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
# July 25, 2011

By: Joe Gertsch
Southwest Power Pool Regional Entity

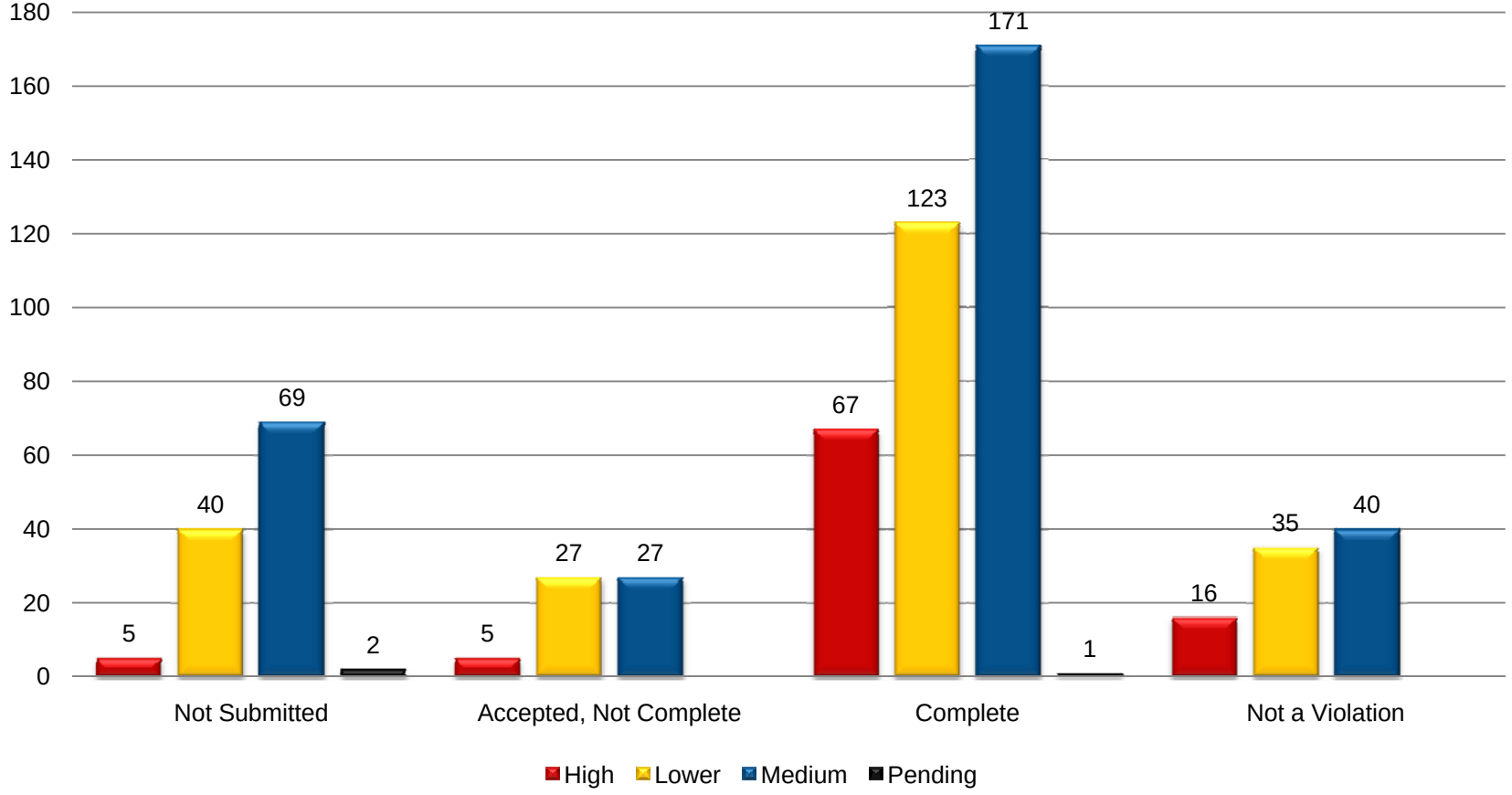
| Compliance Enforcement Activities June 30, 2011 | 2007 | 2008 | 2009 | 2010 | First Quarter | April | May | June | Total 2011 |
|---|---|---|---|---|---|---|---|---|---|
| **NPV** | | | | | | | | | |
| **Issued** | 6 | 56 | 132 | **254** | **37** | **39** | **15** | **37** | **128** |
| Average Time to Notify NERC (Days) | | | | 9.39 | 4.2 | 3.23 | 4.93 | 3.98 | 4.02 |
| **NAVAPS** | | | | | | | | | 0 |
| **NAVAPS Issued** | **6** | **45** | **10** | **7** | **0** | **0** | **0** | **0** | **0** |
| **NOCV** | | | | | | | | | |
| **NOCV Sent to Entity/NERC** | **0** | **8** | **25** | **15** | **4** | **0** | **0** | **0** | **4** |
| NOCV BOTCC Approved | 0 | 7 | 11 | 29 | 4 | 0 | 0 | 0 | 4 |
| **Settlements** | | | | | | | | | |
| **To NERC for Approval** | **0** | **0** | **0** | 89 | **0** | **0** | **15** | **9** | **24** |
| BOTCC Approved | 0 | 0 | 0 | 50 | 35 | 2 | 0 | 0 | 37 |
| **Administrative Citations** | | | | | | | | | |
| **To NERC for Approval** | **0** | **0** | **0** | **0** | **2** | **7** | **4** | **0** | **13** |
| BOTCC Approved | 0 | 0 | 0 | 0 | 18 | 0 | 1 | 10 | 29 |
| **Notice of Penalty** | | | | | | | | | |
| **Approved by FERC** | **0** | **5** | **13** | **57** | **48** | **0** | **14** | **14** | **76** |
| **Running Total Outstanding Violations** | | | | | | | | 356 | |
| **Mitigation Plan Status** | | | | | | | | | |
| Accepted by SPP RE | 7 | 52 | 39 | 221 | 48 | 29 | 17 | 5 | **99** |
| Verified Complete by SPP RE | 0 | 12 | 32 | 224 | 49 | 17 | 4 | 15 | **85** |
| Average MP Completion (Days) | | | | 23.5 | 12.9 | 12.24 | 1.25 | 17.93 | 12.91 |

