

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	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
2	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
3	T	10/20/08	Preliminary	Technical	High	Medium	Submitted	Large
4	T	10/20/08	Preliminary	Technical	Severe	High	Submitted	Large
5	T	10/20/08	Preliminary	Technical	High	High	Submitted	Large
6	F	3/17/08	Preliminary	Technical	Severe	High	Submitted*	Medium
7	T	10/10/08	Preliminary	Technical	High	Medium	Submitted*	Medium
8	W	11/17/08	Preliminary	Technical	Severe	High	Submitted*	Medium
9	Q	9/22/08	Preliminary	Technical	Severe	High	Approval (by NERC)	Small
10	U	9/24/08	Preliminary	Technical	Severe	High	Submitted	Small
11	F	10/10/08	Preliminary	Technical	Moderate	High	Submitted	Small
12	V	11/3/08	Preliminary	Technical	Severe	High	Not Submitted	Small
13	V	11/3/08	Preliminary	Technical	Severe	Medium	Not Submitted	Small
14	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
15	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
16	A	10/3/07	Confirmed	Admin	Severe	Lower	Approved, Extension Requested	Minimal
17	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal

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18	A	10/3/07	Confirmed	Admin	Severe	Medium	Approved, Extension Requested	Minimal
19	A	10/3/07	Confirmed	Technical	Lower	High	Approved, Extension Requested	Minimal
20	C	1/16/08	Alleged	Admin	Lower	Medium	Approved, Completed*	Minimal
21	C	1/16/08	Alleged	Admin	High	Medium	Approved, Completed*	Minimal
22	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
23	D	2/15/08	Preliminary	Technical	Severe	High	Submitted*	Minimal
24	D	2/15/08	Preliminary	Technical	Severe	Medium	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	Admin	Lower	Medium	Submitted*	Minimal
28	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
29	D	2/15/08	Preliminary	Admin	High	Medium	Submitted*	Minimal
30	D	2/15/08	Preliminary	Admin	Lower	Medium	Submitted*	Minimal
31	D	2/15/08	Preliminary	Admin	Severe	Medium	Submitted*	Minimal
32	D	2/15/08	Preliminary	Admin	Severe	Lower	Submitted*	Minimal
33	E	2/28/08	Preliminary	Admin	Moderate	Lower	Approved, Completed*	Minimal
34	E	2/28/08	Preliminary	Admin	Moderate	Medium	Approved, Completed*	Minimal
35	M	8/4/08	Alleged	Technical	Lower	Medium	Not Required (non-enforceable)	Minimal

	Registered Entity	Violation Date	Violation Status	Category	Violation Severity Level	Risk Factor	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
36	T	10/20/08	Preliminary	Technical	Lower	Medium	Submitted	Minimal
37	T	10/20/08	Preliminary	Technical	Severe	High	Submitted	Minimal
38	T	10/20/08	Preliminary	Technical	Lower	Medium	Submitted	Minimal
39	T	10/20/08	Preliminary	Technical	Severe	Lower	Submitted	Minimal
40	T	10/20/08	Preliminary	Technical	Moderate	Medium	Submitted	Minimal
41	F	11/18/08	Preliminary	Technical	TBD	Medium	Not Submitted	Minimal
42	F	11/18/08	Preliminary	Technical	Severe	Medium	Not Submitted	Minimal
43	T	12/8/08	Alleged	Technical	Not Specified	Lower	Completed	Minimal
44	Z	12/18/08	Preliminary	Technical	TBD	Lower	Not Submitted	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, 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	Submitted
5	OG8.3.3	QSE Responsibilities	9/24/08	Alleged	Incident	Submitted
6	P6.5.7.2 P16.2.2	QSE Responsibilities	11/4/08	Initial	Incident	Submitted
7	P6.10.5.4	Responsive Reserve Services Deployment	11/12/08	Initial	Incident	Submitted
8	P4.10.2 P4.10.5	QSE Scoring Review	11/12/08	Initial	Data Submittal	Submitted
9	P4.10.2 P4.10.6	QSE Scoring Review	1/7/09	Alleged	Data Submittal	Submitted
10	OG1.8.2	System Operating Training Requirements	1/13/09	Alleged	Compliance Audit	Not 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