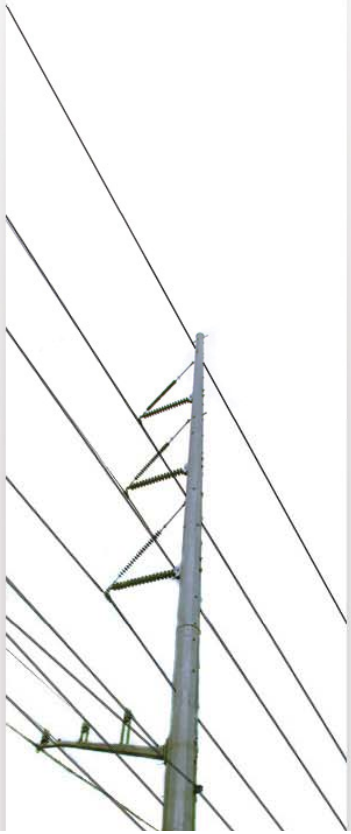
SPP Southwest Power Pool Regional Entity



Helping our members work together

to keep the lights on...

today & in the future

SPP Southwest Power Pool Regional Entity

Enforcement Update
January 24, 2011

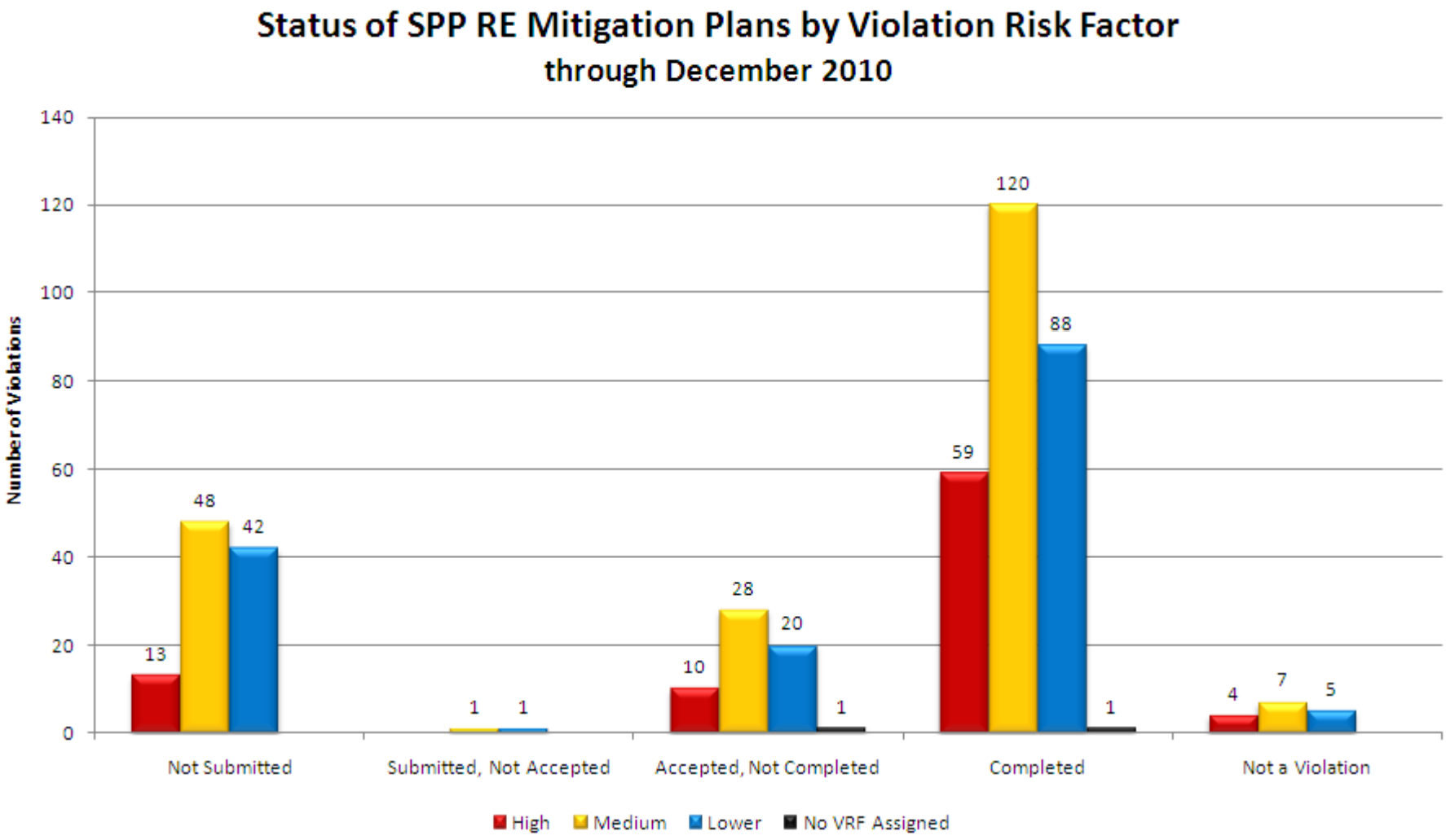
By: Joe Gertsch
Southwest Power Pool Regional Entity

