



NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

February 1, 2010

Ms. Kimberly Bose
Secretary
Federal Energy Regulatory Commission
888 First Street, N.E.
Washington, D.C. 20426

**Re: NERC Notice of Penalty regarding Farmington Electric Utility System
FERC Docket No. NP10-_-000**

Dear Ms. Bose:

The North American Electric Reliability Corporation (NERC) hereby provides this Notice of Penalty¹ regarding Farmington Electric Utility System (FEUS),² NERC Registry ID NCR05155,³ in accordance with the Federal Energy Regulatory Commission's (Commission or FERC) rules, regulations, and orders, as well as NERC Rules of Procedure including Appendix 4C (NERC Compliance Monitoring and Enforcement Program (CMEP)).⁴

¹ *Rules Concerning Certification of the Electric Reliability Organization; and Procedures for the Establishment, Approval, and Enforcement of Electric Reliability Standards* (Order No. 672), III FERC Stats. & Regs. ¶ 31, 204 (2006); *Notice of New Docket Prefix "NP" for Notices of Penalty Filed by the North American Electric Reliability Corporation*, Docket No. RM05-30-000 (February 7, 2008); *see also* 18 C.F.R. Part 39 (2008); *Mandatory Reliability Standards for the Bulk-Power System*, FERC Stats. & Regs. ¶ 31,242 (2007) (Order No. 693), *reh'g denied*, 120 FERC ¶ 61,053 (2007) (Order No. 693-A); 18 C.F.R. § 39.7(c)(2).

² Also concurrently being filed is a Notice of Penalty designated as NOC-401 regarding a separate Settlement Agreement between Western Electricity Coordinating Council and FEUS, in which FEUS stipulates to the facts presented and agrees to the proposed fifteen thousand dollar (\$15,000) financial penalty to be assessed to FEUS.

³ Western Electricity Coordinating Council (WECC) confirmed that FEUS was included on the NERC Compliance Registry as a Transmission Owner, Transmission Operator, Generator Owner, Generator Operator, Distribution Provider, Load Serving Entity, Purchasing-Selling Entity and Resource Planner on June 17, 2007. As a Transmission Owner and Generator Owner, FEUS was subject to NERC Reliability Standards FAC-008-1 and FAC-009-1. As a Transmission Owner, Generation Owner and a Distribution Provider that owns a transmission Protection System, FEUS was subject to PRC-005-1 and PRC-017-0. As a Transmission Operator and Transmission Owner, FEUS was subject to PRC-STD-005-1. As a Transmission Owner required to have an Underfrequency Load Shedding (UFLS) program and as a Generation Owner required to have a UFLS program, FEUS was subject to PRC-008-0. As a Transmission Operator, FEUS was subject to NERC Reliability Standards COM-001-1, EOP-001-0, and EOP-008-1. As a Load Serving Entity, FEUS was subject to MOD-017-0 and MOD-018-0. As a Transmission Operator, Generation Operator and Load Serving Entity, FEUS was subject to NERC Reliability Standards TOP-002-2. As a Transmission Operator and a Generator Operator, FEUS was subject to COM-002-2.

⁴ See, 18 C.F.R. § 39.7(c)(2).

As discussed more fully herein, FEUS has self-reported to the Western Electricity Coordinating Council (WECC) its potential non-compliance with eleven Reliability Standards.⁵ In addition, during an on-site Compliance Audit conducted by WECC from February 11, 2008 through February 15, 2008 (Audit), WECC determined FEUS had alleged violations of an additional nine Reliability Standards all as detailed on the dates shown in the following chart:

Reliability Standard	Req.	Alleged Violation(s) Start Date	Audit or Self-Report
COM-001-1	3	June 18, 2007	Audit
COM-001-1	5	June 18, 2007	Self-Report
COM-002-2	2	February 15, 2008	Audit
EOP-001-0	4	June 18, 2007	Audit
EOP-008-0	1	June 18, 2007	Self-Report
FAC-001-0	1	June 18, 2007	Self-Report
FAC-001-0	2	June 18, 2007	Self-Report
FAC-008-1	1	June 18, 2007	Self-Report
FAC-009-1	1 ⁶	June 18, 2007	Self-Report
MOD-017-0	1	June 18, 2007	Self-Report
MOD-018-0	1	June 18, 2007	Self-Report
PRC-005-1	1	June 18, 2007	Audit
PRC-005-1	2	June 18, 2007	Audit
PRC-008-0	2	June 18, 2007	Audit
PRC-STD-005-1	WR1	June 18, 2007	Audit
PRC-017-0	1	June 18, 2007	Self-Report
TOP-002-2	4	June 18, 2007	Self-Report
TOP-002-2	11	June 18, 2007	Self-Report
TOP-002-2	14	June 18, 2007	Audit
TOP-002-2	17	June 18, 2007	Audit

This Notice of Penalty is being filed with the Commission because, based on information from WECC, WECC and FEUS have entered into a Settlement Agreement to resolve all outstanding issues arising from a preliminary and non-public assessment resulting in WECC's determination and findings of the enforceable alleged violations of Reliability Standards noted in the above table. According to the Settlement Agreement, FEUS neither admits nor denies the alleged violations but has agreed to a proposed penalty of forty thousand two hundred fifty dollars (\$40,250) to be assessed to FEUS, in addition to other remedies and actions to mitigate the instant violations and facilitate future compliance under the terms and conditions of the Settlement Agreement.

Accordingly, the alleged violations identified as WECC200800636, WECC200810024, WECC200800635, WECC200800637, WECC200810025, WECC200810026,

⁵ For clarity, the following chart delineates which of the alleged violations were discovered through self-reports and which were discovered as a result of the Audit.

⁶ In the Recitals section of the Settlement Agreement, it incorrectly states that FEUS allegedly violated FAC-009-1 R2, instead of FAC-009-1 R1.

WECC200810027, WECC200810029, WECC200810030, WECC200810032, WECC200810033, WECC200800642, WECC200800643, WECC200800645, WECC200800644, WECC200800594, WECC200810036, WECC200810037, WECC200800648 and WECC200800649 are being filed in accordance with the NERC Rules of Procedure and the CMEP.⁷

Statement of Findings Underlying the Alleged Violations

This Notice of Penalty incorporates the findings and justifications set forth in the Settlement Agreement executed on July 16, 2009 between WECC and FEUS included as Attachment c. The details of the findings and basis for the penalty are set forth herein and in the Settlement Agreement. This Notice of Penalty filing contains the basis for approval of the Settlement Agreement by the NERC Board of Trustees Compliance Committee (NERC BOTCC). In accordance with Section 39.7 of the Commission's regulations, 18 C.F.R. § 39.7 (2007), NERC provides the following summary table identifying each alleged violation of a Reliability Standard resolved by the Settlement Agreement, as discussed in greater detail below.

Region	Registered Entity	NOC ID	NERC Violation ID	Reliability Std.	Req. (R)	VRF	Total Penalty (\$)
WECC	FEUS	NOC-234	WECC200800636	COM-001-1	3	Lower	\$40,250
WECC	FEUS	NOC-234	WECC200810024	COM-001-1	5	Lower	
WECC	FEUS	NOC-234	WECC200800635	COM-002-2	2	Medium	
WECC	FEUS	NOC-234	WECC200800637	EOP-001-0	4	Medium	
WECC	FEUS	NOC-234	WECC200810025	EOP-008-0	1	High ⁸	
WECC	FEUS	NOC-234	WECC200810026	FAC-001-0	1	Medium	
WECC	FEUS	NOC-234	WECC200810027	FAC-001-0	2	Medium	
WECC	FEUS	NOC-234	WECC200810029	FAC-008-1	1	Lower ⁹	
WECC	FEUS	NOC-234	WECC200810030	FAC-009-1	1	Medium	
WECC	FEUS	NOC-234	WECC200810032	MOD-017-0	1	Medium ¹⁰	
WECC	FEUS	NOC-234	WECC200810033	MOD-018-0	1/1.2	Medium/	

⁷ During the course of the enforcement process, WECC Enforcement determined that there were sufficient grounds to dismiss the following alleged violations which were either self reported or determined during the Audit: EOP-005-1 R10, EOP-009-0 R1, FAC-002-0 R1, FAC-009-1 R2, IRO-004-1 R4 and TOP-002-2 R3. See Settlement Agreement for additional information on dismissed violations at pp. 25-27.

⁸ When NERC filed Violation Risk Factors (VRF) it originally assigned EOP-008-0 R1 a "Medium" VRF. The Commission approved the VRF as filed; however, it directed NERC to submit modifications. NERC submitted the modified "High" VRF and on February 6, 2008, the Commission approved the modified "High" VRF. Therefore, the "Medium" VRF for EOP-008-0 R1 was in effect from June 18, 2007 until February 6, 2008 when the "High" VRF became effective.

⁹ FAC-008-1 R1 is assigned a "Lower" VRF and its sub-requirements are assigned "Lower" and "Medium" VRFs.

¹⁰ When NERC filed VRFs it originally assigned MOD-017-0 R1 and its sub-requirements "Lower" VRFs. The Commission approved the VRFs as filed; however, it directed NERC to submit modifications. NERC submitted the modified "Medium" VRFs and on August 6, 2007, the Commission approved the modified "Medium" VRFs. Therefore, the "Lower" VRFs for MOD-017-0 R1 and its sub-requirements were in effect from June 18, 2007 until August 6, 2007 when the "Medium" VRFs became effective.

Region	Registered Entity	NOC ID	NERC Violation ID	Reliability Std.	Req. (R)	VRF	Total Penalty (\$)
						Lower ¹¹	
WECC	FEUS	NOC-234	WECC200800642	PRC-005-1	1	High ¹²	
WECC	FEUS	NOC-234	WECC200800643	PRC-005-1	2	Lower ¹³	
WECC	FEUS	NOC-234	WECC200800645	PRC-008-0	2	Medium	
WECC	FEUS	NOC-234	WECC200800644	PRC-STD-005-1	WR1	None	
WECC	FEUS	NOC-234	WECC200800594	PRC-017-0	1	High	
WECC	FEUS	NOC-234	WECC200810036	TOP-002-2	4	Medium	
WECC	FEUS	NOC-234	WECC200810037	TOP-002-2	11	Medium	
WECC	FEUS	NOC-234	WECC200800648	TOP-002-2	14	Medium	
WECC	FEUS	NOC-234	WECC200800649	TOP-002-2	17	High	

COM-001-1

The purpose of Reliability Standard COM-001-1 is to ensure that each Reliability Coordinator, Transmission Operator and Balancing Authority has adequate and reliable telecommunications facilities internally and with others for the exchange of Interconnection and operating information necessary to maintain reliability.

COM-001-1 R3

COM-001-1 R3 requires a Transmission Operator, such as FEUS, to provide a means to coordinate telecommunications among its respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas. COM-001-1 R3 has a “Lower” Violation Risk Factor (VRF).

During the Audit, the WECC Audit Team (Audit Team) determined that FEUS had a possible violation of COM-001-1 R3 because FEUS did not provide the Audit Team with any evidence that it had any means to investigate and recommend solutions to telecommunications problems with other areas. FEUS telecommunications procedures specify that coordination of

¹¹ When NERC filed VRFs it originally assigned MOD-018-0 R1 and its sub-requirement R1.1 “Lower” VRFs. The Commission approved the VRFs as filed; however, it directed NERC to submit modifications. NERC submitted the modified “Medium” VRFs and on August 6, 2007, the Commission approved the modified “Medium” VRFs. Therefore, the “Lower” VRFs for MOD-018-0 R1 and its sub-requirement R1.1 were in effect from June 18, 2007 until August 6, 2007 when the “Medium” VRFs became effective. Sub-requirements R1.2 and 1.3 have “Lower” VRFs.

¹² When NERC filed VRFs, it originally assigned PRC-005-1 R1 a “Medium” VRF. The Commission approved the VRF as filed; however, it directed NERC to submit modifications. NERC submitted the modified “High” VRF, which the Commission approved on August 6, 2007. Therefore, the “Medium” VRF for PRC-005-1 R1 was in effect from June 18, 2007 until August 6, 2007 when the “High” VRF became effective.

¹³ PRC-005-1 R2 has a “Lower” VRF; R2.1 has a “High” VRF. During a final review of the standards subsequent to the March 23, 2007 filing of the Version 1 VRFs, NERC identified that some standards requirements were missing VRFs; one of these include PRC-005-1 R2.1. On May 4, 2007, NERC assigned PRC-005 R2.1 a “High” VRF. In the Commission’s June 26, 2007 Order on Violation Risk Factors, the Commission approved the PRC-005-1 R2.1 “High” VRF as filed. Therefore, the “High” VRF was in effect from June 26, 2007.

telecommunications rests with the system operator. FEUS operation personnel stated that FEUS had an informal procedure to coordinate telecommunications. However, FEUS did not produce any evidence, such as contact points or communication logs that demonstrated that FEUS operations personnel had knowledge of other entities' communication coordination points or that showed that FEUS had taken any actions to coordinate telecommunications in its respective areas. Thus, the Audit Team determined that FEUS did not have an adequate process for coordinating telecommunications or for recommending solutions to telecommunications problems.

WECC Enforcement (Enforcement) reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because FEUS did not demonstrate that it had provided an adequate means for the coordination of telecommunications and for recommending solutions to telecommunications problems.

Enforcement determined the duration of the violation of COM-001-1 R3 was from June 18, 2007, when the Standard became mandatory, to June 2, 2008, when FEUS completed its Mitigation Plan.

COM-001-1 R5

COM-001-1 R5 requires a Transmission Operator, such as FEUS, to have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities. COM-001-1 R5 has a "Lower" VRF.

FEUS self-reported this violation on June 15, 2007¹⁴ because it did not have written operating instructions or procedures in place to address operation of the system during the loss of telecommunications facilities. This violation was reviewed by the Audit Team at the Audit. The Audit Team evaluated the FEUS Emergency Preparedness Plan, which refers to Appendix J. The Audit Team found that this Appendix contained only a list of primary and backup facilities. The Audit Team confirmed that FEUS had a possible violation of this Standard because Appendix J contains no guidance for system operators as to what actions to take during loss of telecommunications. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS' first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and audit findings and confirmed that FEUS had an alleged violation of this Standard because it did not have operating instructions and procedures for loss of telecommunications.

Enforcement determined the violation period for this alleged violation runs from June 18, 2007, when the Standard became mandatory, to June 2, 2008, when FEUS completed its Mitigation Plan.

COM-002-2

¹⁴ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

The purpose of Reliability Standard COM-002-2 is to ensure that Balancing Authorities, Transmission Operators and Generator Operators have adequate communications and that these communications capabilities are staffed and available for addressing a real-time emergency condition and to ensure communications by operating personnel are effective.

COM-002-2 R2

COM-002-2 R2 requires each Transmission Operator, such as FEUS, to issue directives in a clear, concise, and definitive manner; to ensure the recipient of the directive repeats the information back correctly; and to acknowledge the response as correct or repeat the original statement to resolve any misunderstandings. COM-002-2 R2 has a “Medium” VRF.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because two recordings of FEUS directives reviewed by the Audit Team did not follow the procedure set forth by the Standard. One voice recording described the actions FEUS took in placing two 13.8 kV circuit breakers in non-reclosing mode. A FEUS representative repeated back the steps in the procedure. However, the field worker on the receiving end of the directives did not repeat them correctly. In the second voice recording, the FEUS senior system operator gave an order to field workers referring to a device by name. The operations personnel did not include the device name in the repetition of the order back to the senior system operator. In neither voice recording did the party issuing the directive or order correct the representative repeating the directive or order to confirm it.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because FEUS representatives did not ensure that its personnel repeated information back correctly.

Enforcement determined that the violation period for this alleged violation was from February 15, 2008, when the violation was discovered, to June 5, 2008, when FEUS completed a Mitigation Plan.

EOP-001-0

The purpose of Reliability Standard EOP-001-0 is to ensure that each Transmission Operator and Balancing Authority develops, maintains, and implements a set of plans to mitigate operating emergencies. These plans are to be coordinated with other Transmission Operators and Balancing Authorities, and the Reliability Coordinator.

EOP-001-0 R4

EOP-001-0 R4 requires that each Transmission Operator, such as FEUS, have emergency plans that will enable it to mitigate operating emergencies. At a minimum, Transmission Operator and Balancing Authority emergency plans shall include: (R4.1) communications protocols to be used during emergencies; (R4.2) a list of controlling actions to resolve the emergency (Load reduction, in sufficient quantity to resolve the emergency within NERC-established timelines, shall be one of the controlling actions); (R4.3) the tasks to be coordinated with and among adjacent Transmission Operators and Balancing Authorities; and (R4.4) staffing levels for the emergency. EOP-001-0 R4 has a “Medium” VRF.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because the Audit Team could not locate communications protocols in FEUS' emergency procedures. The evidence submitted by FEUS stated that communications protocols were located in Appendix J of the FEUS Emergency Operations Plan. The Audit Team found that Appendix J did not contain any communications protocols. In its Response to WECC's Notice of Alleged Violation and Proposed Penalty or Sanction (NAVAPS), dated December 11, 2008, FEUS stated that although communications protocols were not in Appendix J, they were contained in the actual Emergency Operations Plan. A second review of FEUS' documentation by WECC Subject Matter Experts (SMEs) revealed that the Emergency Operations Plan did contain some communications protocols. However, these communications protocols were inadequate because they were not addressed in each of the emergency scenarios in the Emergency Operation Plan. Some scenarios contained communications protocols, but many of these protocols dealt only with communications with customers and did not address communications with neighboring entities for the purpose of protecting the reliability of the bulk power system (BPS).

