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MEMO

TO: Primary and Secondary Compliance Contacts

FROM: Tom Galloway

DATE: November 24, 2009

RE: Notification of Zero Exception Reporting for 2009

According to the Compliance Monitoring and Enforcement Program (CMEP), the Compliance Enforcement Authority is required to confirm the number of exceptions that have occurred in a given time period, even if the number of exceptions is zero.

Registered Entities are required to promptly report any exceptions to the designated Reliability Standard Requirements. Registered entities are required to self report such exceptions, using the self-report form, any possible violations of Reliability Standards monitored through exception reporting. Registered Entities filing "compliant" on the self certifications will serve as a declaration by the Registered Entity that it has had no exceptions to the designated Reliability Standard requirements during the reporting period (a zero-exception report).

In the SERC 2009 Implementation Plan, fifteen (15) Standards were designated for Exception Reporting. Of those fifteen Standards, three (3) were not designated for Self Certification in 2009. Therefore, SERC will be requiring a self-certification for the Standards listed below with a filing deadline of January 15, 2010. The self certification forms will be posted to the SERC Portal on January 1, 2010 with a Reporting Period of "August 1, 2008 to July 31, 2009".

- BAL-003-0a - Applicable to BA
- BAL-004-0 - Applicable to BA, RC
- INT-004-2 - Applicable to BA, PSE, RC, TOP

If you have any questions, feel free to contact Catherine Sills at csills@serc1.org or 704-940-8218.