| VIOLATION AGING TABLE as of May 31, 2011 | < 50 days | 50-100 days | 101-200 days | 201-300 days | >300 days |
|---|---|---|---|---|---|
| Violations (No Navaps/Settlement) | 46 | 15 | 30 | 46 | 37 |
| NAVAPS Issued/ No NOCV or Settlement | 0 | 0 | 0 | 0 | 0 |
| In Settlement but Settlement Agreement not Approved | 6 | 13 | 17 | 59 | 45 |

| VIOLATION AGING TABLE as of June 30, 2011 | < 50 days | 50-100 days | 101-200 days | 201-300 days | >300 days |
|---|---|---|---|---|---|
| Violations (No Navaps/ Settlement) | 42 | 43 | 30 | 19 | 31 |
| NAVAPS Issued/ No NOCV or Settlement | 0 | 0 | 0 | 0 | 0 |
| In Settlement but Settlement Agreement not Approved | 40 | 9 | 23 | 25 | 86 |

| Compliance Enforcement Metric Performance June 30, 2011 | 2010 Totals | First Quarter | April | May | June | YTD | 2011 Metric Goal |
|---|---|---|---|---|---|---|---|
| NPV | | | | | | | |
| Issued | **254** | 37 | 39 | 15 | 37 | 128 | |
| Average Time to Notify NERC (Days) | 9.39 | 4.2 | 3.23 | 4.93 | 3.89 | 4.02 | 5 |
| NOCV/Settlement/Dismissals to NERC | | | | | | | |
| NOCV Sent to Entity/NERC | 15 | 4 | 0 | 0 | 0 | 4 | |
| Settlements @ NERC for Approval | 89 | 0 | 0 | 15 | 9 | 24 | |
| Dismissals | 15 | 10 | 2 | 6 | 5 | 23 | |
| Administrative Citations @ NERC | 0 | 2 | 7 | 4 | 0 | 13 | |
| Total | 119 | 16 | 9 | 25 | 14 | 64 | 150 |
| Metric Value | | 133 | 77 | 229 | 102 | 541 | 1692 |
| NOCV/Settlement/Dis. Approved by BOTCC | | | | | | | |
| NOCV BOTCC Approved | 29 | 4 | 0 | 0 | 0 | 4 | |
| Settlements BOTCC Approved | 50 | 35 | 2 | 0 | 0 | 37 | |
| Dismissals | 18 | 9 | 3 | 4 | 4 | 21 | |
| Administrative Citations BOTCC Approved | | 18 | 0 | 0 | 6 | 29 | |
| Total | 97 | 66 | 5 | 4 | 10 | 91 | 150 |
| Mitigation Plan Metric | | | | | | | |
| **Verified Complete by SPP RE** | | 49 | 17 | 4 | 15 | 85 | |
| Average MP Completion | | 12.9 | 12.24 | 1.25 | 17.93 | 12.91 | <30 |

# Status of SPP RE Mitigation Plans by Violation Risk Factor
## as of June 30, 2011



# Questions?