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because FEUS did not have adequate communications protocols in its Emergency Operations Plan.

Enforcement determined that the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to April 15, 2008, when FEUS completed its Mitigation Plan.

EOP-008-0

The purpose of Reliability Standard EOP-008-0 is to ensure that each reliability entity has a plan to continue reliability operations in the event its control center becomes inoperable.

EOP-008-0 R1

EOP-008-0 R1 requires each Transmission Operator, such as FEUS, to have a plan to continue reliability operations in the event its control center becomes inoperable. The contingency plan must meet the following requirements:

- R1.1 The contingency plan shall not rely on data or voice communication from the primary control facility to be viable.
- R1.2 The plan shall include procedures and responsibilities for providing basic tie line control and procedures and for maintaining the status of all inter-area schedules, such that there is an hourly accounting of all schedules.
- R1.3 The contingency plan must address monitoring and control of critical transmission facilities, generation control, voltage control, time and frequency control, control of critical substation devices, and logging of significant power system events. The plan shall list the critical facilities.
- R1.4 The plan shall include procedures and responsibilities for maintaining basic voice communication capabilities with other areas.

- R1.5 The plan shall include procedures and responsibilities for conducting periodic tests, at least annually, to ensure viability of the plan.
- R1.6 The plan shall include procedures and responsibilities for providing annual training to ensure that operating personnel are able to implement the contingency plans.
- R1.7 The plan shall be reviewed and updated annually.
- R1.8 Interim provisions must be included if it is expected to take more than one hour to implement the contingency plan for loss of primary control facility.

FEUS self-reported this violation on June 15, 2007 because it did not have a clearly defined plan for the loss of its control center. FEUS did have a “paper system” in place to deal with loss of its control center. This “paper system” included paper schedules to monitor and record tie lines, generation, interchange schedules, and load, by hand, on an hourly basis, in coordination with a pre-loaded laptop. However, FEUS stated it was still developing a formal plan for dealing with loss of its control center. During the Audit, FEUS presented a plan for loss of control center functionality. However, the Audit Team found that a violation of the Standard remained because the backup control center listed in the plan was not operational. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because FEUS’ first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and audit findings and confirmed that FEUS had an alleged violation of this Standard because it did not have a plan for loss of control center functionality that met the requirements of the Standard.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to November 18, 2008, when FEUS completed its Mitigation Plan.

FAC-001-0

The purpose of Reliability Standard FAC-001-0 is to ensure that Transmission Owners establish facility connection and performance requirements in order to avoid adverse impacts on reliability.

FAC-001-0 R1

FAC-001-0 R1 requires each Transmission Owner, such as FEUS, to document, maintain, and publish facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Entity, sub-regional, Power Pool, and individual Transmission Owner planning criteria and facility connection requirements. The Transmission Owner’s facility connection requirements shall address connection requirements for:

- R1.1 Generation facilities,
- R1.2 Transmission facilities, and
- R1.3 End-user facilities.

FAC-001-0 R2

FAC-001-0 R2 requires each Transmission Owner's, such as FEUS', facility connection requirements address, but are not limited to, the following items:

R2.1 Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:

- R2.1.1 Procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems.
- R2.1.2 Procedures for notification of new or modified facilities to others (those responsible for the reliability of the interconnected transmission systems) as soon as feasible.
- R2.1.3 Voltage level and MW and MVAR capacity or demand at point of connection.
- R2.1.4 Breaker duty and surge protection.
- R2.1.5 System protection and coordination.
- R2.1.6 Metering and telecommunications.
- R2.1.7 Grounding and safety issues.
- R2.1.8 Insulation and insulation coordination.
- R2.1.9 Voltage, Reactive Power, and power factor control.
- R2.1.10 Power quality impacts.
- R2.1.11 Equipment Ratings.
- R2.1.12 Synchronizing of facilities.
- R2.1.13 Maintenance coordination.
- R2.1.14 Operational issues (abnormal frequency and voltages).
- R2.1.15 Inspection requirements for existing or new facilities.
- R2.1.16 Communications and procedures during normal and emergency operating conditions.

FEUS self-reported these violations on June 15, 2007 because the facility connection requirements in its interconnection policy were not sufficient to meet the Standard. FEUS stated that it developed its existing interconnection requirements based on customer requests and previous FEUS standards. FEUS explained that these requirements did not meet all of the sub-requirements of the Standard. Although FEUS self-reported these violations prior to June 18, 2007, they became sanctionable because FEUS' first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because it did not have adequate facility connection requirements.

Enforcement determined the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its Mitigation Plan.

FAC-008-1

The purpose of Reliability Standard FAC-008-1 is to ensure that Facility Ratings used in the reliable planning and operation of the Bulk Power System (BPS) are determined based on an established methodology or methodologies.

FAC-008-1 R1

FAC-008-1 R1 requires each Transmission Owner and Generator Owner, such as FEUS, to each document its current methodology used for developing Facility Ratings (Facility Ratings Methodology) of its solely and jointly owned Facilities. The methodology shall include all of the following:

- R1.1 A statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.
- R1.2 The method by which the Rating (of major BPS equipment that comprises a Facility) is determined.
 - R1.2.1 The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.
 - R1.2.2 The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.
- R1.3 Consideration of the following:
 - R1.3.1 Ratings provided by equipment manufacturers.
 - R1.3.2 Design criteria (e.g., including applicable references to industry Rating practices such as manufacturer's warranty, IEEE, ANSI or other Standards).
 - R1.3.3 Ambient conditions.
 - R1.3.4 Operating limitations.
 - R1.3.5 Other assumptions.

FEUS self-reported this violation¹⁵ on June 15, 2007¹⁶ because it did not have a methodology for determining equipment ratings that met the Standard. FEUS explained that it had an established methodology for determination of facility ratings based on a combination of manufacturer's data and equipment testing, but stated that it was not as detailed as the Standard requires. Although FEUS self-reported this violation prior to June 18, 2007, the violation for FAC-008-1 R1 became sanctionable because FEUS' first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because it did not have adequate facility ratings methodology.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to January 29, 2008, when FEUS completed its Mitigation Plan.

FAC-009-1

¹⁵ The Self-Report document also identifies possible violations of FAC-008-1 R2 and R3. WECC determined that FEUS was in compliance with FAC-008-1 R2 and R3.

¹⁶ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

The purpose of Reliability Standard FAC-009-1 is to ensure that Facility Ratings used in the reliable planning and operation of the BPS are determined based on an established methodology or methodologies.

FAC-009-1 R1

FAC-009-1 R1 requires that each Transmission Owner and Generator Owner, such as FEUS, establish Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology. FAC-009-0 R1 has a “Medium” VRF.

FEUS self-reported a violation¹⁷ of this Standard on June 15, 2007.¹⁸ FEUS explained that because it did not meet the requirements of FAC-008-1, it also did not meet the requirements of this Standard. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because FEUS’ first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because FEUS could not have facility ratings without the associated Facility Ratings Methodology.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its Mitigation Plan.

MOD-017-0

The purpose of Reliability Standard MOD-017-0 is to ensure data is available. In order for assessments and validation of past events and databases to be performed, reporting of actual Demand data is needed. In addition, Forecast demand data is needed to perform future system assessment to identify the need for system reinforcement for continued reliability. Finally, to assist in proper real-time operating, load information related to controllable Demand-Side Management programs is needed.

MOD-017-0 R1

MOD-017-0 R1 requires the Load-Serving Entity and Resource Planner, such as FEUS, to each provide the following information annually on an aggregated Regional, sub-regional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Entities, and any other entities specified by the documentation in Standard MOD-016-1 R1.

- R1.1 Integrated hourly demands in megawatts (MW) for the prior year.
- R1.2 Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.

¹⁷ The Self-Report document also identifies possible violations of FAC-009-1 R2. WECC dismissed this alleged violation on February 27, 2009.

¹⁸ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

- R1.3 Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.
 - R1.4 Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.
- MOD-017-0 R1 and R1.1 through R1.4 each have a “Medium” VRF.

FEUS self-reported this violation on June 15, 2007¹⁹ because, although FEUS was compiling the data required by this Standard, it was not providing the information to NERC or any other entities. FEUS self-reported this violation before June 18, 2007, but it became sanctionable because FEUS’ first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because FEUS was not providing the information required by the Standard to the entities specified in the Standard.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its Mitigation Plan.

MOD-018-0

The purpose of Reliability Standard MOD-018-0 is to ensure that Assessments and validation of past events and databases can be performed, by the reporting of actual demand data. In addition, Forecast demand data is needed to perform future system assessments to identify the need for system reinforcement for continued reliability. Finally, to assist in proper real-time operating, load information related to controllable Demand-Side Management programs is needed.

MOD-018-0 R1 requires that the Load-Serving Entity and Resource Planner’s report from entities, such as FEUS, of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:

- R1.1. Indicate whether the demand data of nonmember entities within an area or Regional Entity are included, and
 - R1.2. Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.
 - R1.3. Items (MOD-018-0 R1.1) and (MOD-018-0 R1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1 R1.
- MOD-018-0 R1 and R1.1 both have a “Medium” VRF, R1.2 and R1.3 both have a “Lower” VRF.

FEUS self-reported this violation on June 15, 2007²⁰ because although FEUS compiles this data, it had no documentation addressing assumptions, methods, and the manner in which

¹⁹ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

²⁰ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because FEUS' first completed Mitigation Plan did not demonstrate compliance.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because FEUS' documentation did not address sub-requirement 1.2 of the Standard. Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to June 30, 2008, when FEUS completed its Mitigation Plan.

PRC-005-1

The purpose of Reliability Standard PRC-005-1 is to ensure all transmission and generation Protection Systems²¹ affecting the reliability of the BPS are maintained and tested.

PRC-005-1 R1

PRC-005-1 R1 requires each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System to have a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BPS. The program shall include: R1.1 Maintenance and testing intervals and their basis; and R1.2 Summary of maintenance and testing procedures. PRC-005-1 R1.1 and R1.2 have "High" VRFs.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because its transmission and generation protections systems maintenance and testing procedures were incomplete. The Audit Team found that FEUS had misinterpreted the applicability of the Standard. Through a lack of understanding of the requirements, FEUS had Self-Certified 'compliant' with four of the standards (PRC-005-1 R1.1, R1.2, R2.1 and R2.2). FEUS limited the applicability of this Standard to only its Path 31 (Glade terminal of the Hesperus Glade 115 kV line) facilities. The Audit Team informed FEUS that this Standard applies to all lines over 100 kV and all generators over 25 MVA as defined by NERC. However, because of FEUS' misinterpretation of the applicability of the Standard, FEUS' maintenance and testing procedures did not address any protective devices for the FEUS system other than the protective devices on its Path 31 facilities. Additionally, although FEUS provided records for maintenance and testing of its Path 31 facilities, it did not provide any basis for the four-year testing interval. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because its protection system maintenance and testing program was incomplete.

²¹ The NERC Glossary of Terms Used in Reliability Standards, updated April 20, 2009, defines Protection System as "Protective relays, associated communication systems, voltage and current sensing devices, station batteries and DC control circuitry."

Enforcement determined that the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to June 10, 2008, when FEUS completed its Mitigation Plan.

PRC-005-1 R2

PRC-005-1 R2 requires each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System, such as FEUS, to provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Entity on request (within 30 calendar days). Specifically, the documentation of the program implementation shall include: (R2.1) evidence Protection System devices were maintained and tested within the defined intervals; and (R2.2) date(s) each Protection System device was last tested/maintained. PRC-005-1 R2 has a “Lower” VRF, however R2.1 and R2.1 each have a “High” VRF. WECC therefore assessed “Lower” as the appropriate VRF.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because FEUS could not provide documentation demonstrating that it had tested and maintained all of its relays, or that it had maintained and tested its protection system devices within the defined intervals. FEUS was unable to provide the Audit Team with evidence of the dates FEUS last tested and maintained each protection system device.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because it could not demonstrate that it had tested and maintained all of its relays according to its testing and maintenance plan.

Enforcement determined that the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory to March 30, 2009, the date FEUS completed the Mitigation Plan.

PRC-008-0

The purpose of Reliability Standard PRC-008-0 is to provide last resort system preservation measures by implementing an Under Frequency Load Shedding (UFLS) program.

PRC-008-0 R2

PRC-008-0 R2 requires the Transmission Owner and Distribution Provider a UFLS program (as required by its Regional Entity), such as FEUS, to implement its UFLS equipment maintenance and testing program and provide UFLS maintenance and testing program results to its Regional Entity and NERC on request (within 30 calendar days). PRC-008-0 R2 has a “Medium” VRF.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because FEUS did not present evidence of the last test date for 16 of its relays. To demonstrate compliance with this Standard, FEUS provided a spreadsheet showing each installed relay and the date FEUS last maintained it. The Audit Team reviewed this spreadsheet and found that there were 16 relays that did not have the date last tested. The spreadsheet stated that

FEUS would test and maintain these relays by the second quarter of 2008. FEUS' Superintendent of Technical Services stated that the last test date for these 16 devices, which comprised 25 percent of FEUS' total number of UFLS relays, was missing because FEUS did not retain any records concerning maintenance before the year 2005.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because it could not provide the last test date for 16 of its relays.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to May 21, 2008, when FEUS completed its Mitigation Plan.

PRC-STD-005-1

The purpose of Regional Reliability Standard PRC-STD-005-1 is to ensure the Transmission Operator or Transmission Owner of a transmission path identified in Attachment A of the Standard performs maintenance and inspection on identified paths as described by its transmission maintenance plan. A VRF is not assigned as sanctions for violations of this Regional Reliability Standard are defined by the Sanction Table included as part of the Standard.

PRC-STD-005-1 WR1

PRC-STD-005-1 WR1 requires that all bulk power transmission elements (i.e. lines, stations and rights of way) included as part of the transmission facilities (or required to maintain transfer capability) impacting each of the transmission paths listed in Attachment A – WECC Table 2 shall be inspected and maintained in accordance with this criterion, taking into consideration diverse environmental and climatic conditions, terrain, equipment, maintenance philosophies, and design practices.

- a. General. This Transmission Maintenance Standard requires each Responsible Entity, such as FEUS, identified in Section A.4.1 to develop and implement a Transmission Maintenance and Inspection Plan (TMIP) detailing the Responsible Entity's inspection and maintenance activities applicable to the transmission facilities comprising each of the transmission paths identified in Attachment A – Table 2.
- b. Standard Requirements
 - i) TMIP. To comply with this Standard, each Responsible Entity identified in Section A4.1 must develop and implement a TMIP.
 - Because maintenance and inspection practices vary, it is the intent of this Transmission Maintenance Standard to allow flexibility in inspection and maintenance practices while still requiring a description of certain specific inspection and maintenance practices.
 - a) TMIP Contents. The TMIP may be performance-based, time-based, conditional-based, or a combination of all three as may be appropriate. The TMIP shall:
 - Identify the facilities for which it is covering by listing the names of each transmission path and the quantities of each equipment component, such as; circuit breaker, relay scheme, transmission line;

- Include the scheduled interval (e.g., every two years) for any time-based maintenance activities and a description of conditions that will initiate any condition or performance-based activities;
 - Describe the maintenance, testing and inspection methods for each activity or component listed under Transmission Line Maintenance and Station Maintenance;
 - Provide any checklists or forms, or reports used for maintenance activities;
 - Provide criteria to be used to assess the condition of a transmission facility or component;
 - Specify condition assessment criteria and the requisite response to each condition as may be appropriate for each specific type of component or feature of the transmission facilities;
 - Include specific details regarding Transmission Line and Station Maintenance practices as per subsections (1) and (2) below.
 - 1) Transmission Line Maintenance Details. The TMIP shall, at a minimum, describe the Responsible Entity's practices for the following transmission line maintenance activities:
 - Patrol/Inspection;
 - Contamination Control (Insulator Washing)
 - 2) Station Maintenance Details. The TMIP shall describe the Responsible Entity's maintenance practices for the following station equipment:
 - Circuit Breakers
 - Power Transformers (including phase-shifting transformers)
 - Regulators
 - Protective Relay Systems and associated Communication Equipment
 - RAS Systems and associated Communication Equipment
 - Reactive Devices (including, but not limited to, Shunt Capacitors, Series Capacitors, Synchronous Condensers, Shunt Reactors, and Tertiary Reactors)
- (ii) Maintenance Record Keeping. Each Responsible Entity identified in Section A.4.1 must retain all pertinent maintenance and inspection records that support the TMIP according to the following guidelines:
- The Responsible Entity shall maintain records of all maintenance and inspection activities for at least five years.
 - Each Responsible Entity's maintenance and inspection records shall identify, at a minimum:
 - o The person(s) responsible for performing the work or inspection;
 - o The date(s) the work or inspection was performed;
 - o The transmission facility on which the work was performed, and
 - o A description of the inspection or maintenance performed.

