

NERC Standards Violations

	Entity	Violation Date	Violation Status	Category	VSL	VRF	Mitigation Plan Status	Texas RE Assessment of Reliability Impact
1	T	10/20/2008	Preliminary	Technical	H	M	Approval (by NERC)	Large
2	T	10/20/2008	Preliminary	Technical	H	M	Approval (by NERC)	Large
3	T	10/20/2008	Preliminary	Technical	H	M	Approval (by NERC)	Large
4	T	10/20/2008	Preliminary	Technical	S	H	Revised Mitigation Plan Requested	Large
5	T	10/20/2008	Preliminary	Technical	H	H	Revised Mitigation Plan Requested	Large
6	F	3/21/2008	Preliminary	Technical	S	H	Completed & Confirmed*	Medium
7	T	10/10/2008	Preliminary	Technical	H	M	Submitted*	Medium
8	W	11/17/2008	Preliminary	Technical	S	H	Approval (by NERC)	Medium
9	Q	9/22/2008	Preliminary	Technical	S	H	Completed	Small
10	U	9/24/2008	Preliminary	Technical	S	H	Submitted	Small
11	F	10/10/2008	Preliminary	Technical	M	H	Approval (by NERC)	Small
12	V	11/3/2008	Preliminary	Technical	S	H	Not Submitted	Small
13	V	11/3/2008	Preliminary	Technical	S	M	Not Submitted	Small
14	A	10/3/2007	Confirmed	Admin	S	L	New Plan Submitted	Minimal
15	A	10/3/2007	Confirmed	Admin	S	L	New Plan Submitted	Minimal
16	A	10/3/2007	Confirmed	Admin	S	L	New Plan Submitted	Minimal
17	A	10/3/2007	Confirmed	Admin	S	M	New Plan Submitted	Minimal
18	A	10/3/2007	Confirmed	Admin	S	M	New Plan Submitted	Minimal
19	A	10/3/2007	Confirmed	Technical	L	H	Approved, Completed	Minimal
20	C	1/16/2008	Alleged	Admin	L	M	Completed & Confirmed*	Minimal
21	C	1/16/2008	Alleged	Admin	H	M	Completed & Confirmed*	Minimal

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22	D	2/15/2008	Preliminary	Technical	S	H	Completed & Confirmed*	Minimal
23	D	2/15/2008	Preliminary	Technical	S	H	Completed & Confirmed*	Minimal
24	D	2/15/2008	Preliminary	Technical	S	M	Completed & Confirmed*	Minimal
25	D	2/15/2008	Preliminary	Technical	S	M	Completed & Confirmed*	Minimal
26	D	2/15/2008	Preliminary	Technical	S	M	Completed & Confirmed*	Minimal
27	D	2/15/2008	Preliminary	Admin	L	M	Completed & Confirmed*	Minimal
28	D	2/15/2008	Preliminary	Admin	L	M	Completed & Confirmed*	Minimal
29	D	2/15/2008	Preliminary	Admin	H	M	Completed & Confirmed*	Minimal
30	D	2/15/2008	Preliminary	Admin	L	M	Completed & Confirmed*	Minimal
31	D	2/15/2008	Preliminary	Admin	S	M	Completed & Confirmed*	Minimal
32	D	2/15/2008	Preliminary	Admin	S	L	Completed & Confirmed*	Minimal
33	E	2/28/2008	Preliminary	Admin	M	L	Completed & Confirmed*	Minimal
34	E	2/28/2008	Preliminary	Admin	M	M	Completed & Confirmed*	Minimal
35	T	10/20/2008	Preliminary	Technical	L	M	Approval (by NERC)	Minimal
36	T	10/20/2008	Preliminary	Technical	S	H	Approval (by NERC)	Minimal
37	T	10/20/2008	Preliminary	Technical	L	M	Approval (by NERC)	Minimal
38	T	10/20/2008	Preliminary	Technical	S	L	Approval (by NERC)	Minimal
39	T	10/20/2008	Preliminary	Technical	M	M	Approval (by NERC)	Minimal
40	F	11/18/2008	Preliminary	Technical	TBD	M	Completed	Minimal
41	F	11/18/2008	Preliminary	Technical	S	M	Completed	Minimal
42	Z	12/18/2008	Preliminary	Technical	TBD	L	Completed	Minimal

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43	F	2/10/2009	Possible	NA	NA	NA	NA	NA
44	F	3/9/2009	Possible	TBD	TBD	TBD	TBD	TBD
45	F	3/9/2009	Possible	TBD	TBD	TBD	TBD	TBD
46	T	3/30/2009	Possible	TBD	TBD	TBD	Submitted	TBD
47	T	3/30/2009	Possible	TBD	TBD	TBD	Submitted	TBD
48	AC	4/16/2009	Possible	TBD	TBD	TBD	TBD	TBD
49	AC	4/16/2009	Possible	TBD	TBD	TBD	TBD	TBD
50	AC	4/16/2009	Possible	TBD	TBD	TBD	TBD	TBD

Legend:

Violation Status – Preliminary, Alleged, Confirmed

Discovery Method – Compliance Audit, Readiness Audit, Investigation, Self-Reported, Spot Check, Self-Certification, Data Submittal, Complaint

Category – Technical, Training, Administrative

Violation Severity Level (VSL) – Lower (L), Moderate (M), High (H), Severe (S)

Violation Risk Factor – High (H), Medium (M), Lower (L)

Mitigation Plan Status – Not Submitted, Submitted, Approval (by NERC), (After Approval - On Schedule, Behind Schedule, Extension Requested, Completed)

NAVAPS = Notice of Alleged Violation and Proposed Penalty or Sanction

Status Change = Highlighted in Gray

* Entity is in settlement discussions *Next step is dependent on entity