

**NERC Standards Violations**

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status
1	A	10/3/07	Confirmed	Admin	Severe	Lower	Submitted
2	A	10/3/07	Confirmed	Admin	Severe	Lower	Submitted
3	A	10/3/07	Confirmed	Admin	Severe	Lower	Submitted
4	A	10/3/07	Confirmed	Admin	Severe	Medium	Submitted
5	A	10/3/07	Confirmed	Admin	Severe	Medium	Submitted
6	A	10/3/07	Confirmed	Technical	Lower	High	Submitted
7	B	12/28/07	Confirmed	Admin	Lower	Medium	Completed
8	C	1/16/08	Alleged	Admin	Lower	Medium	Submitted
9	C	1/16/08	Alleged	Admin	High	Medium	Submitted
10	D	2/15/08	Preliminary	Admin	Lower	Medium	Not Submitted
11	D	2/15/08	Preliminary	Admin	Lower	Medium	Not Submitted
12	D	2/15/08	Preliminary	Admin	High	Medium	Not Submitted
13	D	2/15/08	Preliminary	Admin	Lower	Medium	Not Submitted
14	D	2/15/08	Preliminary	Admin	Severe	Medium	Not Submitted
15	D	2/15/08	Preliminary	Admin	Severe	Lower	Not Submitted
16	D	2/15/08	Preliminary	Technical	Severe	High	Not Submitted
17	D	2/15/08	Preliminary	Technical	Severe	High	Not Submitted

**NERC Standards Violations (Cont'd)**

	<b>Registered Entity</b>	<b>Violation Date</b>	<b>Violation Status</b>	<b>Category</b>	<b>Violation Severity Level</b>	<b>Risk Factor</b>	<b>Mitigation Plan Status</b>
18	D	2/15/08	Preliminary	Technical	Severe	Medium	Not Submitted
19	D	2/15/08	Preliminary	Technical	Severe	Medium	Not Submitted
20	D	2/15/08	Preliminary	Technical	Severe	Medium	Not Submitted
21	E	2/28/08	Preliminary	Admin	Moderate	Lower	Not Submitted
22	E	2/28/08	Preliminary	Admin	Moderate	Medium	Not Submitted
23	F	3/17/08	Preliminary	Technical	Severe	Medium	Not Submitted

- Violation Status – Preliminary, 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**

	<b>Protocol/Operating Guide</b>	<b>Brief Description</b>	<b>Violation Date</b>	<b>Violation Status</b>	<b>Discovery Method</b>	<b>Mitigation Plan Status</b>
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	Completed
3	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	1/23/2008	Confirmed	Incident Report	Submitted
4	P6.10.5.3	SCE Monitoring Criteria	4/1/2008	Confirmed	Data Gathering	Completed

- 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