The Transmission Owner or Operator shall maintain (and make available on request) records for maintenance or inspection pertaining to the items listed in subsections (a) and (b) below.

(a) Transmission Line Maintenance Records

- Patrol/Inspection
- Contamination Control (Insulator Washing)

(b) Station Maintenance Records

- Circuit Breakers
- Power Transformers
- Regulators
- Protective Relay Systems and associated Communication Equipment
- RAS Systems and associated Communication Equipment
- Reactive Devices

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard for three reasons: (1) FEUS' TMIP was dated February 11, 2008; thus, FEUS was in violation of this Standard until February 11, 2008 because it did not have a valid TMIP prior to this date; (2) not all of FEUS' work records listed the name of the person performing the work; and (3) this Standard requires that the TMIP address Protective Relay Systems and associated Communication Equipment, including batteries, and RAS Systems and associated Communication Equipment. In reviewing the evidence for FEUS' compliance with PRC-017-0, the Audit Team found that FEUS had self-reported a violation of that Standard because it failed to have testing procedures for batteries as well as a remedial action scheme.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard. FEUS owns and operates the 115 kV line from Glade Switch station north to the Colorado State Line. This line is within Path 31 listed in the Standard at Attachment A – Table 2. Thus, FEUS was responsible for fulfilling the requirements of this Standard with respect to this line. FEUS violated this Standard because its documentation and practices were deficient, as described in detail above.

Enforcement determined the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to June 10, 2008, when FEUS completed its Mitigation Plan.

PRC-017-0

The purpose of Reliability Standard PRC-017-0 is to ensure that all Special Protection Systems (SPS) are properly designed, meet performance requirements, and are coordinated with other protection systems and to ensure that maintenance and testing programs are developed and misoperations are analyzed and corrected.

PRC-017-0 R1

PRC-017-0 R1 requires the Transmission Owner, Generator Owner, and Distribution Provider, such as FEUS, that owns an SPS to have system maintenance and testing program(s) in place. The program(s) shall include:

R1.1 SPS identification shall include but is not limited to:

- R1.1.1 Relays.
- R1.1.2 Instrument transformers.
- R1.1.3 Communications systems, where appropriate.
- R1.1.4 Batteries.
- R1.2 Documentation of maintenance and testing intervals and their basis.
- R1.3 Summary of testing procedure.
- R1.4 Schedule for system testing.
- R1.5 Schedule for system maintenance.
- R1.6 Date last tested/maintained.

FEUS self-reported this violation on January 9, 2008. FEUS explained that it performed and documented testing and maintenance on its special protection system. However, FEUS stated that it did not have a summary procedure for battery testing as specified in R1.3 of the Standard. Specifically, FEUS did not have a summary procedure of checks and tests to determine the conditions of lead-acid and nickel-cadmium batteries used in substations, switching stations and generating plants. In addition, FEUS stated that it did not have a schedule for system maintenance as specified in R1.5.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because it did not have all system maintenance and testing programs required by the Standard.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to January 8, 2008, when FEUS completed its Mitigation Plan.

TOP-002-2

The purpose of Reliability Standard TOP-002-2 is to recognize that current operations plans and procedures are essential to being prepared for reliable operations, including response for unplanned events.

TOP-002-2 R4

TOP-002-2 R4 requires the Transmission Operator, such as FEUS, to coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.

FEUS self-reported this violation²² on June 15, 2007²³ because it did not coordinate its planning and operations with neighboring Balancing Authorities, Transmission Operators and the

²² The Self-Report document also identifies possible violations of TOP-002-2 R1 and R19. WECC dismissed these alleged violations on September 24, 2008.

²³ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

Reliability Coordinator. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because FEUS did not complete its Mitigation Plan.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because FEUS was not coordinating planning with necessary entities.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its Mitigation Plan.

TOP-002-2 R11

TOP-002-2 R11 requires a Transmission Operator, such as FEUS, to perform seasonal, next-day, and current-day BPS studies to determine System Operating Limits (SOLs). Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update these BPS studies as necessary to reflect current system conditions; and shall make the results of BPS studies available to the Transmission Operators, Balancing Authorities (subject to confidentiality requirements), and to its Reliability Coordinator.

FEUS self-reported this violation on June 15, 2007²⁴ because it was not running daily operating studies to determine system operating limits and was not providing this information to neighboring entities and the Reliability Coordinator. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because FEUS did not complete its first Mitigation Plan.

Enforcement reviewed the self-report and confirmed that FEUS had an alleged violation of this Standard because FEUS was not performing BPS studies to determine System Operating Limits and, thus, was not providing the results of such studies to the entities listed in the Standard.

Enforcement determined that the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its Mitigation Plan.

TOP-002-2 R14

TOP-002-2 R14 requires Generator Operators, such as FEUS, to, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including, but not limited to (R14.1) changes in real and reactive output capabilities;²⁵ (R14.2) changes in real output capabilities;²⁶ and (R14.2) Automatic Voltage Regulator status and mode setting.²⁷ TOP-002-2 R14 has a “Medium” VRF.

²⁴ The Settlement Agreement incorrectly states the self-report date as May 18, 2007. May 18, 2007 is the discovery date of the alleged violation.

²⁵ This sub-requirement was retired on August 1, 2007.

²⁶ This sub-requirement became effective on August 1, 2007.

²⁷ This sub-requirement was retired on August 1, 2007.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because it was not notifying the Balancing Authority, Western Area Power Administration (WAPA), of changes in the real output capabilities of generators. In an interview with the Audit Team, FEUS' system operations supervisor stated that FEUS does not provide this information to WAPA.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because it was not notifying WAPA of changes in the real output capabilities of generators.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to February 13, 2008, when FEUS completed its Mitigation Plan.

TOP-002-2 R17

TOP-002-2 R17 requires Balancing Authorities and Transmission Operators, such as FEUS, to, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.

During the Audit, the Audit Team determined that FEUS had a possible violation of this Standard because there was no evidence that FEUS was providing the information required by R1 through R16 of the Standard to the Reliability Coordinator. The Audit Team noted that because FEUS violated R4 and R11 of the Standard, FEUS could not provide the required information to the Reliability Coordinator.

Enforcement reviewed the audit findings and confirmed that FEUS had an alleged violation of this Standard because it was not providing the required information to the Reliability Coordinator.

Enforcement determined the duration of the violation period for this alleged violation was from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its Mitigation Plan.

WECC's Determination of Penalty

WECC's determination of penalties in an enforcement action is guided by the statutory requirement codified at 16 U.S.C. § 824o(e)(6) that any penalty imposed "shall bear a reasonable relation to the seriousness of the violation and shall take into consideration the efforts of such user, owner, or operator to remedy the violation in a timely manner." Additionally, WECC considers the guidance provided by the NERC Sanction Guidelines and by FERC in Order No. 693 and in its July 3, 2008 Guidance Order on Reliability Notices of Penalty.

WECC has assessed a penalty of forty thousand, two hundred fifty dollars (\$40,250) against FEUS for the alleged violations. In reaching this assessment, WECC in the determination of the appropriate penalty for FEUS' alleged violations of NERC Reliability Standards listed on the table following:

Reliability Std.	Req. (R)
COM-001-1	3
COM-001-1	5
COM-002-2	2
EOP-001-0	4
EOP-008-0	1
FAC-001-0	1
FAC-001-0	2
FAC-008-1	1
FAC-009-1	1
MOD-017-0	1
MOD-018-0	1
PRC-005-1	1
PRC-005-1	2
PRC-008-0	2
PRC-STD-005-1	WR1
PRC-017-0	1
TOP-002-2	4
TOP-002-2	11
TOP-002-2	14
TOP-002-2	17

WECC considered the seriousness of each violation and the VRFs noted above. In addition, WECC considered the following mitigating factors

- (1) these violations were the first assessed non-compliance with the applicable Reliability Standards;
- (2) FEUS self-reported eleven of the alleged violations;
- (3) FEUS was cooperative throughout the entire violation investigation, mitigation, and settlement processes;
- (4) based on the Compliance Program Audit Worksheet, WECC determined that FEUS demonstrated a commitment to compliance with a high-quality Internal Compliance Program (ICP);²⁸ and

²⁸ In particular, FEUS has created an Internal Compliance Program (ICP) oversight position that is supervised at a high level and has independent access to the CEO or Board of Directors. FEUS' ICP is operated and managed so as

- (5) WECC recognized that FEUS represents a relatively small generation and transmission system and has made a substantial commitment of financial and personnel resources, relative to its size to achieve and maintain compliance with the Reliability Standards.

As part of its decision in reaching an agreement with FEUS, WECC considered that there were no aggravating factors warranting a higher payment amount than the one agreed upon by the Parties. Specifically, FEUS did not have any negative compliance history or any evidence of an attempt by FEUS to conceal any of the violations. Finally, there was no evidence that FEUS' violations were intentional.

After consideration of these and the above factors, WECC determined that, in this instance, the aggregate penalty amount of forty thousand two hundred fifty dollars (\$40,250) bears a reasonable relation to the scope, seriousness and duration of the alleged violations. Furthermore, WECC determined that the penalty was appropriate based on FEUS' cooperation, commitment to compliance, and agreement to reconcile this issue via settlement.

Status of Mitigation Plans²⁹

Following is the status of Mitigation Plans submitted by FEUS to address the alleged violations:

COM-001-1 R3

FEUS' Mitigation Plan to address this alleged violation of COM-001-1 R3 was submitted to WECC on March 17, 2008.³⁰ The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0705 and was submitted as non-public information to FERC on September 4, 2008, in accordance with FERC orders.

This Mitigation Plan required FEUS to re-write its telecommunications procedures to reflect the requirements of the Standard. The Mitigation Plan also required that FEUS would test the re-written procedures and document the results.

On June 5, 2008, FEUS certified completion of the Mitigation Plan as of June 2, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of *Vital Primary and Secondary Telecommunications Systems Operations TS-001-1 Rev. 1 and Test Results* dated June 2, 2008. WECC SMEs and Enforcement evaluated FEUS' *Vital Primary and Secondary Telecommunications Systems Operations*. Enforcement confirmed that it sets forth a procedure for coordinating telecommunications. This procedure states that in the event of a failure of the Primary Communications path or method, the senior system operator, or other FEUS personnel realizing the failure, will notify the Relay Technician listed on the weekly callout posting and his or her Supervisor. The procedure provides for the Relay Technician to be responsible for

to be independent of those responsible for compliance with the Reliability Standards and the ICP has the support and participation of senior management. Finally, FEUS has dedicated sufficient staff and an adequate budget to its ICP.

²⁹ See 18 C.F.R § 39.7(d)(7).

³⁰ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

troubleshooting the problem equipment while the Supervisor notifies the corresponding facility, operator, or area of the failure of the Primary Communications.

On December 2, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated February 19, 2009 that it was in compliance with COM-001-1 R3.

COM-001-1 R5

FEUS' Mitigation Plan to address the alleged violation of COM-001-1 R5 was submitted to WECC on June 15, 2007 and accepted by WECC on October 31, 2007. The Mitigation Plan was subsequently revised on May 21, 2008, accepted by WECC on October 29, 2008 and approved by NERC on June 9, 2009. This Mitigation Plan was also designated MIT-07-1221 and was submitted as non-public information to FERC on June 9, 2009, in accordance with FERC orders.

This Mitigation Plan required FEUS to draft telecommunications procedures that enable continued operation of the system during the loss of telecommunications facilities.

On August 31, 2007, FEUS certified completion of this Mitigation Plan. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of its *Telecommunications Policy* and a summary of its *Telecommunications Procedures*.

On December 13, 2007, WECC SMEs reviewed FEUS' submitted evidence and determined FEUS had not completed its Mitigation Plan because the documents FEUS submitted did not verify that FEUS had 1) adequate operating instructions or 2) procedures to address continued operations during loss of telecommunications. FEUS had submitted a summary of its telecommunications procedures, but WECC SMEs concluded that FEUS needed to submit a copy of its actual telecommunications procedures to demonstrate compliance.

On May 21, 2008, FEUS submitted a revised Mitigation Plan to address this violation. This Mitigation Plan required FEUS to revise its telecommunications procedures to more adequately reflect the requirements of the Standard. The Mitigation Plan also required FEUS to test the procedures and document the results. Finally, the Mitigation Plan stated that FEUS would include the new telecommunications procedures in FEUS' Emergency Operations Procedures.

On June 6, 2008, FEUS certified completion of the Mitigation Plan as of June 2, 2008.³¹ To demonstrate completion of the revised Mitigation Plan, FEUS provided a copy of its *Vital Primary and Secondary Telecommunications Systems Operations TS-001-1 Revision 1 and Test Results*, dated June 6, 2008.

On December 2, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated January 28, 2009 that it was in compliance with COM-001-1 R5.

COM-002-2 R2

³¹ The Certification of Completion is incorrectly dated as June 5, 2008.

FEUS' Mitigation Plan to address its alleged violation of COM-002-2 R2 was submitted to WECC on March 17, 2008.³² The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0704 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to revise its *Switching Procedures and Guidelines Manual* to provide guidelines for concise and clear communications.

On June 6, 2008, FEUS certified completion of the Mitigation Plan as of June 5, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of its *Switching Procedures and Guidelines*. WECC SMEs reviewed FEUS' submitted evidence and verified the Mitigation Plan's completion. Enforcement also reviewed FEUS' submitted evidence and confirmed that it contained new provisions dealing with the communication of switching instructions and with placing a hot line tag. Enforcement confirmed that FEUS' procedures reflect the three step communications process required by the Standard.

On December 3, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated February 19, 2009 that it was in compliance with COM-002-2 R2.

EOP-001-0 R4

FEUS' Mitigation Plan to address its alleged violation of EOP-001-0 R4 was submitted to WECC on March 17, 2008.³³ The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0706 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to develop telecommunications procedures to comply with the requirements of the Standard, and it would test them. FEUS stated it would incorporate these telecommunications procedures as part of the revised Appendix J to the FEUS Emergency Operation Plan.

On June 13, 2008, FEUS certified completion of the Mitigation Plan as of April 15, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided its re-written telecommunications procedures in Appendix J of its Emergency Operation Plan. On August 27, 2008, WECC SMEs reviewed the Mitigation Plan, completed Mitigation Plan, and attached documentation, and verified FEUS' completion of the Mitigation Plan.

On August 27, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated September 30, 2008 that it was in compliance with EOP-001-0 R4.

³² The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

³³ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

EOP-008-0 R1

FEUS' Mitigation Plan to address its alleged violation of EOP-008-0 R1 was submitted to WECC on June 15, 2007. The Mitigation Plan was accepted by WECC on November 7, 2007. On April 29, 2008 and November 21, 2008, FEUS submitted revised Mitigation Plans, both of which indicated it was complete. WECC accepted the November 21, 2008 Mitigation Plan on November 24, 2008 and it was approved by NERC on June 25, 2009. The Mitigation Plan for this alleged violation is designated as MIT-07-1783 and was submitted as non-public information to FERC on June 30, 2009, in accordance with FERC orders.

This Mitigation Plan stated that FEUS would develop, test, and implement a plan for loss of control center functionality. The Mitigation Plan had an estimated completion date of December 31, 2007. On January 11, 2008, FEUS submitted a request for extension of time for the Mitigation Plan. WECC rejected FEUS' request for an extension to time because the NERC Uniform Compliance and Enforcement Program (CMEP) requires such requests to be submitted before the completion date passes.

On April 29, 2008, FEUS submitted a revised Mitigation Plan, indicated as complete. To demonstrate completion of this Mitigation Plan, FEUS provided a copy of its revised procedure for loss of its control center dated March 24, 2008. WECC rejected FEUS' completed Mitigation Plan because the plan was deficient. It did not contain a provision for periodic testing of the backup site and it lacked procedures and responsibilities for annual training of the FEUS operations personnel on loss of control center functionality. Finally, the procedure did not have an annual update requirement.

On November 21, 2008, as discussed above, FEUS submitted another revised Mitigation Plan, also indicated as complete.

On November 19, 2008, prior to submitting its revised Mitigation Plan, FEUS certified completion of the Mitigation Plan as of November 18, 2008. To demonstrate completion of its new Mitigation Plan, FEUS provided a copy of its *FEUS System Operations Loss of Control Center_Rev3.doc* containing updated information describing periodic testing of the backup control center, training on the backup control center, and the schedule for updates to the procedure.