Compliance Enforcement Activities December 31, 2010	2007	2008	2009	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	2010
NPV								
Issued	6	56	132	59	63	101	31	254
Average Time to Notify NERC (Days)				11.4	7.5	10.1	7	9.39
NAVAPS								
NAVAPS Issued	6	45	10	3	0	4	0	7
NOCV								
NOCV Sent to Entity/NERC	0	8	25	1	14	0	0	15
NOCV BOTCC Approved	0	7	11	14	15	0	0	29
Settlements								
Final @ NERC for Approval	0	0	0	6	12	26	45	
BOTCC Approved	0	0	0	3	6	10	31	50
Notice of Penalty								
Approved by FERC	0	5	13	1	2	3	51	57
Running Total Outstanding Violations				207	247	347	323	
Mitigation Plan Status								
Accepted by SPP RE	7	52	39	33	32	78	78	221
Verified Complete by SPP RE	0	12	32	46	46	67	65	224
Average MP Completion (Days)								23.5

VIOLATION AGING TABLE as of November 30, 2010	< 50 days	50-100 days	101-200 days	201-300 days	>300 days
Violations (No Navaps/Settlement)	7	26	75	25	12
NAVAPS Issued/ No NOCV or Settlement	0	4	0	0	1
In Settlement but Settlement Agreement not Approved	27	0	82	38	15

VIOLATION AGING TABLE as of December 31, 2010	< 50 days	50-100 days	101-200 days	201-300 days	>300 days
Violations (No Navaps/ Settelement)	4	26	62	34	16
NAVAPS Issued/ No NOCV or Settlement	0	4	0	0	1
In Settlement but Settlement Agreement not Approved	0	27	53	36	22

Compliance Enforcement Metric Performance December 31, 2010	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	2010 Metric	Metric Goal
NPV						
Issued	59	63	101	31		
Average Time to Notify NERC (Days)	11.4	7.5	10.1	7	9.39	5
NOCV/Settlement/Dismissals to NERC						
NOCV Sent to Entity/NERC	1	14	0	0		
Settlements @ NERC for Approval	6	12	26	45		
Dissmissals	2	2	5	6		
Total	9	28	31	51	119	75
NOCV/Settlement/Dis. Approved by BOTCC						
NOCV BOTCC Approved	14	15	0	0		
Settlements BOTCC Approved	3	6	10	31		
Dismissals	2	2	8	6		
Total	19	23	18	37	92	40
Mitigation Plan Metric						
Verified Complete by SPP RE (30 Day Metric)	17	29	65	68		
Average MP Completion (30 Day Metric)	21.1	21.4	18	21.67	20.18	<30
Verified Complete by SPP RE (60 Day Metric)	15	9	2	1		
Average MP Completion (60 Day Metric)	28.2	48.2	78	162	45.33	<60
Violations in Time Matters						200


Status of SPP RE Mitigation Plans by Violation Risk Factor
through December 2010
Number of Violations
140
120
100
80
60
40
20
0
13
48
42
1
1
10
28
20
1
59
120
88
1
4
7
5
Not Submitted
Submitted, Not Accepted
Accepted, Not Completed
Completed
Not a Violation
High
Medium
Lower
No VRF Assigned

Questions?