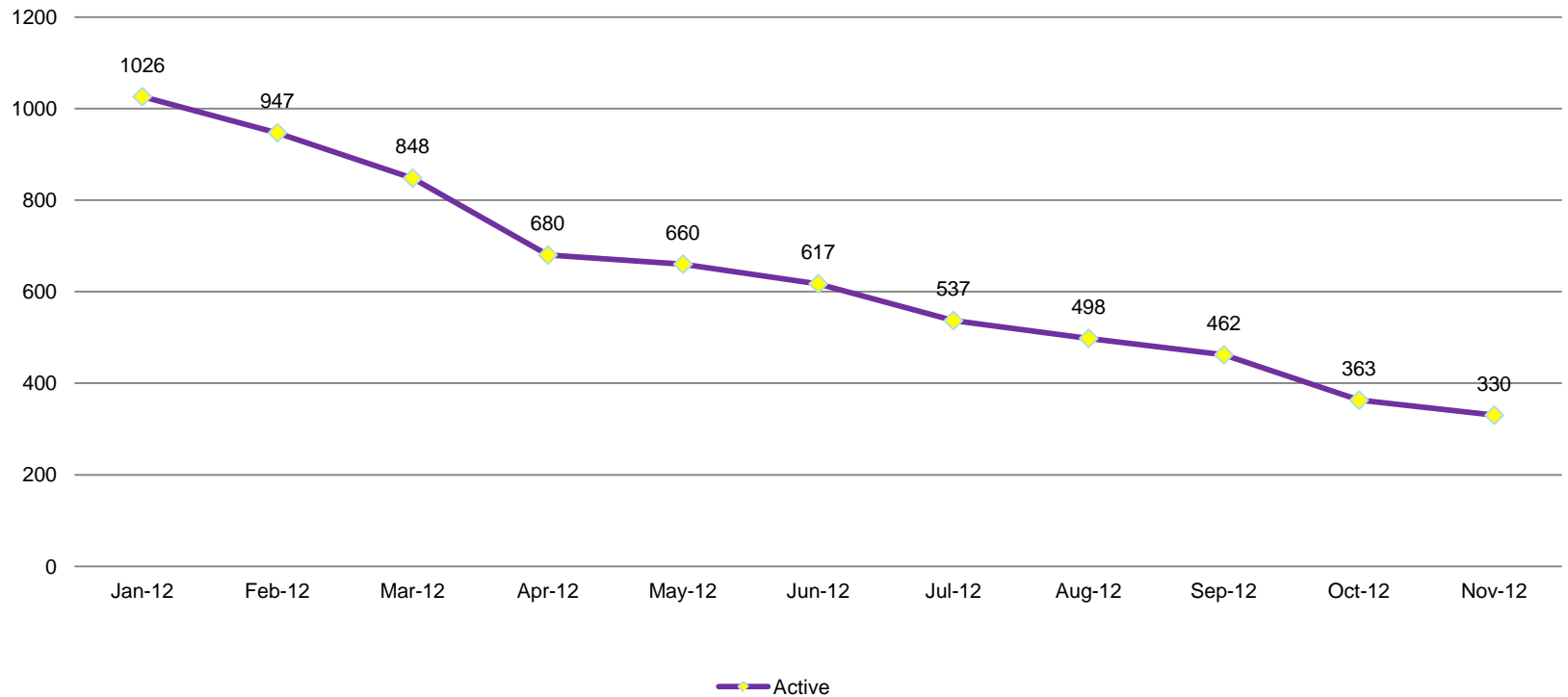
ERO Inventory Regional Breakdown CIP and Non-CIP Violations

ERO Inventory Regional Breakdown CIP and Non-CIP Violations
Based on Discovery Dates from June 2007 to November 30, 2012
Reflects Violations for Federal Entities Being Processed
Excludes Canadian Violations



