

NERC Standards Violations

	Violation Date	Violation Status	Discovery Method	Calculated Penalty	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status
1	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Technical	Not Spec	Lower	Completed
2	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Admin	Higher	Medium	Completed
3	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Admin	Lower	Medium	Completed
4	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Admin	Lower	High	Completed
5	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Admin	Medium	Lower	Completed
6	4/27/07	Confirmed	Compliance Audit	Pre-June 18th	Technical	Lower	Medium	Completed
7	5/24/07	Confirmed	Data Submittal	Pre-June 18th	Admin	Medium	Medium	Completed
8	7/10/07	Confirmed	Compliance Audit	Waived	Technical	Severe	Medium	Completed
9	7/10/07	Confirmed	Compliance Audit	Waived	Technical	Severe	Medium	Completed
10	9/26/07	Confirmed	Self-Certification	Waived	Technical	Medium	Lower	Completed
11	9/29/07	Confirmed	Self-Certification	Waived	Technical	Medium	Lower	Completed
12	10/3/07	Initial	Self-Certification	Waived	Admin	Severe	Lower	Not Submitted
13	10/3/07	Initial	Self-Certification	Waived	Admin	Severe	Lower	Not Submitted
14	10/3/07	Initial	Self-Certification	Waived	Admin	Severe	Lower	Not Submitted
15	10/3/07	Initial	Self-Certification	Waived	Admin	Severe	Medium	Not Submitted
16	10/3/07	Initial	Self-Certification	Waived	Admin	Severe	Medium	Not Submitted
17	10/3/07	Initial	Self-Certification	Waived	Technical	Lower	High	Not Submitted

18	10/23/07	Confirmed	Self-Certification	Waived	Admin	Not Spec	High	Completed
19	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
20	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
21	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
22	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Medium	Completed
23	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Medium	Completed
24	10/23/07	Confirmed	Self-Certification	Waived	Admin	Not Spec	High	Completed
25	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
26	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
27	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Lower	Completed
28	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Medium	Completed
29	10/23/07	Confirmed	Self-Certification	Waived	Admin	Severe	Medium	Completed
30	10/23/07	Confirmed	Self-Certification	Waived	Admin	Not Spec	High	Completed
31	10/23/07	Confirmed	Self-Certification	Waived	Admin	Lower	Medium	Completed
32	10/23/07	Confirmed	Self-Certification	Waived	Admin	Lower	Medium	Completed
33	10/23/07	Confirmed	Self-Certification	Waived	Admin	High	Medium	Completed
34	10/23/07	Confirmed	Self-Certification	Waived	Admin	Lower	Medium	Completed
35	12/28/07	Initial	Spot Check	Waived	Admin	Severe	Lower	Not Submitted
36	12/28/07	Initial	Spot Check	Waived	Admin	Lower	Medium	Not Submitted
31	12/28/07	Initial	Spot Check	Waived	Admin	Lower	Medium	Not Submitted

- Violation Status – Initial, Alleged, Confirmed
- Discovery Method – Compliance Audit, Readiness Audit, Investigation, Self-Reported, Spot Check, Self-Certification, Data Submittal, Complaint
- Category – Technical, Training, Administrative
- Violation Severity Level – Lower, Moderate, High, Severe
- Risk Factor – High, Medium, Lower
- Mitigation Plan Status – Not Submitted, Submitted, On Schedule, Behind Schedule, Extension Requested, Extension Requested/Granted, Completed
- NOTE: Does not include the 201 Pre-June 18, 2007 Self Reported Violations

ERCOT Protocols & Operating Guides Violations

1	Protocol/Operating Guide	Brief Description	Violation Date	Violation Status	Discovery Method	Mitigation Plan Status
2	P5.4.4	Compliance with Dispatch Instructions	1/23/2007	Confirmed	Incident Report	Completed
3	P6.10.5.3	SCE Monitoring Criteria	2/1/2007	Confirmed	Data Gathering	Completed
4	P6.10.5.3	SCE Monitoring Criteria	2/1/2007	Confirmed	Data Gathering	Completed
5	P6.10.5.3	SCE Monitoring Criteria	3/1/2007	Confirmed	Data Gathering	Completed
6	P6.10.5.3	SCE Monitoring Criteria	3/1/2007	Confirmed	Data Gathering	Completed
7	P6.7.3.7	Deployment of Responsive Reserve Service	2/22/2007	Confirmed	Incident Report	Completed
8	G2.5.2.3	Types of Responsive Reserve	2/22/2007	Confirmed	Incident Report	Completed

