NERC Standards Violations

	Violation Date	Violation Status	Calculated Penalty	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status
1	10/3/07	Confirmed	Waived	Admin	Severe	Lower	Submitted
2	10/3/07	Confirmed	Waived	Admin	Severe	Lower	Submitted
3	10/3/07	Confirmed	Waived	Admin	Severe	Lower	Submitted
4	10/3/07	Confirmed	Waived	Admin	Severe	Medium	Submitted
5	10/3/07	Confirmed	Waived	Admin	Severe	Medium	Submitted
6	10/3/07	Confirmed	Waived	Technical	Lower	High	Submitted
7	12/28/07	Confirmed	Waived	Admin	Lower	Medium	Completed
8	1/16/08	Initial	TBD	Admin	Lower	Medium	Not Submitted
9	1/16/08	Initial	TBD	Admin	High	Medium	Not Submitted

- Violation Status – Initial, Alleged, Confirmed
- 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

ERCOT Protocols & Operating Guides Violations

	Protocol/Operating Guide	Brief Description	Violation Date	Violation Status	Discovery Method	Mitigation Plan Status
1	P6.10.5.3	SCE Monitoring Criteria	1/1/2008	Confirmed	Data Gathering	Completed
2	P6.10.5.4	Responsive Reserve Services (12/12/07) Deployment Performance Monitoring Criteria	1/23/2008	Confirmed	Incident Report	Submitted
3	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	1/23/2008	Confirmed	Incident Report	Submitted

- Violation Status – Initial, Alleged, Confirmed
- Discovery Method – Compliance Audit, Investigation, Self-Reported, Spot Check, Self-Certification, Data Submittal, Incident Report, Data Gathering
- Mitigation Plan Status – Not Submitted, Submitted, On Schedule, Behind Schedule, Extension Requested, Extension Requested/Granted, Completed