NERC Standards Violations

***Green more than 6 months old, Yellow more than 9 months old, Grey are closed

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
1	M	8/4/08	Alleged	Technical	Lower	Medium	N/A	Minimal
2	Q	9/22/08	Preliminary	Technical	Severe	High	Not Submitted	Small
3	T	9/24/08	Preliminary	Technical	Severe	High	Not Submitted	Small
4	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
5	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
6	D	2/15/08	Preliminary	Admin	High	Medium	Submitted*	Minimal
7	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
8	D	2/15/08	Preliminary	Admin	Severe	Medium	Submitted*	Minimal
9	D	2/15/08	Preliminary	Admin	Severe	Lower	Submitted*	Minimal
10	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
11	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
12	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
13	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
14	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
15	E	2/28/08	Preliminary	Admin	Moderate	Lower	Submitted*	Minimal
16	E	2/28/08	Preliminary	Admin	Moderate	Medium	Submitted*	Minimal

* Entity is in settlement discussions

NERC Standards Violations (Cont'd)

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	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
17	F	3/17/08	Preliminary	Technical	Severe	Medium	Submitted*	Medium
18	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
19	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
20	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
21	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
22	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
23	A	10/3/07	Confirmed	Technical	Lower	High	Approved, Extension Requested	Minimal
24	C	1/16/08	Alleged	Admin	Lower	Medium	Approved, Completed*	Minimal
25	C	1/16/08	Alleged	Admin	High	Medium	Approved, Completed*	Minimal

Pre June 18th NERC Standards Violation

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
1	R	6/27/07	Alleged	Technical	Moderate	Lower	Approved, On Schedule	Small

- 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, Approved (by NERC), (After Approval - On Schedule, Behind Schedule, Extension Requested, Completed)
- Texas RE Assessment of Risk to System –Minimal, Small, Medium, Large, Immense

ERCOT Protocols & Operating Guides Violations
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	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor
1	P6.10.5.3	SCE Monitoring Criteria	7/23/2008	Alleged	Data Gathering	Submitted
2	OG2.9.2	Automatic Firm Load Shedding	7/24/2008	Alleged	Self-Reporting	Submitted
3	P5.7.1	Block Load Transfer	7/30/2008	Alleged	Incident Report	Submitted
4	P6.10.5.3	SCE Monitoring Criteria	9/17/08	Alleged	Data Gathering	Submitted
5	P5.4.4	Compliance with Dispatch Instructions	9/22/08	Alleged	Spot Check	Not Submitted
6	P6.3.2	Qualified Scheduling Entity Responsibilities	9/24/08	Initial	Event	Not Submitted
7	P6.3.2	Qualified Scheduling Entity Responsibilities	9/24/08	Initial	Event	Not Submitted
8	P6.3.2	Qualified Scheduling Entity Responsibilities	9/24/08	Initial	Event	Not Submitted
9	P6.3.2	Qualified Scheduling Entity Responsibilities	9/24/08	Initial	Event	Not Submitted
10	O8.3.3	QSE Responsibilities	9/24/08	Initial	Incident	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