PUBLIC VERSION

Post-June 18th 2007 Violation Status

Total Enforceable Violations Reported as of April 2009: 76 Violations

Status	April 2009	Change from January 2009
Preliminary Review Status	0 Violations	-7
Initial Notification Status	15 Violations	+8
Dismissed Violation	1 Violation	+0
Alleged Violation and Penalty Notice Issued	0 Violations	-1
Violation or Penalty Contested	0 Violations	-1
Violation and Penalty in Settlement	11 Violations	+7
Violation and Penalty Accepted [under RE review]	16 Violations	-26
Confirmed Violation	28 Violations	+25
Posted by NERC	5 Violations	0
Total to-date	76 Violations	+5

Pre-June 18th 2007 Violation Status

Status		
No Open Violations	0 Violations	-1

[SPP RE staff verified evidence during field review in March 2009]

Respectfully submitted by:

Ronald W. Ciesiel
Executive Director of Compliance
Southwest Power Pool Regional Entity
April 21, 2009

PUBLIC VERSION

POST-JUNE 18th VIOLATIONS

Discovery Method

	April 2009	Change from January 2009
Self Certification	42	-2
Self Report	26	+3
Compliance Audit	7	+4
Periodic Data Submittal	1	+0
Total	76	+5

As of April 21, 2009

PUBLIC VERSION
MOST VIOLATED STANDARDS TO-DATE IN SPP RE
[UNIVERSE OF 76 VIOLATIONS]

Standard	Description	# / %	Ranking in NERC Top 10	Violation Risk Factor
PRC-005 *	Protection System Maintenance & Testing	18 / 23.7%	1	High
FAC-008 *	Facility Rating Methodology	9 / 11.8%	4 ↓	Medium
PRC-004	Protection System Misoperations Analysis	7 / 9.2%	NR	High/Lower
CIP-001 *	↑ Sabotage Reporting	7 / 9.2%	2	Medium
FAC-009 *	↓ Establish & Communicate Facility Ratings	6 / 7.9%	5	Medium
VAR-002 *	Generator Operations / System Voltage Support	4 / 5.3%	6 ↑	Medium/Lower
PRC-001	System Protection Coordination	4 / 5.3%	NR	High
CIP-004 *	Personnel & Training	4 / 5.3%	3 ↑	Lower
EOP-001	Emergency Operations Planning	3 / 3.9%	NR↓	High/Medium

* In NERC Top 10 Violations for 12 months ending March 31, 2009

As of April 21, 2009