On November 24, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated December 1, 2009 that it was in compliance with EOP-008-0 R1.

FAC-001-0 R1 and R2

FEUS' Mitigation Plan to address its alleged violation of FAC-001-0 R1 and R2 was submitted to WECC on June 15, 2007. The Mitigation Plan was accepted by WECC on November 1, 2007 and approved by NERC on June 9, 2009. The Mitigation Plan for this alleged violation is designated as MIT-07-1047 and was submitted as non-public information to FERC on June 9, 2009 in accordance with FERC orders.

This Mitigation Plan required FEUS to revise its facility connection policy and procedure to include all of the sub-requirements of the Standard.

On August 31, 2007, FEUS certified completion of this Mitigation Plan. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of a document titled *New Facilities Requirements and Coordination*. WECC reviewed this document and determined that FEUS had not demonstrated completion of the Mitigation Plan because the above-referenced document only referred to FEUS' new facility connection requirements and did not actually provide the new facility connection requirements to WECC for review. Thus, WECC could not verify whether the new facility connection requirements were adequate or whether FEUS had completed them. Also, FEUS' documentation stated that the new facility connection requirements were still going through an approval process at the Farmington City Council. Thus, FEUS' new facility connection requirements were not in effect as of the completion date of the Mitigation Plan. For these reasons, WECC SMEs determined that FEUS had not completed its Mitigation Plan.

Subsequently, at the Audit, FEUS provided WECC a copy of its revised interconnection policy titled, *Rule and Regulation No. 21 – Interconnection, Relaying, and Metering Standards for Co-Generators and Small Power Producers, Revision 3, February, 2008*. The Audit Team reviewed these procedures and verified that they met all of the requirements of the Standard. The Audit Team determined that FEUS was in compliance with the Standard and that FEUS had completed the Mitigation Plan.

On February 15, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated March 14, 2008³⁴ that it was in compliance with FAC-001-0 R1 and R2.

FAC-008-1 R1

FEUS' Mitigation Plan to address its alleged violation of FAC-008-1 R1 was submitted to WECC on June 15, 2007.³⁵ The Mitigation Plan was accepted by WECC on November 1, 2007 and approved by NERC on June 9, 2009. The Mitigation Plan for this alleged violation is designated as MIT-07-1049 and was submitted as non-public information to FERC on June 9, 2009 in accordance with FERC orders.

This Mitigation Plan required FEUS to develop procedures and perform tests to establish a Facility Ratings Methodology that meets the requirements of the Standard.

On August 31, 2007, FEUS certified completion of this Mitigation Plan. To demonstrate completion of this Mitigation Plan, FEUS provided a copy of its *Facility Ratings Methodology* dated August 31, 2007. On February 4, 2008, WECC determined that FEUS had not completed

³⁴ The verification letter says the evidence was insufficient because there was a possible violation for some fraction of the audit period; however, the audit team confirmed that the entity was compliant as of the time of the audit. Because the mitigation plans were not confirmed completed through the normal process, they never received a formal verification of completion letter. This is something that WECC has corrected in its processes.

³⁵ The Mitigation Plan incorrectly states that it was submitted on June 18, 2007.

the Mitigation Plan because the documentation FEUS provided did not contain a provision for the Facility Rating to equal the most limiting applicable Equipment Rating of the individual equipment that comprises a Facility. Also, the methodology described in FEUS' documentation lacked a discussion of the use of ratings supplied by the manufacturer, design criteria, ambient conditions, operating limitations, and other assumptions. Finally, FEUS' documentation failed to describe the method by which FEUS rates each BPS component (transmission conductors, protective devices, terminal equipment, series and shunt capacitors, *etc.*) that comprises a facility.

Subsequently, at the Compliance Audit, FEUS provided the Audit Team with a copy of its *Facility Rating Methodology, Revision 3*, dated January 29, 2008. The Audit Team confirmed that this Facility Ratings Methodology met the requirements of the Standard.

On February 15, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated March 14, 2008³⁶ that it was in compliance with FAC-008-1 R1.

FAC-009-1 R1

FEUS' Mitigation Plan to address its alleged violation of FAC-009-1 R1 was submitted to WECC on June 15, 2007.³⁷ The Mitigation Plan was accepted by WECC on November 1, 2007 and approved by NERC on June 9, 2009. The Mitigation Plan for this alleged violation is designated as MIT-07-1050 and was submitted as non-public information to FERC on June 9, 2009 in accordance with FERC orders.

This Mitigation Plan stated that FEUS would establish a Facility Ratings Methodology as required by FAC-008-1, and then demonstrate that it was following this methodology and establish facility ratings. The Mitigation Plan also stated that FEUS would establish rules, audit procedures and data retention requirements per the compliance instructions of this Standard.

On August 31, 2007,³⁸ FEUS certified completion of this Mitigation Plan. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of its procedures titled, *Establish and Communicate Facility Ratings*. WECC SMEs reviewed the Mitigation Plan, completed Mitigation Plan and attached documentation, and determined that FEUS had not completed its Mitigation Plan because the documentation FEUS submitted did not demonstrate that FEUS had established ratings consistent with its Facility Ratings Methodology. The documentation submitted by FEUS outlined policy and procedure, but did not demonstrate that FEUS established ratings according to the methodology.

³⁶ The verification letter says the evidence was insufficient because there was a possible violation for some fraction of the audit period; however, the audit team confirmed that the entity was compliant as of the time of the audit. Because the mitigation plans were not confirmed completed through the normal process, they never received a formal verification of completion letter. This is something that WECC has corrected in its processes.

³⁷ The Mitigation Plan incorrectly states that it was submitted on June 18, 2007.

³⁸ The Settlement Agreement incorrectly states that the Certification of Completion was submitted on August 30, 2007.

Subsequently, at the Compliance Audit, FEUS provided the Audit Team with documentation demonstrating compliance with this Standard. For FEUS' generation facilities, the Audit Team reviewed a sample of weekly generator test reports indicating that FEUS is following its own Facilities Ratings Methodology. The Audit Team also reviewed the FEUS *Transmission System One Line Diagram* and confirmed that FEUS is following its own Facilities Ratings Methodology for BPS elements. Finally, the Audit Team found that FEUS tests and rerates thermal plants every week. The Audit Team determined that FEUS had provided sufficient information to confirm compliance with the Standard.

On February 15, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated March 14, 2008³⁹ that it was in compliance with FAC-009-1 R1.

MOD-017-0 R1

FEUS' Mitigation Plan to address its alleged violation of MOD-017-0 R1 was submitted to WECC on June 15, 2007. WECC accepted the Mitigation Plan on September 21, 2007. As discussed below, FEUS submitted a revised Mitigation Plan on September 9, 2008. This revised Mitigation Plan was accepted by WECC on September 22, 2008 and approved by NERC on October 27, 2008. The Mitigation Plan for this alleged violation is designated as MIT-07-1051 and was submitted as non-public information to FERC on October 27, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to develop a plan to demonstrate reporting in accordance with the Standard. This Mitigation Plan had an expected completion date of September 18, 2007.

On October 15, 2007, FEUS certified completion of this Mitigation Plan as of September 18, 2007. To demonstrate completion of its Mitigation Plan, FEUS provided copies of a plan covering prior year integrated hourly information, forecast demands for the next two years and long-term forecasts. WECC reviewed FEUS' documentation and determined that the documentation did not confirm FEUS' compliance with R1.1, hourly demands, and R1.2, annual summer and winter peaks.

During the Audit, the Audit Team reviewed FEUS' evidence of compliance with this Standard. The Audit Team evaluated FEUS' documentation of *WALC Peak Data (MW) – Aggregated Demands, Resources, Outages and Transfers* at time of peak by year and month, February 13, 2008, *Monthly System Summary*, July 10, 2007 and July 18, 2007, and *Farmington Peaks* for the month of: January, March, May, July, September and November. The Audit Team found that this documentation was sufficient to demonstrate FEUS' compliance with this Standard.

³⁹ The verification letter says the evidence was insufficient because there was a possible violation for some fraction of the audit period; however, the audit team confirmed that the entity was compliant as of the time of the audit. Because the mitigation plans were not confirmed completed through the normal process, they never received a formal verification of completion letter. This is something that WECC has corrected in its processes.

Following the Audit Team's finding of compliance, on September 9, 2008, FEUS submitted a revised Mitigation Plan and a certification of its completion.^{40,41}

On February 15, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated January 28, 2009 that it was in compliance with MOD-017-0 R1.

MOD-018-0 R1

FEUS' Mitigation Plan to address its alleged violation of MOD-018-0 R1 was submitted to WECC on June 15, 2007. The Mitigation Plan was revised on May 21, 2008 as discussed below and accepted by WECC on October 30, 2008 and approved by NERC on June 5, 2009. The Mitigation Plan for this alleged violation is designated as MIT-08-1299 and was submitted as non-public information to FERC on June 5, 2009 in accordance with FERC orders.

This Mitigation Plan required FEUS to develop a plan to address sub-requirement 1.2 of the Standard which addresses how assumptions, methods and the manner in which uncertainties are treated in the forecasts of aggregated peak demand and Net Energy for Load. The Mitigation Plan also stated that FEUS would keep records of providing the required information. This Mitigation Plan had an expected completion date of September 18, 2007.

On September 18, 2007, FEUS certified completion of this Mitigation Plan. To demonstrate completion of the Mitigation Plan, FEUS provided documentation that FEUS "trues up" its forecasts of aggregated peak demands and Net Energy for Load on a monthly basis and that it sends its Balancing Authority a monthly summary of load, generation and energy schedules. WECC reviewed this completion documentation and determined that it was not sufficient to demonstrate FEUS' compliance with the Standard because the documentation did not constitute a procedure as required by the Mitigation Plan. Also, it did not adequately address sub-requirement 1.2.

On May 21, 2008, FEUS submitted a revised Mitigation Plan to address this violation. This Mitigation Plan stated that FEUS would delineate the requirements of R1.2 (assumptions, methods and the manner in which uncertainties are treated in the forecasts of aggregated peak demand and Net Energy for Load) in a stand-alone document. This Mitigation Plan had an expected completion date of June 30, 2008.

FEUS certified completion of this Mitigation Plan on June 30, 2008. To demonstrate completion, FEUS provided a copy of *Forecasting of Aggregated Peak Demands and Net Energy for Loads*.

⁴⁰ FEUS' certification document dated September 9, 2008 incorrectly contains the original Mitigation Plan completion date of September 18, 2007.

⁴¹ By the time the revised documents were submitted, WECC had already found the entity compliant at the audit.

On October 30, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated November 7, 2008 that it was in compliance with MOD-018-0 R1.

PRC-005-1 R1

FEUS' Mitigation Plan to address its alleged violation of PRC-005-1 R1 was submitted to WECC on March 17, 2008.⁴² The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0709 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to modify its maintenance and testing program to include all protection systems that are subject to the Standard. In addition, FEUS modified its program to summarize its maintenance and testing procedures and to address all maintenance and testing intervals and their basis.

On June 13, 2008, FEUS certified completion of the Mitigation Plan as of June 10, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of its *Revised Transmission and Generation Protection System Maintenance and Testing Procedure* and a sample of test data. On September 29, 2008, WECC SMEs reviewed the Mitigation Plan, completed Mitigation Plan and attached documentation, and verified completion of the Mitigation Plan. WECC Enforcement also reviewed FEUS' Mitigation Plan documentation and confirmed that the new maintenance and testing procedures apply to all FEUS BPS equipment (100 kV or greater operating voltage). The procedures also apply to generator protection, frequency and voltage load shedding schemes, and special protection or remedial action schemes. They contain a testing interval of four years for all relays and a basis for this interval.

On September 29, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated October 7, 2008 that it was in compliance with COM-001-1 R3.

PRC-005-1 R2

FEUS' Mitigation Plan to address its alleged violation of PRC-005-1 R2 was submitted to WECC on March 17, 2008.⁴³ The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0710 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to rewrite its relay maintenance and testing program to include summarized test results of the protection system maintenance and testing and all protective relays with maintenance dates outside the four year intervals would be tested during the Mitigation Plan completion period.

⁴² The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

⁴³ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

On May 21, 2008, FEUS submitted a request to extend the expected completion date of this Mitigation Plan. On June 5, 2008, WECC agreed to extend the Mitigation Plan completion date to April 9, 2009. FEUS submitted progress updates regarding the testing and maintenance of relays to WECC on a regular basis. FEUS submitted the most recent of these updates to WECC on December 29, 2008. In this update, FEUS stated that it had tested and maintained 75 percent of the relays with missing records.

On March 31, 2009, FEUS certified that it had completed this Mitigation Plan as of March 30, 2009. To demonstrate completion, FEUS provided WECC with a spreadsheet titled *Farmington Electric Utility 115 kV Lines* that contained the date that FEUS last tested each relay.

On May 2, 2009, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated May 7, 2009 that it was in compliance with PRC-005-1 R2.

PRC-008-0 R2

FEUS' Mitigation Plan to address its alleged violation of PRC-008-0 R2 was submitted to WECC on March 14, 2008. The Mitigation Plan was accepted by WECC on April 9, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0712 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to accelerate its relay testing to include the 16 UFLS relays that were missing the date last tested at the time of the audit.

On May 21, 2008, FEUS certified completion of the Mitigation Plan as of that same day. To demonstrate completion of the Mitigation Plan, FEUS provided an updated spreadsheet, *FREQ2007-8 Relay Settings and Test Summary.xls*, showing the date it tested and maintained each of its relays.

On September 13, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated September 30, 2008 that it was in compliance with PRC-008-0 R2.

PRC-STD-005-1 WR1

FEUS' Mitigation Plan to address its alleged violation of PRC-STD-005-1 WR1 was submitted to WECC on March 17, 2008.⁴⁴ The Mitigation Plan was accepted by WECC on April 11, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0711 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan stated that FEUS would review and updated its TMIP. In addition, the Mitigation Plan stated that the responsible personnel would endorse all test data.

⁴⁴ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

On June 13, 2008, FEUS certified completion of the Mitigation Plan as of June 10, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided a revised TMIP and a sample of test data with the necessary signatures.

On June 13, 2008, after WECC's review of FEUS' submitted evidence, WECC September 30, 2008 that it was in compliance with PRC-STD-005-1 WR1.

PRC-017-0 R1

FEUS' Mitigation Plan to address its alleged violation of PRC-017-0 R1 was submitted to WECC on January 9, 2008.⁴⁵ The Mitigation Plan was accepted by WECC on February 5, 2008 and approved by NERC on July 1, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0590 and was submitted as non-public information to FERC on July 3, 2008 in accordance with FERC orders.

This Mitigation Plan stated that FEUS would develop procedures dealing with station battery testing, including a summary of regular checks, testing and maintenance. The Mitigation Plan also required FEUS to develop procedures for its remedial action scheme, including a schedule for system maintenance. These procedures would be made available to the field operators.

On January 8, 2008,⁴⁶ FEUS certified completion of this Mitigation Plan as of that same day. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of *Maintenance Schedule and Battery Test Summary*. On February 4, 2008, WECC SMEs reviewed FEUS' submitted evidence and verified completion of the Mitigation Plan. Enforcement also reviewed the *Maintenance Schedule and Battery Test Summary* and confirmed that the document provides a summary of procedures for the monthly and annual testing of batteries.

On February 4, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated March 14, 2008⁴⁷ that it was in compliance with PRC-017-0 R1.

TOP-002-2 R4 and R11

FEUS' Mitigation Plan to address its alleged violation of TOP-002-2 R4 and R11 was submitted to WECC on June 15, 2007. The Mitigation Plan was accepted by WECC on November 1, 2007. The Mitigation Plan was revised on May 28, 2008, accepted by WECC September 5, 2008 and

⁴⁵ The Settlement Agreement incorrectly states that the Mitigation Plan is dated January 11, 2008.

⁴⁶ The Settlement Agreement incorrectly states that the Certification of Completion is dated January 11, 2008.

⁴⁷ The verification letter says the evidence was insufficient because there was a possible violation for some fraction of the audit period; however, the audit team confirmed that the entity was compliant as of the time of the audit. Because the mitigation plans were not confirmed completed through the normal process, they never received a formal verification of completion letter. This is something that WECC has corrected in its processes.

approved by NERC on October 27, 2008.⁴⁸ The Mitigation Plan for these alleged violations is designated as MIT-07-1052 and was submitted as non-public information to FERC on October 27, 2008 in accordance with FERC orders.

This Mitigation Plan required FEUS to develop procedures and hire and train appropriate personnel to coordinate planning and operations as required by the Standard.

On August 31, 2007, FEUS certified completion of the Mitigation Plan. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of a procedure dealing with normal operations planning.

