

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	Not Required (non-enforceable)	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	F	10/10/08	Preliminary	Technical	Moderate	High	Submitted	TBD
5	T	10/10/08	Preliminary	Technical	High	Medium	Submitted	TBD
6	T	10/20/08	Preliminary	Technical	Lower	Medium	Not Submitted	TBD
7	T	10/20/08	Preliminary	Technical	High	Medium	Not Submitted	TBD
8	T	10/20/08	Preliminary	Technical	High	Medium	Not Submitted	TBD
9	T	10/20/08	Preliminary	Technical	High	Medium	Not Submitted	TBD
10	T	10/20/08	Preliminary	Technical	Severe	High	Not Submitted	TBD
11	T	10/20/08	Preliminary	Technical	Severe	High	Not Submitted	TBD
12	T	10/20/08	Preliminary	Technical	High	High	Not Submitted	TBD
13	T	10/20/08	Preliminary	Technical	Lower	Medium	Not Submitted	TBD
14	T	10/20/08	Preliminary	Technical	Severe	Lower	Not Submitted	TBD
15	T	10/20/08	Preliminary	Technical	Moderate	Medium	Not Submitted	TBD

16	D	2/15/08	Preliminary	Technical	Severe	High	Submitted	Minimal
17	D	2/15/08	Preliminary	Technical	Severe	High	Submitted	Minimal
18	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted	Minimal
19	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted	Minimal
20	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted	Minimal
21	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted	Minimal
22	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted	Minimal
23	D	2/15/08	Preliminary	Admin	High	Medium	Submitted	Minimal
24	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted	Minimal
25	D	2/15/08	Preliminary	Admin	Severe	Medium	Submitted	Minimal
26	D	2/15/08	Preliminary	Admin	Severe	Lower	Submitted	Minimal
27	E	2/28/08	Preliminary	Admin	Moderate	Lower	Submitted*	Minimal
28	E	2/28/08	Preliminary	Admin	Moderate	Medium	Submitted*	Minimal
29	F	3/17/08	Preliminary	Technical	Severe	Medium	Submitted*	Moderate
30	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
31	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
32	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
33	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal

34	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
35	A	10/3/07	Confirmed	Technical	Lower	High	Approved, Extension Requested	Minimal
36	C	1/16/08	Alleged	Admin	Lower	Medium	Approved, Completed*	Minimal
37	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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	Protocol/Operating Guide	Brief Description	Violation Date	Violation Status	Discovery Method	Mitigation Plan Status
1	P6.10.5.3	SCE Monitoring Criteria	7/23/2008	Alleged	Data Gathering	Completed
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	Completed
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	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