POST-JUNE 18th VIOLATIONS

Discovery Method

	October 15, 2009	Change from July 17, 2009
Self Certification	44	+2
Self Report	52	+19
Audit/Spot Check	43	+27
Investigation	4	+0
Periodic Data Submittal	1	+0
Total	144	+48

As of October 15, 2009

Respectfully submitted:

Ronald W. Ciesiel
Executive Director of Compliance
Southwest Power Pool Regional Entity
October 15, 2009

MOST VIOLATED STANDARDS TO-DATE IN SPP RE [UNIVERSE OF 144 VIOLATIONS]

Standard	Description		# / %	Ranking in NERC Top 10	Violation Risk Factor
PRC-005 *	Protection System Maintenance & Testing		32 [+7] / 22%	1	High
FAC-008 *	Facility Rating Methodology		14 [+4] / 10%	4 ↑	Medium
FAC-009 *	Establish & Communicate Facility Ratings	↑	13 [+5] / 9%	9 ↓	Medium
CIP-001 *	Sabotage Reporting	↑	11 [+4] / 8%	2	Medium
CIP-004 *	Personnel & Training	↑	9 [+4] / 6%	3	Lower
PRC-004	Protection System Misoperations Analysis		8 [+0] / 6%	NR	High/Lower
FAC-001*	Facilities Connection Requirements	↑	8 [+5] / 6%	10	Medium
FAC-003	Vegetation Management Program	↑	6 [+3] / 4%	NR	High
VAR-002 *	Generator Operation / System Voltage Support	↓	5 [+0] / 3%	6 ↓	Medium/Lower
PRC-008	UFLS Relay Maintenance		5 [+2] / 3%	NR	Medium

Dropped off of SPP RE list: EOP-001 and PRC-001
Other NERC Top 10 Violations: #5 TOP-002; #7 EOP-005; #8 EOP-001

* In NERC Top 10 Violations for 12 months ending October 1, 2009
As of October 15, 2009

R. W. Ciesiel

Post-June 18th 2007 Violation Status

Total Enforceable Violations Reported as of October 15, 2009: 144 Violations

Status	October 15, 2009	Change from July 17 2009
Preliminary Review Status	0 Violations	+0
Initial Notification Status	44 Violations	+18
Dismissed Violation	2 Violation	+1
Alleged Violation and Penalty Notice Issued	0 Violations	+0
Violation or Penalty Contested	4 Violations	+4
Violation and Penalty in Settlement	45 Violations	+25
Violation and Penalty Accepted [under RE review]	3 Violations	+0
Confirmed Violation	28 Violations	-11
Posted by NERC	11 Violations	+9
Approved by FERC	7 Violations	+2
Total to-date	144 Violations	+48

Respectfully submitted by:

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Southwest Power Pool Regional Entity
October15, 2009