On February 5, 2008, WECC SMEs reviewed FEUS' certification of completion and determined that FEUS had not completed its Mitigation Plan because the plan called for FEUS to hire a planning engineer in order to comply with the Standard and FEUS did not provide any evidence that it had hired such a person. In addition, the procedure stated that FEUS performs the required studies and that FEUS coordinated its planning and operations with other entities, but FEUS did not provide WECC with any evidence that it actually did so.

On May 28, 2008, FEUS submitted a revised Mitigation Plan to address this violation. This Mitigation Plan stated that FEUS needed to evaluate the best method of complying with the Standard and decide whether to hire employees to run studies, contract with consultants, or purchase computer software. The Mitigation Plan represented that, once FEUS made a decision regarding the best method for compliance, FEUS would implement it and train its personnel. To comply with the Standard and demonstrate completion of the Mitigation Plan, FEUS decided to purchase software. FEUS purchased the software, conducted the necessary studies and e-mailed the results of the studies to its neighboring entities and the Reliability Coordinator.

FEUS certified completion of the Mitigation Plan on December 15, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided the following evidence: a current day and next day study that FEUS e-mailed to necessary entities; a screen shot of a contingency analysis page; a screen shot of a state estimator page; a screen shot of OPENNET menu page; a screen shot of a real time sequencing page; a screen shot of an operator study mode; and a screen shot of a violations menu page.

On December 17, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated February 19, 2009 that it was in compliance with TOP-002-2 R4 and R11.

TOP-002-2 R14

FEUS' Mitigation Plan to address its alleged violation of TOP-002-2 R14 was submitted to WECC on March 17, 2008.⁴⁹ The Mitigation Plan was accepted by WECC on April 11, 2008 and approved by NERC on June 5, 2009. The Mitigation Plan for this alleged violation is

⁴⁸ The Settlement Agreement incorrectly states that NERC approved the Mitigation Plan on October 17, 2008.

⁴⁹ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

designated as MIT-08-0825 and was submitted as non-public information to FERC on June 5, 2009 in accordance with FERC orders.

This Mitigation Plan stated that FEUS would modify its procedures to provide for the communication of changes in the real output capabilities of generators to WAPA.

On March 17, 2008, FEUS certified completion of this Mitigation Plan as of February 13, 2008. To demonstrate completion of the Mitigation Plan, FEUS provided a copy of a memorandum written by its System Operations Supervisor instructing FEUS system operators to inform WAPA of all changes in real output capabilities. The memorandum includes instructions and procedures for the reports to WAPA. On December 2, 2008, WECC SMEs reviewed the Mitigation Plan, completed Mitigation Plan, and attached documentation, and verified FEUS' completion of the Mitigation Plan.

On December 2, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated February 19, 2009 that it was in compliance with TOP-002-2 R14.

TOP-002-2 R17

FEUS' Mitigation Plan⁵⁰ to address its alleged violation of TOP-002-2 R17 was submitted to WECC on March 17, 2008.⁵¹ The Mitigation Plan was accepted by WECC on April 10, 2008 and approved by NERC on September 4, 2008. The Mitigation Plan for this alleged violation is designated as MIT-08-0713 and was submitted as non-public information to FERC on September 4, 2008 in accordance with FERC orders.

This Mitigation Plan stated that FEUS would complete a Mitigation Plan for its violations of TOP-002-2 R4 and R11 and provide the necessary information to the Reliability Coordinator. To complete the R4 and R11 Mitigation Plan, FEUS stated that it needed to evaluate the best method of complying with the Standard for such activities as hiring employees to run studies, contracting with consultants, or purchasing computer software. FEUS explained that once it made a decision concerning these options, it would implement the plan and train its personnel.

On December 15, 2008, FEUS certified completion of its Mitigation Plan as of that same day. To comply with R4 and R11, FEUS decided to purchase software that it could use to perform the necessary studies. To demonstrate completion of the Mitigation Plan, FEUS provided the following evidence: a current day and next day study that FEUS e-mailed to necessary entities; a screen shot of a contingency analysis page; a screen shot of a state estimator page; a screen shot of OPENNET menu page; a screen shot of a real time sequencing page; a screen shot of an operator study mode; and a screen shot of a violations menu page.

⁵⁰ FEUS' Mitigation Plan also addresses TOP-002-2 R3. WECC dismissed the R3 alleged violation on February 13, 2009.

⁵¹ The Settlement Agreement incorrectly states the Mitigation Plan was submitted on March 14, 2008.

On December 17, 2008, after WECC's review of FEUS' submitted evidence, WECC verified that the Mitigation Plan was completed and notified FEUS in a letter dated February 19, 2009 that it was in compliance with TOP-002-2 R17.

FEUS Efforts Beyond Immediate Mitigation

As part of the Settlement Agreement, FEUS initiated efforts beyond its immediate mitigation of the alleged violations in order to prevent recurrence. In addition to the actions specifically included in each of the Mitigation Plans relating to the alleged violations addressed herein, FEUS has created: an ICP oversight position. FEUS' ICP oversight position is supervised at a high level and has independent access to the CEO or Board of Directors. Further; the ICP is operated and managed so as to be independent of those responsible for compliance with the Reliability Standards and FEUS has dedicated sufficient staff and an adequate budget to its ICP.

Statement Describing the Proposed Penalty, Sanction or Enforcement Action Imposed⁵²

Basis for Determination

Taking into consideration the Commission's direction in Order No. 693, the NERC Sanction Guidelines and the Commission's July 3, 2008 Guidance Order,⁵³ the NERC BOTCC reviewed the Settlement Agreement and supporting documentation on December 9, 2009. The NERC BOTCC approved the Settlement Agreement, including WECC's imposition of a financial penalty, assessing a penalty forty thousand two hundred fifty dollars (\$40,250) against FEUS and other actions to facilitate future compliance required under the terms and conditions of the Settlement Agreement. In approving the Settlement Agreement, the NERC BOTCC reviewed the applicable requirements of the Commission-approved Reliability Standards and the underlying facts and circumstances of the alleged violations at issue.

In reaching this determination, the NERC BOTCC considered the following factors:

1. these violations were the first assessed non-compliance with the applicable Reliability Standards;
2. FEUS has an additional alleged violation of PRC-017 R1, specifically R1.6, which is being concurrently submitted for BOTCC approval;
3. FEUS self-reported eleven of the alleged violations;
4. WECC reported that FEUS was cooperative throughout the entire process;
5. WECC reported that FEUS demonstrated a commitment to compliance with a high-quality ICP as discussed above; and
6. WECC recognized that FEUS represents a relatively small generation and transmission system, as discussed above, and has made a substantial commitment of financial and personnel resources, relative to its size, to achieve and maintain compliance with the Reliability Standards.

⁵² See 18 C.F.R. § 39.7(d)(4).

⁵³ *North American Electric Reliability Corporation*, "Guidance Order on Reliability Notices of Penalty," 124 FERC ¶ 61,015 (2008).

For the foregoing reasons, the NERC BOTCC approves the Settlement Agreement and believes that the proposed penalty of forty thousand two hundred fifty dollars (\$40,250) is appropriate for the violations and circumstances in question, and is consistent with NERC's goal to promote and ensure reliability of the bulk power system.

Pursuant to Order No. 693, the penalty will be effective upon expiration of the 30 day period following the filing of this Notice of Penalty with FERC, or, if FERC decides to review the penalty, upon final determination by FERC.

Attachments to be included as Part of this Notice of Penalty

The attachments to be included as part of this Notice of Penalty are the following documents:

- a) FEUS' Self Reports for COM-001-1 R5, EOP-008-0 R1, FAC-001-0 R1 and R2, FAC-008-1 R1, FAC-009-1 R1, MOD-017-0 R1, MOD-018-0 R1, PRC-017-0 R1, and TOP-002-2 R4 and R11 dated June 15, 2007, included as Attachment a;
- b) WECC Audit Report, Public Version Screen Shots, for COM-001-1 R3, COM-002-2 R2, EOP-001-0 R4, PRC-005-1 R1 and R2, PRC-008-0 R2, PRC-STD-005-1 WR1, and TOP-002-2 R14 and R17 showing a deemed date of February 15, 2008, included as Attachment b;
- c) Settlement Agreement by and between FEUS and WECC executed July 16, 2009, included as Attachment c;
- d) FEUS' Mitigation Plans for COM-001-1 R3 submitted March 17, 2008, COM-001-1 R5 submitted May 21, 2008, COM-002-2 R2 submitted March 17, 2008, EOP-001-0 R4 submitted March 17, 2008, EOP-008-0 R1 dated November 19, 2008 and submitted November 21, 2008, FAC-001-0 R1 and R2 submitted June 15, 2007, FAC-008-1 R1 submitted June 15, 2007, FAC-009-1 R1 submitted June 15, 2007, MOD-017-0 R1 submitted September 9, 2008, MOD-018-0 R1 submitted May 21, 2008, PRC-005-1 R1 submitted March 17, 2008, PRC-005-1 R2 submitted March 17, 2008, PRC-008-0 R2 submitted March 14, 2008, PRC-STD-005-1 WRI submitted March 17, 2008, PRC-017-0 R1 submitted January 9, 2008, TOP-002-2 R4 and R11 submitted May 28, 2008, TOP-002-2 R14 submitted March 17, 2008 and Certification of Completion therein, and TOP-002-2 R17 submitted March 17, 2008, included as Attachment d;
- e) FEUS' Certifications of Completion of the Mitigation Plans for COM-001-1 R3 dated June 5, 2008, COM-001-1 R5 dated June 5, 2008, COM-002-2 R2 dated June 6, 2008, EOP-001-0 R4 dated June 13, 2008, EOP-008-0 R1 dated November 19, 2008, FAC-001-0 R1 and R2 dated August 31, 2007, FAC-008-1 R1 dated August 31, 2007, FAC-009-1 R1 dated August 31, 2007, MOD-017-0 R1 dated September 9, 2008, MOD-018-0 R1 dated June 30, 2008, PRC-005-1 R1 dated June 13, 2008, PRC-005-1 R2 dated March 31, 2009, PRC-008-0 R2 dated May 21, 2008, PRC-STD-005-1 WRI dated June 13, 2008, PRC-017-0 R1 dated

January 8, 2008, and TOP-002-2 R4, R11 and R17 dated December 15, 2008, included as Attachment e; and

- f) WECC's Verifications of Completion of the Mitigation Plans for COM-001-1 R3 dated February 19, 2009, COM-001-1 R5 dated January 28, 2009, COM-002-2 R2 dated February 19, 2009, EOP-001-0 R4, PRC-008-0 R2 and PRC-STD-005-1 dated September 30, 2008, EOP-008-0 R1 dated December 1, 2008, FAC-001-0 R1 and R2, FAC-008-1 R1, FAC-009-1 R1 and PRC-017-0 R1 dated March 14, 2008, MOD-017-0 R1 dated January 28, 2009, MOD-018-0 R1 dated November 7, 2008, PRC-005-1 R1 dated October 7, 2008, PRC-005-1 R2 dated May 7, 2009, TOP-002-2 R4, R11 and R17 dated February 19, 2009, and TOP-002-2 R14 dated February 19, 2009, included as Attachment f.

A Form of Notice Suitable for Publication⁵⁴

A copy of a notice suitable for publication is included in Attachment g.

⁵⁴ See 18 C.F.R § 39.7(d)(6).

Notices and Communications

Notices and communications with respect to this filing may be addressed to the following:

<p>Gerald W. Cauley* President and Chief Executive Officer David N. Cook* Vice President and General Counsel North American Electric Reliability Corporation 116-390 Village Boulevard Princeton, N.J. 08540-5721 (609) 452-8060 (609) 452-9550 – facsimile gerry.cauley@nerc.net david.cook@nerc.net</p> <p>Farmington Electric Utility System 101 North Browning Parkway Farmington, NM 87401 (505) 599-8323 – facsimile</p> <p>Linda Jacobson* Compliance Officer (505) 599-1163 ljacobson@fmtn.org</p> <p>Maude Grantham-Richards* Electric Utility Director (505) 599-1165 MaudeGR@fmtn.org</p> <p>*Persons to be included on the Commission's service list are indicated with an asterisk. NERC requests waiver of the Commission's rules and regulations to permit the inclusion of more than two people on the service list.</p>	<p>Rebecca J. Michael* Assistant General Counsel Holly A. Hawkins* Attorney North American Electric Reliability Corporation 1120 G Street, N.W. Suite 990 Washington, D.C. 20005-3801 (202) 393-3998 (202) 393-3955 – facsimile rebecca.michael@nerc.net holly.hawkins@nerc.net</p> <p>Western Electricity Coordinating Council 615 Arapeen Drive, Suite 210 Salt Lake City, UT 84108-1262 (801)-582-0353 (801) 883-6894 – facsimile</p> <p>Louise McCarren* Chief Executive Officer (801) 883-6868 (801) 582-3918 – facsimile Louise@wecc.biz</p> <p>Steven Goodwill* Associate General Counsel (801) 883-6857 SGoodwill@wecc.biz</p> <p>Constance White* Vice President of Compliance (801) 883-6885 CWhite@wecc.biz</p> <p>Christopher Luras* Manager of Compliance Enforcement (801) 883-6887 CLuras@wecc.biz</p>
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Conclusion

NERC respectfully requests that the Commission accept this Notice of Penalty as compliant with its rules, regulations and orders.

Respectfully submitted,

Gerald W. Cauley
President and Chief Executive Officer
David N. Cook
Vice President and General Counsel
North American Electric Reliability Corporation
116-390 Village Boulevard
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/s/ Rebecca J. Michael
Rebecca J. Michael
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rebecca.michael@nerc.net
holly.hawkins@nerc.net

cc: Farmington Electric Utility System
Western Electricity Coordinating Council

Attachments

Attachment a

FEUS' Self Reports for COM-001-1 R5, EOP-008-0 R1, FAC-001-0 R1 and R2, FAC-008-1 R1, FAC-009-1 R1, MOD-017-0 R1, MOD-018-0 R1, PRC-017-0 R1, and TOP-002-2 R4 and R11 dated June 15, 2007



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505-599-1165

Contact email: maude@fmrn.org

Date noncompliance was discovered: 5-18-07

Date noncompliance was reported: 6-15-07

Standard Title: Communications and Coordination

Standard Number: COM-001-1

Requirement Number(s)¹: **R5**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

Describe the reliability impact of this non-compliance:

Expected date of Mitigation Plan submittal:

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Plans for Loss of Control Center Functionality

Standard Number: EOP-008-0

Requirement Number(s)¹: R1

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

In reviewing standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS does not have a clearly defined plan in case of the loss of its control center. All information relating to our tie lines, generation, interchange schedules, and load is provided to our BA. Paper schedules are in place to monitor and record tie lines, generation, interchange schedules, and load by hand on an hourly basis.

Describe the reliability impact of this non-compliance:

Minimal

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Facility Connection Requirements

Standard Number: FAC-001-0

Requirement Number(s)¹: **R1, R2**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Review of standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS has an interconnection policy approved by our PUC and City Council but has not incorporated many of the requirements included in the NERC standard.

Describe the reliability impact of this non-compliance:

Minimal

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Facility Ratings Methodology

Standard Number: FAC-008-1

Requirement Number(s)¹: **R1, R2, R3**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

In reviewing standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS has an established methodology for determination of facility ratings but has not documented the procedure as required by the standard.

Describe the reliability impact of this non-compliance:

Low risk

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Establish and Communicate Facility Ratings

Standard Number: FAC-009-1

Requirement Number(s)¹: **R1, R2**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

In reviewing standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

Since FEUS does not meet the requirements of FAC-008-1, it also does not meet the requirements of this standard. Transmission and Generation are owned by the same entity and as such, ratings of associated facilities are common knowledge. Procedures and self certification as required by the standard are not in place at this time.

Describe the reliability impact of this non-compliance:

Low risk

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Aggregated Actual and Forecast Demands and Net Energy for Load

Standard Number: MOD 017-0

Requirement Number(s)¹: R1

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

In reviewing standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS compiles this data but has no documentation demonstrating they provide it to the entities listed in the standard.

Describe the reliability impact of this non-compliance:

Minimal

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Reports of Actual and Forecast Demand Data

Standard Number: MOD-018-0

Requirement Number(s)¹: R1

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

In reviewing standards applicable to FEUS and preparing a mitigation plan for WECC.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS compiles this data but has no documentation that addresses assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load

Describe the reliability impact of this non-compliance:

Minimal

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 01/08/08

Date noncompliance was reported: 01/09/08

Standard Title: Special Protection System Maintenance and Testing

Standard Number: NERC PRC-017-0

Requirement Number(s)¹: **R1.3 and R1.5**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-evaluation

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

During self-evaluation for annual self-certification, we found that we did not write a summary procedure for battery testing, nor did we write a schedule for system maintenance.

Describe the reliability impact of this non-compliance:

Low risk

Expected date of Mitigation Plan submittal: Attached

¹ Violations are reported at the level of requirements, sub requirements are not necessary.



