2009 In Review

Compliance Monitoring

- 13 on-site, 19 off-site audits and 7 on-site CIP spot checks
  - 2009 average issue time for audit report 88 days (compared to 152 in 2008)
- 85 Mandatory Spot Checks
  - 2009 average issue time for report 74 days
- 82 CIP Spot Checks
  - 2009 average issue time for report 66 days
- 4 event analyses completed

- Formed CIP team, CIP-002-1 R1 Outreach for Table 3 entities, implemented TFE process
- Processed 25 functional registration changes
- One of first two REs to achieve 100% synchronization of registration data with new NERC data system

2009 In Review

Enforcement

- **Accomplishments**
  1. **Processed 128 incoming violations**
  2. **Accepted 36 mitigation plans**
  3. **Verified completion of 27 mitigation plans**
  4. **Completed 17 violations (Settlements/NOCV/Dismissal)**
- **Organization**
  - **Prior to May 1, SPP RE Enforcement was one person**
  - **By year end, reorganized with Manager of Enforcement, RE Counsel, Compliance Specialist, Paralegal and 2 part-time law clerks (3 new positions are budgeted for 2010)**

2009 In Review

Relationship Growth & Outreach

- **Spring 2009 Compliance Workshop, 1 CIP Workshop and 2 TFE webinars**
- **Began quarterly newsletter, issued 2 editions**
- **Cancelled Fall 2009 Compliance Workshop due to resource constraints**
- **RE General Manager selected by regions to head up regional effort to renegotiate delegation agreements**
- **RE Director CIP vice-chair of Regional CIP Compliance Working Group.**
- **Favorable stakeholder survey results**

2009 In Review

Organization and Administrative

- **Hired General Manager and 4 additional RE Staff**
- **Reorganized to create 3 groups - Compliance Monitoring, Enforcement and Finance & Process Improvement**
- **Developed SPP RE written policies & procedures**
- **Completed 19 of 20 recommendations from FERC audit**
- **Instituted encryption and case management software**
- **Reviewed SPP indirect cost rate and revised downward by $1 million in 2009**
- **Increased communication to Trustees**

2010 Goals

- **Regional delegation agreement renegotiation – achieve more regional entity discretion for minor violations, more efficient processes and more transparency for Registered Entities**
- **Increase outreach to Registered Entities**
- **NERC audit**
- **Complete FERC audit recommendations**
- **Achieve full 2010 staffing**
- **Complete NERC & SPP RE Data Management System interface**
- **Deploy regional standards voting software**
- **Achieve specific performance metrics**