Post-June 18th 2007 Violation Status

Total Enforceable Violations Reported as of January 15, 2010: 199 Violations

Status	January 15, 2010	Change from October 15, 2009
Preliminary Review Status	3 Violations	+3
Initial Notification Status	86 Violations	+42
Dismissed Violation	6 Violations	+4
Alleged Violation and Penalty Notice Issued	2 Violations	+2
Violation or Penalty Contested	4 Violations	+0
Violation and Penalty in Settlement	49 Violations	+4
Violation and Penalty Accepted [under RE review]	3 Violations	+0
Confirmed Violation	14 Violations	-14
Approved or Posted by NERC	14 Violations	+3
Approved by FERC	18 Violations	+11
Total to-date	199 Violations	+55

Respectfully submitted by:

Ronald W. Ciesiel
Executive Director of Compliance
Southwest Power Pool Regional Entity
January 15, 2010

MOST VIOLATED STANDARDS IN SPP RE [ROLLING 12 MONTH AVERAGE 1-15-10] [UNIVERSE OF 128 VIOLATIONS]

Standard	Description		#	Ranking in NERC Top 10	Violation Risk Factor
PRC-005 *	Protection System Maintenance & Testing		18	1	High
CIP-004 *	Personnel & Training	↑	17	2 ↑	Lower
FAC-008 *	Facility Rating Methodology		9	5 ↓	Medium
FAC-009	Establish & Communicate Facility Ratings		9	NR ↓	Medium
FAC-001	Facilities Connection Requirements	↑	8	NR ↓	Medium
CIP-003	Security Management Controls	↑	8	NR	Lower/Medium
CIP-007*	Systems Security Management	↑	7	7 ↑	Medium/Lower
PRC-008	UFLS Relay Maintenance	↑	6	NR	Medium
CIP-001 *	Sabotage Reporting	↓	6	3 ↓	Medium
CIP-006	Physical Security	↑	5	NR	Medium/Lower
CIP-008	Incident Reporting and Response	↑	5	NR	Lower

Dropped off of SPP RE list: PRC-004;FAC-003;VAR-002

Other NERC Top 10 Violations: #4 EOP-005; #6 TOP-002; #8 PER-002;#9VAR-002;#10 EOP-001

* In NERC Top 10 Violations for 12 months ending December 31, 2009
As of January 15, 2010

R. W. Ciesiel

POST-JUNE 18th VIOLATIONS

Discovery Method

	January 15, 2010	Change from October15, 2009
Self Certification	44	+0
Self Report	69	+17
Audit/Spot Check	84	+41
Investigation	1	-3
Periodic Data Submittal	1	+0
Total	199	+55

As of January 15, 2010

Respectfully submitted:

Ronald W. Ciesiel
Executive Director of Compliance
Southwest Power Pool Regional Entity
January 15, 2010