9	P6.5.4	Responsive Reserve Service	3/22/2007	Confirmed	Incident Report	Completed
10	P5.5.1	Changes in Resource Status	3/22/2007	Confirmed	Incident Report	Completed
11	P8.2.2	Method of Communications	3/22/2007	Confirmed	Incident Report	Completed
12	P6.10.5.3	SCE Monitoring Criteria	4/1/2007	Confirmed	Data Gathering	Completed
13	P6.10.5.3	SCE Monitoring Criteria	4/1/2007	Confirmed	Data Gathering	Completed
14	P6.10.5.3	SCE Monitoring Criteria	4/1/2007	Confirmed	Data Gathering	Completed
15	P6.10.5.3	SCE Monitoring Criteria	4/1/2007	Confirmed	Data Gathering	Completed
16	P6.10.5.3	SCE Monitoring Criteria	4/1/2007	Confirmed	Data Gathering	Completed
17	P6.10.5.3	SCE Monitoring Criteria	5/1/2007	Confirmed	Data Gathering	Completed
18	P6.10.5.3	SCE Monitoring Criteria	5/1/2007	Confirmed	Data Gathering	Completed
19	P6.10.5.3	SCE Monitoring Criteria	5/1/2007	Confirmed	Data Gathering	Completed
20	P6.10.5.3	SCE Monitoring Criteria	6/1/2007	Confirmed	Data Gathering	Completed
21	P6.10.5.3	SCE Monitoring Criteria	6/1/2007	Confirmed	Data Gathering	Completed

22	P6.10.5.3	SCE Monitoring Criteria	6/1/2007	Confirmed	Data Gathering	Completed
23	P6.10.2	General Capacity Testing Requirements	6/12/2007	Confirmed	Compliance Audit	Completed
24	P16.11.3	Market Participant Audits of User Security Administrators and Digital Certificates	6/12/2007	Confirmed	Compliance Audit	Completed
25	P16.11.4	ERCOT Audit – Consequences of Non-Compliance	6/12/2007	Confirmed	Compliance Audit	Completed
26	G8.1.6.2	State Estimator Data	6/12/2007	Confirmed	Compliance Audit	Completed
27	G8.3.3	Communications	6/18/2007	Confirmed	Incident Report	Completed
28	P5.4.4	Compliance with Dispatch Instructions	6/18/2007	Confirmed	Incident Report	Completed
29	P6.3.2	Qualified Scheduling Entity Responsibilities	6/21/2007	Confirmed	Incident Report	Completed
30	P6.10.5.3	SCE Monitoring Criteria	7/1/2007	Confirmed	Data Gathering	Completed
31	G8.3.3	Communications	7/2/2007	Confirmed	Incident Report	Completed
32	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	7/2/2007	Confirmed	Incident Report	Completed
33	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	7/2/2007	Confirmed	Incident Report	Completed
34	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	7/2/2007	Confirmed	Incident Report	Completed

35	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	7/2/2007	Confirmed	Incident Report	Completed
36	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	7/2/2007	Confirmed	Incident Report	Completed
37	P8.2.2	Method of Communication	7/2/2007	Confirmed	Incident Report	Completed
38	P6.5.1.1	Requirement for Operating Period Data for System Reliability and Ancillary Service Provision	7/2/2007	Initial	Incident Report	N/A
39	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	9/5/2007	Confirmed	Incident Report	Completed
40	P6.10.5.3	SCE Monitoring Criteria	11/1/2007	Confirmed	Data Gathering	Completed
41	P6.10.5.3	SCE Monitoring Criteria	12/1/2007	Confirmed	Data Gathering	Completed

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