Compliance Violation Self-Reporting Form

Please complete an **individual** Self-Reporting Form for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

Registered Entity Name: FEUS

Contact Name: Maude Grantham-Richards

Contact Phone: 505.599.1165

Contact email: maudegr@fmtn.org

Date noncompliance was discovered: 05/18/07

Date noncompliance was reported: 06/15/07

Standard Title: Normal Operations Planning

Standard Number: TOP-002-2

Requirement Number(s)¹: **R1, R4, R11, R19**

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Review of standards applicable to FEUS.

***Submit a Completed Mitigation Plan in conjunction with this form to show that corrective steps are being taken. If a mitigation plan is not being submitted with this form please complete the following:**

Describe the cause of non-compliance:

FEUS does need written documentation but is in non-compliance mostly due to not running daily operating studies. Studies are done on an annual basis under the most severe contingencies and used for the entire year. From a reliability standpoint, it is very effective; from an economical system use, it is not. But, the FEUS system is built to deliver resources to its customers not to provide transmission access to others.

Describe the reliability impact of this non-compliance:

Moderate

Expected date of Mitigation Plan submittal: Attached


¹ Violations are reported at the level of requirements, sub requirements are not necessary.

Attachment b

**WECC Audit Report, Public Version Screen
Shots, for COM-001-1 R3, COM-002-2 R2, EOP-
001-0 R4, PRC-005-1 R1 and R2, PRC-008-0 R2,
PRC-STD-005-1 WR1, and TOP-002-2 R14 and
R17 showing a deemed date of February 15, 2008**

WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008664

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800636

Standard: COM-001-1

Telecommunications

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 5

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 3

Violation Risk Factor: LOWER

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
Entity provided no that they have a process to investigate and recommend solutions to telecomm problems within its and others areas.

Regional Contact Person: Fletcher, William

Applicable Functions: TOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Minimal Impact.

ID sent to Entity: 3/4/2008

Additional Comments

Close

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008663

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800635

Standard: COM-002-2

Communication and Coordination

48HR REPORT REQUIRED

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 2

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 1

Violation Risk Factor: MEDIUM

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
Entity provided no evidence to demonstrate that directives were issued, repeated and acknowledged in a clear, concise and definitive manner as required.

Regional Contact Person: Fletcher, William

Applicable Functions: TOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Minimal Impact.

ID sent to Entity: 3/4/2008

Additional Comments

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008670

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800642

Standard: PRC-005-1

Transmission and Generation Protection System Maintenance and Testing

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 1

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 3

Violation Risk Factor: HIGH

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
Requirement 1.1 Maintenance and testing program does not identify the basis for maintenance intervals.
Requirement 1.2 Program does not include summary of maintenance and testing procedures.

Regional Contact Person: O'Donnell, Phil

Applicable Functions: DP,GO,TO

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Minimal Impact.

ID sent to Entity: 3/4/2008

Additional Comments

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008671

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800643

Standard: PRC-005-1

Transmission and Generation Protection System Maintenance and Testing

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 2

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 4

Violation Risk Factor: LOWER

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
Program does not include evidence that the Protection System is maintained and tested.

Regional Contact Person: O'Donnell, Phil

Applicable Functions: DP,GO,T0

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Moderate Impact.

ID sent to Entity: 3/4/2008

Additional Comments

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008673

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800645

Standard: PRC-008-0

Underfrequency Load Shedding Equipment Maintenance Programs

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 2

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 3

Violation Risk Factor: MEDIUM

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
No evidence of all relays maintained within the past four years.

Applicable Functions: TO, DP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Minimal Impact.

ID sent to Entity: 3/4/2008

Additional Comments

Regional Contact Person: O'Donnell, Phil

Close

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database
Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008672

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800644

Standard: PRC-STD-005-1

Transmission Maintenance

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: W/R1

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 3

Violation Risk Factor:

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
TMIP not in place prior to the audit. Inspection and maintenance records do not have name of person performing maintenance.

Regional Contact Person: O'Donnell, Phil

Applicable Functions: TO, TOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Minimal Impact.

ID sent to Entity: 3/4/2008

Additional Comments

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008676

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800648

Standard: TOP-002-2

Normal Operations Planning

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 14

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 4

Violation Risk Factor: MEDIUM

Alleged Violation Time:

Alleged Violation End Date:

Violation Descriptions:
Interview confirmed that the entity does not currently provide generator capability updates to its BA.

Applicable Functions: GOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Moderate Impact.

ID sent to Entity: 3/4/2008

Additional Comments

Regional Contact Person: Wells, Mike

Close

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WECC Compliance Database

Post June 18th Violations



Western Electricity Coordinating Council

Compliance and Registration Database

Post Violations Tracking and Reporting

Region: WECC

Violation Date: 2/15/2008

WECC ID: FEUS_WECC2008677

Entity: Farmington Electric Utility System

Acronym: FEUS

Registry ID: NCR05155

NERC violation ID: WECC200800649

Standard: TOP-002-2

Normal Operations Planning

Disposition Final Record

Mitigation Plan

RAD and RAD Appeal

Internal Notes

Pre-June 18

Initial Notice

NAVAPS

Proposed Sanction Penalty

Contested Hearing

Requirement: 17

Repeat Alleged Violation? ☐

Initial Determination by Region: 2/22/2008

Reporting Method: Compliance Audit

On Site Audit ☒ Off Site Audit ☐

Deemed Date: 2/15/2008

Violation Level: LNC - Level 1

Violation Risk Factor: HIGH

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:
Study results are not communicated to the RC.

Regional Contact Person: Wells, Mike

Applicable Functions: TOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:
Moderate Impact.

ID sent to Entity: 3/4/2008

Additional Comments

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WECC Compliance Da...

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Attachment c

Settlement Agreement by and between FEUS and WECC executed July 16, 2009

SETTLEMENT AGREEMENT
OF
WESTERN ELECTRICITY COORDINATING COUNCIL
AND
FARMINGTON ELECTRIC UTILITY SYSTEM

Western Electricity Coordinating Council (“WECC”) and Farmington Electric Utility System (“FEUS”)(NERC Compliance Registry ID# NCR05155)(collectively the “Parties”) hereby enter into this Settlement Agreement (“Agreement”) on this _____ day of July, 2009.

RECITALS

A. The Parties enter into this Agreement to resolve any and all civil and administrative disputes between them related to certain WECC determinations and findings based upon self-reports by FEUS and an on-site Compliance Audit of FEUS conducted by WECC from February 11-15, 2008. WECC alleges that FEUS has violated the following North American Electric Reliability Corporation (“NERC”) Reliability Standards (“Reliability Standards”):

COM-001-1 Requirement 3: *Telecommunications*
COM-001-1 Requirement 5: *Telecommunications*
COM-002-2 Requirement 2: *Communication and Coordination*
EOP-001-0 Requirement 4: *Emergency Operations Planning*
EOP-008-0 Requirement 1: *Plans for Loss of Control Center Functionality*
FAC-001-1 Requirements 1 and 2: *Facility Connection Requirements*
FAC-008-1 Requirement 1: *Facility Ratings Methodology*
FAC-009-1 Requirement 2: *Establish and Communicate Facility Ratings*
MOD-017-0 Requirement 1: *Aggregated Actual and Forecast Demands and Net Energy for Load*
MOD-018-0 Requirement 1: *Reports of Actual and Forecast Demand Data*
PRC-005-1 Requirement 1: *Transmission and Generation Protection System Maintenance and Testing*
PRC-005-1 Requirement 2: *Transmission and Generation Protection System Maintenance and Testing*
PRC-008-0 Requirement 2: *Underfrequency Load Shedding Equipment Maintenance Programs*
PRC-STD-005-1 WR1: *Transmission Maintenance*
PRC-017-0 Requirement 1: *Special Protection System Maintenance and Testing*
TOP-002-2 Requirement 4: *Normal Operations Planning*
TOP-002-2 Requirement 11: *Normal Operations Planning*
TOP-002-2 Requirement 14: *Normal Operations Planning*
TOP-002-2 Requirement 17: *Normal Operations Planning*

B. FEUS is a New Mexico corporation and regulated public utility that provides energy production, transmission and distribution in northwest New Mexico. Its facilities serve approximately 43,800 customers with a 2007 peak load of approximately 200 MW. FEUS owns

and operates a 115kV system comprised of 148.3 line miles and a 69kV system with a total of 69.6 line miles. Its office is located in Farmington, New Mexico. On April 10, 2007, FEUS was registered on the NERC Compliance Registry as a Transmission Owner, Distribution Provider, Generator Operator, Purchasing-Selling Entity, Transmission Operator, Resource Planner, Generator Owner and Load Serving Entity.

C. WECC was formed on April 18, 2002 by the merger of the Western Systems Coordinating Council, Southwest Regional Transmission Association and Western Regional Transmission Association. WECC is one of eight regional councils in the United States responsible for coordinating and promoting electric system reliability. In addition, WECC supports efficient competitive power markets, assures open and non-discriminatory transmission access among members, provides a forum for resolving transmission access disputes, and provides an environment for coordinating the operating and planning activities of its members. WECC's region encompasses a vast area of nearly 1.8 million square miles extending from Canada to Mexico and including 14 western states. It is the largest and most diverse of the eight regional councils in the United States.

D. The Parties are entering into this Agreement to settle the disputed matters between them. It is in the Parties' and the public's best interests to resolve these matters efficiently without the delay and burden associated with a contested proceeding. Nothing contained in this Agreement shall limit or prevent WECC from evaluating FEUS for subsequent violations of the same Reliability Standards addressed herein and taking enforcement action, if necessary. Such enforcement action can include assessing penalties against FEUS for subsequent violations of the Reliability Standards addressed herein in accordance with NERC Rules of Procedure.

NOW, THEREFORE, in consideration of the terms set forth herein, including in the Recitals, WECC and FEUS hereby agree and stipulate to the following:

I. Representations of the Parties

For purposes of this Agreement, FEUS stipulates to the facts contained herein. WECC has established sufficient facts, as set forth herein, to support its determination that FEUS has Confirmed Violations, as this term is defined in the WECC Compliance and Monitoring Enforcement Program ("CMEP"), of the Reliability Standards described below in detail. WECC and FEUS agree that the facts stipulated herein are set forth solely for the purpose of resolving matters between WECC and FEUS associated with the aforementioned alleged violations and do not constitute stipulations or admissions by FEUS for any other purpose.

II. Confirmed Violations – Compliance Audit

A. COM-001-1 R3 - Telecommunications

R3 *Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate telecommunications among their respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. The Audit Team determined that FEUS had a possible violation of this Standard because FEUS did not provide the Audit Team with any evidence that it had any means to investigate and recommend solutions to telecommunications problems with other areas. FEUS telecommunications procedures specify that coordination of telecommunications rests with the system operator. FEUS operation personnel stated that FEUS had an informal procedure to coordinate telecommunications. However, FEUS did not produce any evidence, such as contact points or communication logs that demonstrated that FEUS operations personnel had knowledge of other entities' communication coordination points or that showed that FEUS had taken any actions to coordinate telecommunications in its respective areas. Thus, the Audit Team determined that FEUS did not have an adequate process for coordinating telecommunications or for recommending solutions to telecommunications problems. The Audit Team forwarded this information to the WECC Enforcement Department ("Enforcement") for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because FEUS did not demonstrate that it had provided an adequate means for the coordination of telecommunications and for recommending solutions to telecommunications problems. Enforcement determined that the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to June 2, 2008, when FEUS completed a mitigation plan.

FEUS submitted a mitigation plan to address this Alleged Violation on March 14, 2008. This mitigation plan stated that FEUS would re-write its telecommunications procedures to reflect the requirements of the Standard. The mitigation plan also stated that FEUS would test the re-written procedures and document the results. This mitigation plan was accepted by WECC on April 9, 2008, and approved by NERC on September 4, 2008.

On June 5, 2008, FEUS submitted certification of completion of its mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of *Vital Primary and Secondary Telecommunications Systems Operations TS-001-1 Rev. 1 and Test Results* dated June 2, 2008. On December 2, 2008, WECC subject matter experts ("SMEs") reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified FEUS' completion of the mitigation plan.

In an independent review, Enforcement also evaluated FEUS' *Vital Primary and Secondary Telecommunications Systems Operations* and confirmed that it sets forth a procedure for coordinating telecommunications. This procedure states that in the event of a failure of the Primary Communications path or method, the senior system operator, or other FEUS personnel realizing the failure, will notify the Relay Technician listed on the weekly callout posting and his or her Supervisor. The procedure provides for the Relay Technician to be responsible for troubleshooting the problem equipment while the Supervisor notifies the corresponding facility, operator, or area of the failure of the Primary Communications.

B. COM-002-2 R2 – Communication and Coordination

R2 *Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall issue directives in a clear, concise, and definitive manner; shall ensure the recipient of the directive repeats the information back correctly; and shall acknowledge the response as correct or repeat the original statement to resolve any misunderstandings.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. The Audit Team determined that FEUS had a possible violation of this Standard because two recordings of FEUS directives reviewed by the Audit Team did not follow the procedure set forth by the Standard. One voice recording described actions FEUS took in placing two 13.8 kV circuit breakers in non-reclosing mode. A FEUS representative repeated back the steps in the procedure. However, the field worker on the receiving end of the directives did not repeat them correctly. In the second voice recording, the FEUS senior system operator gave an order to field workers referring to a device by name. The operations personnel did not include the device name in the repetition of the order back to the senior system operator. In neither voice recording did the party issuing the directive or order correct the representative repeating the directive or order to confirm it. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because FEUS representatives did not ensure that its personnel repeated information back correctly. Enforcement determined that the violation period for this Alleged Violation runs from February 15, 2008, when the violation was discovered, to June 5, 2008, when FEUS completed a mitigation plan.

FEUS submitted a mitigation plan to address this Alleged Violation on March 14, 2008. This mitigation plan stated that FEUS would revise its Switching Procedures and Guidelines Manual to provide guidelines for concise and clear communications. WECC accepted this mitigation plan on April 9, 2008. NERC approved it on September 4, 2008.

On June 6, 2008, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of its *Switching Procedures and Guidelines*. On December 3, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified the mitigation plan's completion. Also, Enforcement reviewed a copy of *FEUS' Switching Procedures and Guidelines* and confirmed that it contained new provisions dealing with the communication of switching instructions and with placing a hot line tag. Enforcement confirmed that FEUS' procedures reflect the three step communications process required by the Standard.

C. EOP-001-0 R4 – Emergency Operations Planning

R4 *Each Transmission Operator and Balancing Authority shall have emergency plans that will enable it to mitigate operating emergencies. At a minimum, Transmission Operator and Balancing Authority emergency plans shall include:*

R4.1 *Communications protocols to be used during emergencies.*

R4.2 *A list of controlling actions to resolve the emergency. Load reduction, in sufficient quantity to resolve the emergency within NERC-established timelines, shall be one of the controlling actions.*

R4.3 *The tasks to be coordinated with and among adjacent Transmission Operators and Balancing Authorities.*

R4.4 *Staffing levels for the emergency.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. The Audit Team determined that FEUS had a possible violation of this Standard because the Audit Team could not locate communications protocols in FEUS' emergency procedures. The evidence submitted by FEUS stated that communications protocols were located in Appendix J of the FEUS Emergency Operations Plan. The Audit Team found that Appendix J did not contain any communications protocols. In its Response to WECC's Notice of Alleged Violation and Proposed Penalty or Sanction, dated December 11, 2008, FEUS stated that although communications protocols were not in Appendix J, they were contained in the actual Emergency Operations Plan. A second review of FEUS' documentation by WECC SME's revealed that the Emergency Operations Plan did contain some communications protocols. However, these communications protocols were inadequate because they were not addressed in each of the emergency scenarios in the Emergency Operation Plan. Some scenarios contained communications protocols, but many of these protocols dealt only with communications with customers, and did not address communications with neighboring entities for the purpose of protecting the reliability of the BPS. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because FEUS did not have adequate communications protocols in its Emergency Operations Plan. WECC determined that the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to April 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this Alleged Violation on March 14, 2008. This mitigation plan stated that FEUS would develop telecommunications procedures to comply with the requirements of the Standard, and it would test them. FEUS made these telecommunications procedures part of the revised Appendix J to the FEUS Emergency Operation Plan. This mitigation plan was accepted by WECC on April 9, 2008, and approved by NERC on September 4, 2008.

On June 13, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided its re-written telecommunications procedures in the Emergency Operation Plan in Appendix J. On August 27, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan, and attached documentation, and verified FEUS' completion of the mitigation plan.

