NERC Reliability Working Group

Texas RE Enforcement
December 3, 2015
Source of New Violations

Q3-2015
- Audit = 1
- Self-Report = 5
- Self-Log = 3
- Self-Certification = 0
- Spot Check = 0
- Data Submittal = 0

Rolling 12 Months
- Audit = 10
- Self-Report = 36
- Self-Log = 10
- Self-Certification = 0
- Spot Check = 0
- Data Submittal = 0
Violations Processed by Disposition

Q3-2015
Total = 17 (65% CIP)
- Failed Prescreen = 1
- Settlement = 2
- FFT = 1
- Dismissed = 2
- Compliance Exception = 11

Rolling 12 Months
Total = 81 (59% CIP)
- Failed Prescreen = 2
- Settlement = 8
- FFT = 23
- Dismissed = 7
- Compliance Exception = 41
## Top Standards Violated – Past 12 Months

<table>
<thead>
<tr>
<th>Standard</th>
<th># Violations</th>
<th>% of Total Top 10</th>
<th>% of Total New Violations</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIP-007</td>
<td>14</td>
<td>26%</td>
<td>26%</td>
</tr>
<tr>
<td>CIP-004</td>
<td>8</td>
<td>15%</td>
<td>15%</td>
</tr>
<tr>
<td>PRC-005</td>
<td>7</td>
<td>13%</td>
<td>13%</td>
</tr>
<tr>
<td>CIP-006</td>
<td>7</td>
<td>13%</td>
<td>13%</td>
</tr>
<tr>
<td>VAR-002</td>
<td>6</td>
<td>11%</td>
<td>11%</td>
</tr>
<tr>
<td>CIP-003</td>
<td>3</td>
<td>6%</td>
<td>6%</td>
</tr>
<tr>
<td>TOP-006</td>
<td>2</td>
<td>4%</td>
<td>4%</td>
</tr>
<tr>
<td>7 Standards**</td>
<td>7 (1 each)</td>
<td>13%</td>
<td>13%</td>
</tr>
</tbody>
</table>

*Does not include possible violations that failed prescreen.

**CIP-002, CIP-005, COM-002, EOP-001, PER-004, PER-005, PRC-006

Note: Percentages are rounded to the nearest whole number.
Guidance for Minimal Risk Issues: NERC CE Spreadsheets

Self-Logging Program Information

http://texasre.org/cmep/enforcement/selflogging/Pages/Default.aspx