

**NERC Standards Violations**

	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	Approval (by NERC)	Small
3	U	9/24/08	Preliminary	Technical	Severe	High	Submitted	Small
4	F	10/10/08	Preliminary	Technical	Moderate	High	Submitted	Small
5	T	10/10/08	Preliminary	Technical	High	Medium	Submitted*	Medium
6	T	10/20/08	Preliminary	Technical	Lower	Medium	Submitted	Minimal
7	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
8	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
9	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
10	T	10/20/08	Preliminary	Technical	Severe	High	Submitted	Large
11	T	10/20/08	Preliminary	Technical	Severe	High	Submitted	Minimal
12	T	10/20/08	Preliminary	Technical	High	High	Submitted	Large
13	T	10/20/08	Preliminary	Technical	Lower	Medium	Submitted	Minimal
14	T	10/20/08	Preliminary	Technical	Severe	Lower	Submitted	Minimal
15	T	10/20/08	Preliminary	Technical	Moderate	Medium	Submitted	Minimal
16	V	11/3/08	Preliminary	Technical	Severe	High	Not Submitted	Small
17	V	11/3/08	Preliminary	Technical	Severe	Medium	Not Submitted	Small

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
18	W	11/17/08	Preliminary	Technical	Severe	High	Submitted*	Medium
19	F	11/18/08	Preliminary	Technical	TBD	Medium	Not Submitted	Minimal
20	F	11/18/08	Preliminary	Technical	Severe	Medium	Not Submitted	Minimal
21	T	12/8/08	Alleged	Technical	Not Specified	Lower	Completed	Minimal
22	Z	12/18/08	Preliminary	Technical	TBD	Lower	Not Submitted	Minimal
23	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
24	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
25	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
26	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
27	D	2/15/08	Preliminary	Technical	Severe	Medium	Submitted*	Minimal
28	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
29	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
30	D	2/15/08	Preliminary	Admin	High	Medium	Submitted*	Minimal
31	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
32	D	2/15/08	Preliminary	Admin	Severe	Medium	Submitted*	Minimal
33	D	2/15/08	Preliminary	Admin	Severe	Lower	Submitted*	Minimal
34	E	2/28/08	Preliminary	Admin	Moderate	Lower	Approved, Completed*	Minimal
35	E	2/28/08	Preliminary	Admin	Moderate	Medium	Approved, Completed*	Minimal
36	F	3/17/08	Preliminary	Technical	Severe	High	Submitted*	Moderate

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
37	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
38	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
39	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
40	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
41	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
42	A	10/3/07	Confirmed	Technical	Lower	High	Approved, Extension Requested	Minimal
43	C	1/16/08	Alleged	Admin	Lower	Medium	Approved, Completed*	Minimal
44	C	1/16/08	Alleged	Admin	High	Medium	Approved, Completed*	Minimal

**Pre June 18<sup>th</sup> 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, Completed	Small

Legend:

- 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

\* 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	OG2.9.2	Automatic Firm Load Shedding	7/24/2008	Alleged	Self-Reporting	Submitted
2	P6.10.5.3	SCE Monitoring Criteria	9/17/08	Alleged	Data Gathering	Submitted
3	P5.4.4	Compliance with Dispatch Instructions	9/22/08	Alleged	Spot Check	Submitted
4	P6.3.2	QSE Responsibilities	9/24/08	Alleged	Event	Completed
5	P6.3.2	QSE Responsibilities	9/24/08	Alleged	Event	Submitted
6	O8.3.3	QSE Responsibilities	9/24/08	Alleged	Incident	Submitted
7	P6.5.7.2 P16.2.2	QSE Responsibilities	11/4/08	Initial	Incident	Submitted
8	P6.10.5.4	Responsive Reserve Services Deployment	11/12/08	Initial	Incident	Submitted
9	P4.10.2 P4.10.5	QSE Scoring Review	11/12/08	Initial	Data Submittal	Submitted

Legend:

- 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