D. PRC-005-1 R1 – Transmission and Generation Protection System Maintenance and Testing

R1 *Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall have a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES. The program shall include:*

R1.1 *Maintenance and testing intervals and their basis.*

R1.2 *Summary of maintenance and testing procedures*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Distribution Provider. The Audit Team determined that FEUS had a possible violation of this Standard because its transmission and generation protections systems maintenance and testing procedures were incomplete. The Audit Team found that FEUS had misinterpreted the applicability of the Standard. FEUS limited the applicability of this Standard to only its Path 31 (Glade terminal of the Hesperus Glade 115KV line) facilities. The Audit Team informed FEUS that this Standard applies to all lines over 100 KV and all generators over 25 MVA as defined by NERC. However, because of FEUS' misinterpretation of the applicability of the Standard, FEUS' maintenance and testing procedures did not address any protective devices for the FEUS system other than the protective devices on its Path 31 facilities. FEUS provided records for maintenance and testing of its Path 31 facilities, but it did not provide any basis for the four-year testing interval. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because its protection system maintenance and testing program was incomplete. Enforcement determined that the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to June 10, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this Alleged Violation on March 14, 2008. This mitigation plan stated that FEUS would modify its maintenance and testing program to include all protection systems that are subject to the Standard. In addition, FEUS modified its program to summarize its maintenance and testing procedures and to address all maintenance and testing intervals and their basis. This mitigation plan was accepted by WECC on April 9, 2008, and approved by NERC on September 4, 2008.

On June 13, 2008, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of its *Revised Transmission and Generation Protection System Maintenance and Testing Procedure* and a sample of test data. On September 29, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified completion of the mitigation plan. Also, Enforcement reviewed FEUS' mitigation plan documentation and confirmed that the new maintenance and testing procedures apply to all FEUS BPS equipment (100kV or greater operating voltage). The procedures also apply to generator protection, frequency and voltage load shedding schemes, and

special protection or remedial action schemes. They contain a testing interval of four years for all relays and a basis for this interval.

E. PRC-005-1 R2 – Transmission and Generation Protection System Maintenance and Testing

R2 *Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Reliability Organization on request (within 30 calendar days). The documentation of the program implementation shall include:*

R2.1 *Evidence Protection System devices were maintained and tested within the defined intervals.*

R2.2 *Date each Protection System device was last tested/maintained.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Distribution Provider. The Audit Team determined that FEUS had a possible violation of this Standard because FEUS could not provide documentation demonstrating that it had tested and maintained all of its relays, or that it had maintained and tested its protection system devices within the defined intervals. FEUS was unable to provide the Audit Team with evidence of the dates FEUS last tested and maintained each protection system device. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it could not demonstrate that it had tested and maintained all of its relays according to its testing and maintenance plan. Enforcement determined that the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory to March 30, 2009, the date FEUS completed the mitigation plan. .

FEUS submitted a mitigation plan to address this violation on March 14, 2008. This mitigation plan stated that FEUS would test and maintain all protective relays subject to the Standard. This mitigation plan was accepted by WECC on April 9, 2008, and approved by NERC on September 4, 2008. On May 21, 2008, FEUS submitted a request to extend the expected completion date of this mitigation plan. On June 5, 2008, WECC agreed to extend the mitigation plan completion date to April 9, 2009. FEUS submitted progress updates regarding the testing and maintenance of relays to WECC on a regular basis. FEUS submitted the most recent of these updates to WECC on December 29, 2008. In this update, FEUS stated that it had tested and maintained 75 percent of the relays with missing records.

FEUS certified completion of this mitigation plan on March 31, 2009. To demonstrate completion, FEUS provided WECC with a spreadsheet titled “Farmington Electric Utility 115 kV Lines” that contained the date that FEUS last tested each relay. WECC review of this mitigation plan is pending.

F. PRC-008-0 R2 – Underfrequency Load Shedding Equipment Maintenance Programs

R2 *The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall implement its UFLS equipment maintenance and testing program and shall provide UFLS maintenance and testing program results to its Regional Reliability Organization and NERC on request (within 30 calendar days).*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Distribution Provider. The Audit Team determined that FEUS had a possible violation of this Standard because FEUS did not present evidence of the last test date for 16 of its relays. To demonstrate compliance with this Standard, FEUS provided a spreadsheet showing each installed relay and the date FEUS last maintained it. The Audit Team reviewed this spreadsheet and found that there were 16 relays that did not have the date last tested. The spreadsheet stated that FEUS would test and maintain these relays by the second quarter of 2008. FEUS' Superintendent of Technical Services stated that the last test date for these 16 devices, which comprised 25 percent of FEUS' total number of UFLS relays, was missing because FEUS did not retain any records concerning maintenance before the year 2005. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it could not provide the last test date for 16 of its relays. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to May 21, 2008, when FEUS completed its mitigation plan..

FEUS submitted a mitigation plan to address this violation on March 14, 2008. This mitigation plan stated that FEUS would accelerate its relay testing to include the 16 UFLS relays that were missing the date last tested at the time of the audit. The mitigation plan stated that FEUS would complete this testing by June 13, 2008. WECC accepted the mitigation plan on April 9, 2008. NERC approved it on September 4, 2008.

On May 21, 2008, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided an updated spreadsheet showing the date it tested and maintained each of its relays. On September 13, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan, and attached documentation, and verified completion of the mitigation plan.

G. PRC-STD-005-1 WR1 – Transmission Maintenance

WR1 *All bulk power transmission elements (i.e. lines, stations, and rights of way) included as part of the transmission facilities (or required to maintain transfer capability) impacting each of the transmission paths listed in Attachment A – WECC Table 2 shall be inspected and maintained in accordance with this criterion, taking into consideration diverse environmental and climatic conditions, terrain, equipment, maintenance philosophies, and design practices.*

a. General. *This Transmission Maintenance Standard requires each Responsible Entity identified in Section A.4.1 to develop and implement a Transmission Maintenance and Inspection Plan (TMIP)*

detailing the Responsible Entity's inspection and maintenance activities applicable to the transmission facilities comprising each of the transmission paths identified in Attachment A – Table 2.

b. Standard Requirements

(i) TMIP. *To comply with this Standard, each Responsible Entity identified in Section A4.1 must develop and implement a TMIP.*

• Because maintenance and inspection practices vary, it is the intent of this Transmission Maintenance Standard to allow flexibility in inspection and maintenance practices while still requiring a description of certain specific inspection and maintenance practices.

(a) TMIP Contents. *The TMIP may be performance-based, time-based, conditional-based, or a combination of all three as may be appropriate. The TMIP shall:*

• Identify the facilities for which it is covering by listing the names of each transmission path and the quantities of each equipment component, such as; circuit breaker, relay scheme, transmission line;

• Include the scheduled interval (e.g., every two years) for any time-based maintenance activities and a description of conditions that will initiate any condition or performance-based activities;

• Describe the maintenance, testing and inspection methods for each activity or component listed under Transmission Line Maintenance and Station Maintenance;

• Provide any checklists or forms, or reports used for maintenance activities;

• Provide criteria to be used to assess the condition of a transmission facility or component;

• Specify condition assessment criteria and the requisite response to each condition as may be appropriate for each specific type of component or feature of the transmission facilities;

• Include specific details regarding Transmission Line and Station Maintenance practices as per subsections (1) and (2) below.

(1) Transmission Line Maintenance Details. *The TMIP shall, at a minimum, describe the Responsible Entity's practices for the following transmission line maintenance activities:*

• Patrol/Inspection;

• Contamination Control (Insulator Washing)

(2) Station Maintenance Details. *The TMIP shall describe the Responsible Entity's maintenance practices for the following station equipment:*

• Circuit Breakers

• Power Transformers (including phase-shifting transformers)

• Regulators

• Protective Relay Systems and associated Communication Equipment

• RAS Systems and associated Communication Equipment

• Reactive Devices (including, but not limited to, Shunt Capacitors, Series Capacitors, Synchronous Condensers, Shunt Reactors, and Tertiary Reactors)

(ii) Maintenance Record Keeping. *Each Responsible Entity identified in Section A.4.1 must retain all pertinent maintenance and inspection records that support the TMIP according to the following guidelines:*

• The Responsible Entity shall maintain records of all maintenance and inspection activities for at least five years.

- *Each Responsible Entity's maintenance and inspection records shall identify, at a minimum:*
 - *The person(s) responsible for performing the work or inspection;*
 - *The date(s) the work or inspection was performed;*
 - *The transmission facility on which the work was performed, and*
 - *A description of the inspection or maintenance performed.*

The Transmission Owner or Operator shall maintain (and make available on request) records for maintenance or inspection pertaining to the items listed in subsections (a) and (b) below.

(a) Transmission Line Maintenance Records

- *Patrol/Inspection*
- *Contamination Control (Insulator Washing)*

(b) Station Maintenance Records

- *Circuit Breakers*
- *Power Transformers*
- *Regulators*
- *Protective Relay Systems and associated Communication Equipment*
- *RAS Systems and associated Communication Equipment*
- *Reactive Devices*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Transmission Operator. The Audit Team determined that FEUS had a possible violation of this Standard for three reasons. First, the Audit Team found that FEUS' Transmission Maintenance and Inspection Plan ("TMIP") was dated February 11, 2008. Thus, FEUS was in violation of this Standard until February 11, 2008 because it did not have a valid TMIP prior to this date. Second, FEUS was in violation of this Standard because the Audit Team found that not all of FEUS' work records listed the name of the person performing the work. Finally, this Standard requires that the TMIP address Protective Relay Systems and associated Communication Equipment, including batteries, and RAS Systems and associated Communication Equipment. In reviewing the evidence for FEUS' compliance with PRC-017-0, the Audit Team found that FEUS had self-reported a violation of that Standard because it failed to have testing procedures for batteries as well as a remedial action scheme. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard. FEUS owns and operates the 115kV line from Glade Switch station north to the Colorado State Line. This line is within Path 31 listed in the Standard at Attachment A – Table 2. Thus, FEUS was responsible for fulfilling the requirements of this Standard with respect to this line. FEUS violated this Standard because its documentation and practices were deficient, as described in detail above. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to June 10, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on March 14, 2008. This mitigation plan stated that FEUS would review and updated its TMIP. In addition, the mitigation plan stated that the responsible personnel would endorse all test data. This mitigation plan was accepted by WECC on April 11, 2008, and approved by NERC on September 4, 2008.

On June 10, 2008, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a revised TMIP and a sample of test data with the necessary signatures. On June 13, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified FEUS' completion of the mitigation plan.

H. TOP-002-2 R14 – Normal Operations Planning

R14 *Generator Operators shall, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including, but not limited to:*

R14.1 *Changes in real output capabilities.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Generator Operator. The Audit Team determined that FEUS had a possible violation of this Standard because it was not notifying the Balancing Authority, Western Area Power Administration ("WAPA"), of changes in the real output capabilities of generators. In an interview with the Audit Team, FEUS' system operations supervisor stated that FEUS does not provide this information to WAPA. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it was not notifying WAPA of changes in the real output capabilities of generators. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to February 13, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on March 14, 2008. This mitigation plan stated that FEUS would modify its procedures to provide for the communication of changes in the real output capabilities of generators to WAPA. WECC accepted the mitigation plan on April 11, 2008. NERC has not accepted the mitigation plan yet.

On March 17, 2008, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of a memorandum written by its System Operations Supervisor instructing FEUS system operators to inform WAPA of all changes in real output capabilities. The memorandum includes instructions and procedures for the reports to WAPA. On December 2, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan, and attached documentation, and verified FEUS' completion of the mitigation plan.

I. TOP-002-2 R17 – Normal Operations Planning

R17 *Balancing Authorities and Transmission Operators shall, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. The Audit Team determined that FEUS had a possible violation of this Standard because there was no evidence that FEUS was providing the information required by R1 through R16 of the Standard to the Reliability Coordinator (“RC”). The Audit Team noted that because FEUS violated R4 and R11 of the Standard, FEUS could not provide the required information to the RC. The Audit Team forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it was not providing the required information to the RC. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on March 14, 2008. This mitigation plan stated that FEUS would complete mitigation plans for its violations of TOP-002 R4 and R11 and provide the necessary information to the RC. To complete the R4 and R11 mitigation plans, FEUS stated that it needed to evaluate the best method of complying with the Standard (e.g. hire employees to run studies, contract with consultants, or purchase computer software). FEUS explained that once it made a decision concerning these options, it would implement the plan and train its personnel. This mitigation plan was accepted by WECC on April 10, 2008, and approved by NERC on September 4, 2008.

FEUS certified completion of its mitigation plan on December 15, 2008. To comply with R4 and R11, FEUS decided to purchase software that it could use to perform the necessary studies. To demonstrate completion of the mitigation plan, FEUS provided the following evidence: a current day and next day study that FEUS emailed to necessary entities; a screen shot of a contingency analysis page; a screen shot of a state estimator page; a screen shot of OPENNET menu page; a screen shot of a real time sequencing page; a screen shot of an operator study mode; and a screen shot of a violations menu page. On December 17, 2008, WECC SME’s reviewed the mitigation plan, completed mitigation plan, and attached documentation, and verified FEUS’ completion of the mitigation plan.

III. Confirmed Violations – Self-Reports

A. COM-001-1 R5 - Telecommunications

R5 *Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. FEUS self-reported this violation on

May 18, 2007 because it did not have written operating instructions or procedures in place to address operation of the system during the loss of telecommunications facilities. This violation was reviewed by the Audit Team at the Compliance Audit. The Audit Team evaluated the FEUS Emergency Preparedness Plan, which refers to Appendix J. The Audit Team found that this Appendix contained only a list of primary and backup facilities. The Audit Team confirmed that FEUS had a possible violation of this Standard because Appendix J contains no guidance for system operators as to what actions to take during loss of telecommunications. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it did not have operating instructions and procedures for loss of telecommunications. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to June 2, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would draft telecommunications procedures that enable continued operation of the system during the loss of telecommunications facilities. This mitigation plan was accepted by WECC on October 31, 2007.

On August 31, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of its *Telecommunications Policy* and a summary of its *Telecommunications Procedures*. On December 13, 2007, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation. WECC rejected the completed mitigation plan because the documents FEUS submitted did not verify that FEUS had adequate operating instructions and procedures to address continued operations during loss of telecommunications. FEUS submitted a summary of its telecommunications procedures, but WECC SME's concluded that FEUS needed to submit a copy of its actual telecommunications procedures to demonstrate compliance.

On May 21, 2008, FEUS submitted a revised mitigation plan to address this violation. This mitigation plan stated that FEUS would revise its telecommunications procedures to more adequately reflect the requirements of the Standard. The mitigation plan also stated that FEUS would test the procedures and document the results. Finally, the mitigation plan stated that FEUS would include the new telecommunications procedures in FEUS' Emergency Operations Procedures. WECC accepted this mitigation plan on October 29, 2008. NERC has not approved the mitigation plan yet.

FEUS certified completion of the revised mitigation plan on June 6, 2008. To demonstrate completion of the revised mitigation plan, FEUS provided a copy of its *Vital Primary and Secondary Telecommunications Systems Operations and Test Results* dated June 6, 2008. On December 2, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified completion of the mitigation plan.

B. EOP-008-0 R1 – Plans for Loss of Control Center Functionality

R1 *Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have a plan to continue reliability operations in the event its control center becomes inoperable. The contingency plan must meet the following requirements:*

R1.1 *The contingency plan shall not rely on data or voice communication from the primary control facility to be viable.*

R1.2 *The plan shall include procedures and responsibilities for providing basic tie line control and procedures and for maintaining the status of all inter-area schedules, such that there is an hourly accounting of all schedules.*

R1.3 *The contingency plan must address monitoring and control of critical transmission facilities, generation control, voltage control, time and frequency control, control of critical substation devices, and logging of significant power system events. The plan shall list the critical facilities.*

R1.4 *The plan shall include procedures and responsibilities for maintaining basic voice communication capabilities with other areas.*

R1.5 *The plan shall include procedures and responsibilities for conducting periodic tests, at least annually, to ensure viability of the plan.*

R1.6 *The plan shall include procedures and responsibilities for providing annual training to ensure that operating personnel are able to implement the contingency plans.*

R1.7 *The plan shall be reviewed and updated annually.*

R1.8 *Interim provisions must be included if it is expected to take more than one hour to implement the contingency plan for loss of primary control facility.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. FEUS self-reported this violation on June 15, 2007 because it did not have a clearly defined plan for the loss of its control center. FEUS did have a “paper system” in place to deal with loss of its control center. This “paper system” included paper schedules to monitor and record tie lines, generation, interchange schedules, and load, by hand, on an hourly basis, in coordination with a pre-loaded laptop. However, FEUS stated it was still developing a formal plan for dealing with loss of its control center. At the Compliance Audit, FEUS presented a plan for loss of control center functionality. However, the Audit Team found that a violation of the Standard remained because the backup control center listed in the plan was not operational yet. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS’ first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and audit findings and confirmed that FEUS had an Alleged Violation of this Standard because it did not have a plan for loss of control center functionality that met the requirements of the Standard. Enforcement determined the violation

period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to November 18, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would develop, test, and implement a plan for loss of control center functionality. WECC accepted this mitigation plan on November 7, 2007. The mitigation plan had an estimated completion date of December 31, 2007. On January 11, 2008, FEUS submitted a request for extension of time for the mitigation plan. WECC rejected FEUS' request for an extension to time because the CMEP requires such requests to be submitted before the completion date passes. On April 29, 2008, FEUS submitted a new mitigation plan and a completed mitigation plan.

