

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	Completed*
9	C	1/16/08	Alleged	Admin	High	Medium	Completed*
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*

* Entity is in settlement discussions

NERC Standards Violations (Cont'd)

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status
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

* Entity is in settlement discussions

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	Completed
3	P6.10.5.4	Responsive Reserve Services Deployment Performance Monitoring Criteria	1/23/2008	Confirmed	Incident Report	Completed
4	P6.10.5.3	SCE Monitoring Criteria	4/1/2008	Confirmed	Data Gathering	Completed
5	P6.10.5.3	SCE Monitoring Criteria	5/14/2008	Confirmed	Data Gathering	Completed
6	P6.10.5.4	Responsive Reserve Services (02/26/08) Deployment Performance Monitoring Criteria	5/27/2008	Confirmed	Event	Submitted
7	P6.10.5.4	Responsive Reserve Services (02/26/08) Deployment Performance Monitoring Criteria	5/27/2008	Confirmed	Event	Completed
8	P6.10.5.3	SCE Monitoring Criteria	6/13/2008	Confirmed	Data Gathering	Completed
9	OG2.9.1	Automatic Firm Load Shedding	6/13/2008	Alleged	Data Gathering	Not Submitted
10	P6.10.5.3	SCE Monitoring Criteria	7/23/2008	Alleged	Data Gathering	Submitted
11	OG2.9.2	Automatic Firm Load Shedding	7/24/2008	Alleged	Self-Reporting	Submitted
12	P5.7.1	Block Load Transfer	7/30/2008	Alleged	Incident Report	Not 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