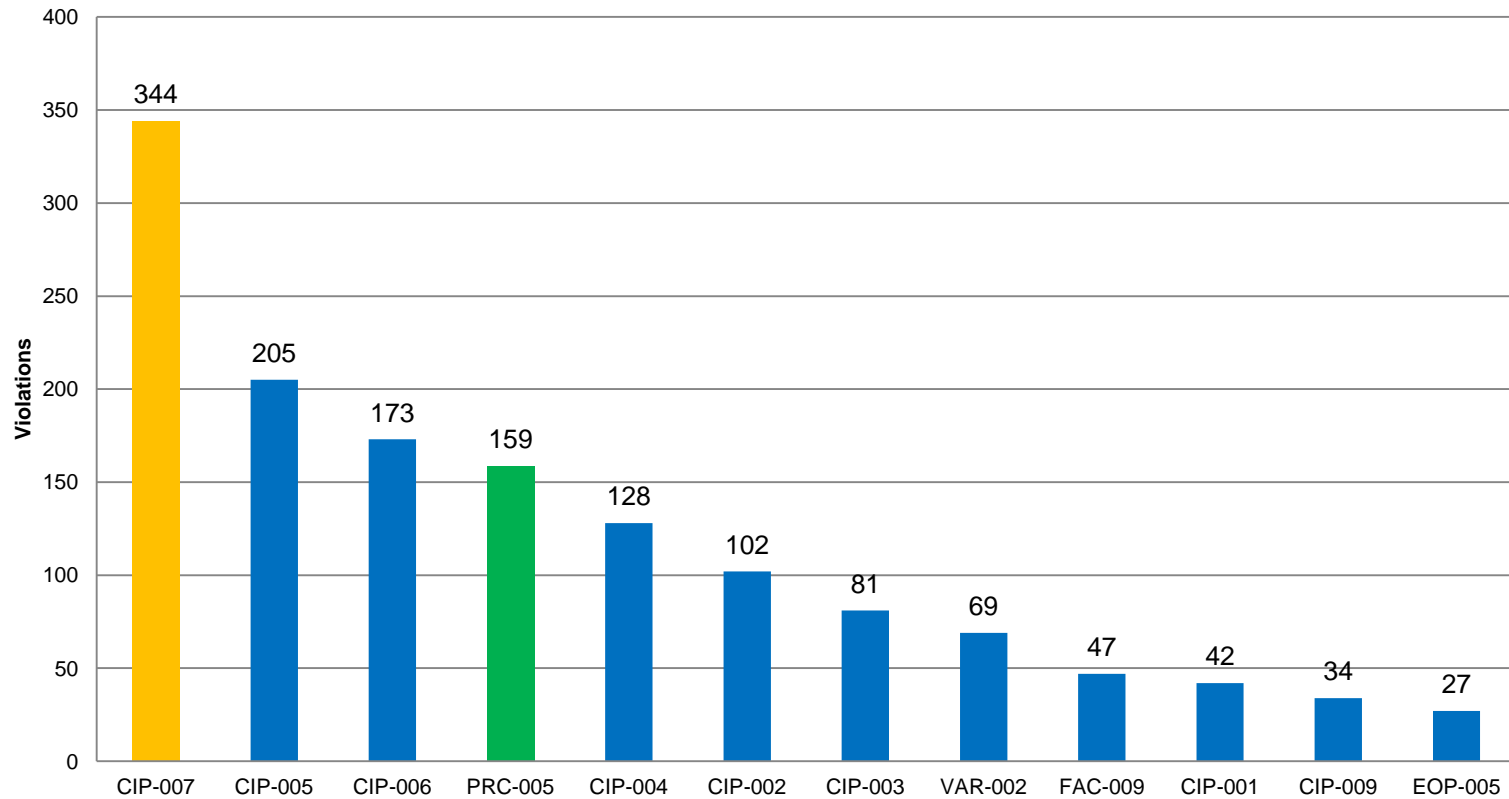
Active Pre-2011 Caseload Available for Processing

**Active Pre-2011 Caseload
Available for Processing**



Top 12 Enforceable Standards

**Top 12 Enforceable Standards Violated
(Active and Closed)
From December 1, 2011 through November 30, 2012**



Top 20 Enforceable Standards

**Top 20 Enforceable Standards Violated
(Active and Closed)
From 2007 through November 30, 2012**