To demonstrate completion of the mitigation plan, FEUS provided a copy of its revised procedure for loss of its control center dated March 24, 2008. WECC rejected FEUS' completed mitigation plan because the plan was deficient. It did not contain a provision for periodic testing of the backup site. Also, it lacked procedures and responsibilities for annual training of the FEUS operations personnel on loss of control center functionality. Finally, the procedure did not have an annual update requirement.

On November 21, 2008, FEUS submitted another mitigation plan and completed mitigation plan. WECC accepted this mitigation plan on November 24, 2008. To demonstrate completion of its new mitigation plan, FEUS provided a copy of its *System Operations Loss of Control Center_Rev3.doc* containing updated information describing periodic testing of the backup control center, training on the backup control center, and the schedule for updates to the procedure. On November 24, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified completion of the mitigation plan.

C. FAC-001-0 R1, R2 – Facility Connection Requirements

R1 *The Transmission Owner shall document, maintain, and publish facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Reliability Organization, subregional, Power Pool, and individual Transmission Owner planning criteria and facility connection requirements. The Transmission Owner's facility connection requirements shall address connection requirements for:*

R1.1 *Generation facilities,*

R1.2 *Transmission facilities, and*

R1.3 *End-user facilities.*

R2 *The Transmission Owner's facility connection requirements shall address, but are not limited to, the following items:*

R2.1 *Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:*

R2.1.1 *Procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems.*

R2.1.2 *Procedures for notification of new or modified facilities to others (those responsible for the reliability of the interconnected transmission systems) as soon as feasible.*

R2.1.3 *Voltage level and MW and MVAR capacity or demand at point of connection.*

R2.1.4 *Breaker duty and surge protection.*

R2.1.5 *System protection and coordination.*

R2.1.6 *Metering and telecommunications.*

R2.1.7 *Grounding and safety issues.*

R2.1.8 *Insulation and insulation coordination.*

R2.1.9 *Voltage, Reactive Power, and power factor control.*

R2.1.10 *Power quality impacts.*

R2.1.11 *Equipment Ratings.*

R2.1.12 *Synchronizing of facilities.*

R2.1.13 *Maintenance coordination.*

R2.1.14 *Operational issues (abnormal frequency and voltages).*

R2.1.15 *Inspection requirements for existing or new facilities.*

R2.1.16 *Communications and procedures during normal and emergency operating conditions.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner. FEUS self-reported these violations on June 15, 2007 because the facility connection requirements in its interconnection policy were not sufficient to meet the Standard. FEUS stated that it developed its existing interconnection requirements based on customer requests and previous FEUS standards. FEUS explained that these requirements did not meet all of the sub-requirements of the Standard. Although FEUS self-reported these violations prior to June 18, 2007, they became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because it did not have adequate facility connection requirements. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would revise its facility connection policy and procedure to

include all of the sub-requirements of the Standard. WECC accepted this mitigation plan on November 1, 2007. NERC's review and acceptance of this mitigation plan is pending.

On August 30, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of a document titled *New Facilities Requirements and Coordination*. WECC reviewed this document and determined that FEUS had not demonstrated completion of the mitigation plan because the above-referenced document only referred to FEUS' new facility connection requirements and did not actually provide the new facility connection requirements to WECC for review. Thus, WECC could not verify whether the new facility connection requirements were adequate or whether FEUS had completed them. Also, FEUS' documentation stated that the new facility connection requirements were still going through an approval process at the Farmington City Council. Thus, FEUS' new facility connection requirements were not in effect as of the completion date of the mitigation plan. For these reasons, WECC SMEs determined that FEUS had not completed its mitigation plan.

At the Compliance Audit, FEUS provided a copy of its revised interconnection policy titled, *Rule and Regulation No. 21 – Interconnection, Relaying, and Metering Standards for Co-Generators and Small Power Producers, Revision 3, February, 2008*. The Audit Team reviewed these procedures and verified that they met all of the requirements of the Standard. The Audit Team determined that FEUS was in compliance with the Standard and that FEUS had completed the mitigation plan.

D. FAC-008-1 R1 – Facility Ratings Methodology

R1 *The Transmission Owner and Generator Owner shall each document its current methodology used for developing Facility Ratings (Facility Ratings Methodology) of its solely and jointly owned Facilities. The methodology shall include all of the following:*

R1.1 *A statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.*

R1.2 *The method by which the Rating (of major BES equipment that comprises a Facility) is determined.*

R1.2.1 *The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.*

R1.2.2 *The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.*

R1.3 *Consideration of the following:*

R1.3.1 *Ratings provided by equipment manufacturers.*

R1.3.2 *Design criteria (e.g., including applicable references to industry Rating practices such as manufacturer's warranty, IEEE, ANSI or other Standards).*

R1.3.3 *Ambient conditions.*

R1.3.4 Operating limitations.

R1.3.5 Other assumptions.

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Generator Owner. FEUS self-reported this violation on May 18, 2007 because it did not have a methodology for determining equipment ratings that met the Standard. FEUS explained that it had an established methodology for determination of facility ratings based on a combination of manufacturer's data and equipment testing, but stated that it was not as detailed as the Standard requires. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because it did not have adequate facility ratings methodology. Enforcement determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to January 29, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would develop procedures and perform tests to establish a facility ratings methodology that meets the requirements of the Standard. This mitigation plan was accepted by WECC on November 1, 2007. Review and acceptance of the mitigation plan by NERC is pending.

On August 31, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of this mitigation plan, FEUS provided a copy of its Facility Ratings Methodology dated August 31, 2007. On February 4, 2008, WECC determined that FEUS had not completed the mitigation plan because the documentation FEUS provided did not contain a provision for the Facility Rating to equal the most limiting applicable Equipment Rating of the individual equipment that comprises a Facility. Also, the methodology described in FEUS' documentation lacked a discussion of the use of ratings supplied by the manufacturer, design criteria, ambient conditions, operating limitations, and other assumptions. Finally, FEUS' documentation failed to describe the method by which FEUS rates each bulk electric system component (transmission conductors, protective devices, terminal equipment, series and shunt capacitors, etc) that comprises a facility. At the Compliance Audit, FEUS provided the Audit Team with a copy of its *Facility Rating Methodology, Revision 3*, dated January 29, 2008. The Audit Team confirmed that this Facility Ratings Methodology met the requirements of the Standard.

E. FAC-009-0 R1 – Establish and Communicate Facility Ratings

R1 *The Transmission Owner and Generator Owner shall each establish Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner and Generator Owner. FEUS self-reported a violation of this Standard on May 18, 2007. FEUS explained that because it did not meet the requirements of FAC-008-1, it also did not meet the requirements of this Standard. Although

FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because FEUS could not have facility ratings without the associated facility ratings methodology. WECC determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would establish a facility ratings methodology as required by FAC-008-1, and then demonstrate that it was following this methodology and establish facility ratings. This mitigation plan was accepted by WECC on November 1, 2007. Review and acceptance of the mitigation plan by NERC is pending.

On August 30, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of its procedures titled, *Establish and Communicate Facility Ratings*. WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and determined that FEUS had not completed its mitigation plan because the documentation FEUS submitted did not demonstrate that FEUS had established ratings consistent with its Facility Ratings Methodology. The documentation submitted by FEUS outlined policy and procedure, but did not demonstrate that FEUS established ratings according to the methodology.

At the Compliance Audit, FEUS provided the Audit Team with documentation demonstrating compliance with this Standard. For FEUS' generation facilities, the Audit Team reviewed a sample of weekly generator test reports indicating that FEUS is following its own facilities ratings methodology. The Audit Team also reviewed the FEUS *Transmission System One Line Diagram* and confirmed that FEUS is following its own facilities ratings methodology for BES elements. Finally, the Audit Team found that FEUS tests and rerates thermal plants every week. The Audit Team determined that FEUS had provided sufficient information to confirm compliance with the Standard

F. MOD-017-0 R1 – Aggregated Actual and Forecast Demands and Net Energy for Load

R1 *The Load-Serving Entity, Planning Authority, and Resource Planner shall each provide the following information annually on an aggregated Regional, subregional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Reliability Organizations, and any other entities specified by the documentation in Standard MOD-016-1_R 1.*

R1.1 *Integrated hourly demands in megawatts (MW) for the prior year.*

R1.2 *Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.*

R1.3 *Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.*

R1.4 *Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Load Serving Entity and Resource Planner. FEUS self-reported this violation on May 18, 2007 because although FEUS was compiling the data required by this Standard, it was not providing the information to NERC or any other entities. FEUS self-reported this violation before June 18, 2007, but it became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because FEUS was not providing the information required by the Standard to the entities specified in the Standard. WECC determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to February 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would develop a plan to demonstrate reporting in accordance with the Standard. This mitigation plan had an expected completion date of September 18, 2007. WECC accepted the mitigation plan on September 21, 2007. NERC approved it on October 27, 2008.

On October 15, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of its mitigation plan, FEUS provided copies of a plan covering prior year integrated hourly information, forecast demands for the next two years, and long-term forecasts. WECC reviewed FEUS' documentation and determined that the documentation did not confirm FEUS' compliance with R1.1, hourly demands, and R1.2, annual summer and winter peaks. At the Compliance Audit, the Audit Team reviewed FEUS' compliance with this Standard. The Audit Team evaluated FEUS' documentation of WALC Peak Data (MW) – Aggregated Demands, Resources, Outages and Transfers at time of peak by year and month, 2/13/2008, Monthly System Summary, July 10, 2007 and July 18, 2007, and Farmington Peaks for the month of: January, March, May, July, September, and November. The Audit Team found that this documentation was sufficient to demonstrate FEUS' compliance with this Standard. On September 9, 2008, FEUS submitted a new mitigation plan and certified its completion.

G. MOD-018-0 R1 – Reports of Actual and Forecast Demand Data

R1. *The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:*

R1.1. *Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and*

R1.2. *Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.*

R1.3. *Items (MOD-018-0_R 1.1) and (MOD-018-0_R 1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1_R 1.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Load Serving Entity and Resource Planner. FEUS self-reported this violation on May 18, 2007 because although FEUS compiles this data, it had no documentation addressing assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS' first completed mitigation plan did not demonstrate compliance. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because FEUS' documentation did not address sub-requirement 1.2 of the Standard. WECC determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to June 30, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan for this violation on June 15, 2007. This mitigation plan stated that FEUS would develop a plan to address sub-requirement 1.2 of the Standard. The mitigation plan also stated that FEUS would keep records of providing the required information. This mitigation plan had an expected completion date of September 18, 2007.

On September 18, 2007, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided documentation that FEUS "trues up" its forecasts of aggregated peak demands and Net Energy for Load on a monthly basis and that it sends its Balancing Authority a monthly summary of load, generation and energy schedules. WECC reviewed this completion documentation and determined that it was not sufficient to demonstrate FEUS' compliance with the Standard because the documentation did not constitute a procedure as required by the mitigation plan. Also, it did not adequately address sub-requirement 1.2.

On May 21, 2008, FEUS submitted a new mitigation plan to address this violation. This mitigation plan stated that FEUS would delineate the requirements of R1.2 in a stand-alone document. This mitigation plan had an expected completion date of June 30, 2008. WECC accepted this mitigation plan on October 30, 2008. Review and acceptance of the mitigation plan by NERC is pending. FEUS certified completion of this mitigation plan on June 30, 2008. To demonstrate completion, FEUS provided a copy of *Forecasting of Aggregated Peak Demands and Net Energy for Loads*. On October 30, 2008, WECC SMEs reviewed the completion documentation and verified completion of the mitigation plan.

H. PRC-017-0 R1 – Special Protection System Maintenance and Testing

R1 *The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall have system maintenance and testing program(s) in place. The program(s) shall include:*

R1.1 *SPS identification shall include but is not limited to:*

R1.1.1 *Relays.*

R1.1.2 *Instrument transformers.*

R1.1.3 *Communications systems, where appropriate.*

R1.1.4 *Batteries.*

R1.2 *Documentation of maintenance and testing intervals and their basis.*

R1.3 *Summary of testing procedure.*

R1.4 *Schedule for system testing.*

R1.5 *Schedule for system maintenance.*

R1.6 *Date last tested/maintained.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Owner, Generator Owner and Distribution Provider. FEUS self-reported this violation on January 9, 2008. FEUS explained that it performed and documented testing and maintenance on its special protection system. However, FEUS stated that it did not have a summary procedure for battery testing as specified in R1.3 of the Standard. Specifically, FEUS did not have a summary procedure of checks and tests to determine the conditions of lead-acid and nickel-cadmium batteries used in substations, switching stations and generating plants. In addition, FEUS stated that it did not have a schedule for system maintenance as specified in R1.5. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because it did not have all system maintenance and testing programs required by the Standard. WECC determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to January 8, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on January 11, 2008. This mitigation plan stated that FEUS would develop procedures dealing with station battery testing, including a summary of regular checks, testing and maintenance. The mitigation plan also stated that FEUS would develop procedures for its remedial action scheme, including a schedule for system maintenance. This mitigation plan was accepted by WECC on February 5, 2008, and approved by NERC on July 1, 2008.

On January 11, 2008, FEUS certified completion of this mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of *Maintenance Schedule and Battery Test Summary*. On February 4, 2008, WECC SME's reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified completion of the mitigation plan. Also, Enforcement reviewed the *Maintenance Schedule and Battery Test Summary* and confirmed that the document provides a summary of procedures for the monthly and annual testing of batteries.

I. TOP-002-2 R4 – Normal Operations Planning

R4 *Each Balancing Authority and Transmission Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. FEUS self-reported this violation on May 18, 2007 because it did not coordinate its planning and operations with neighboring Balancing Authorities, Transmission Operators and the Reliability Coordinator. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS did not complete its mitigation plan. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because FEUS was not coordinating planning with necessary entities. WECC determined the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would develop procedures and hire and train appropriate personnel to coordinate planning and operations as required by the Standard. WECC accepted this mitigation plan on November 1, 2007, and it was approved by NERC on October 27, 2008.

On August 31, 2007, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of a procedure dealing with normal operations planning. WECC SME's reviewed this documentation and determined that FEUS had not completed its mitigation plan because the plan called for FEUS to hire a planning engineer in order to comply with the Standard and FEUS did not provide any evidence that it had hired such a person. In addition, the procedure stated that FEUS coordinates its planning and operations with other entities, but FEUS did not provide WECC with any evidence that it actually did so.

On May 28, 2008, FEUS submitted another mitigation plan to address this violation. This mitigation plan stated that FEUS needed to evaluate the best method of complying with the Standard and decide whether to hire employees to run studies, contract with consultants, or purchase computer software. The mitigation plan represented that once FEUS made a decision regarding the best method for compliance, FEUS would implement it and train its personnel. WECC accepted the mitigation plan on September 5, 2008. NERC approved it on October 17, 2008.

To comply with the Standard and demonstrate completion of the mitigation plan, FEUS decided to purchase software. FEUS purchased the software, conducted the necessary studies and emailed the results of the studies to its neighboring entities and the Reliability Coordinator. FEUS certified completion of the mitigation plan on December 15, 2008. FEUS provided WECC with copies of the results of its studies and the emails it sent. WECC SMEs reviewed the

mitigation plan, completed mitigation plan and attached documentation, and verified that FEUS had completed the mitigation plan.

J. TOP-002-2 R11 – Normal Operations Planning

R11 *The Transmission Operator shall perform seasonal, next-day, and current-day Bulk Electric System studies to determine System Operating Limits (SOLs). Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update these Bulk Electric System studies as necessary to reflect current system conditions; and shall make the results of Bulk Electric System Studies available to the Transmission Operators, Balancing Authorities (subject to confidentiality requirements), and to its Reliability Coordinator.*

FEUS is subject to this Standard because it was registered on the NERC Compliance Registry on April 10, 2007 as a Transmission Operator. FEUS self-reported this violation on May 18, 2007 because it was not running daily operating studies to determine system operating limits and was not providing this information to neighboring entities and the Reliability Coordinator. Although FEUS self-reported this violation prior to June 18, 2007, this violation became sanctionable because, as discussed below, FEUS did not complete its first mitigation plan. WECC forwarded this information to Enforcement for its review and consideration.

Enforcement reviewed the self-report and confirmed that FEUS had an Alleged Violation of this Standard because FEUS was not performing Bulk Electric System studies to determine System Operating Limits and, thus, was not providing the results of such studies to the entities listed in the Standard. Enforcement determined that the violation period for this Alleged Violation runs from June 18, 2007, when the Standard became mandatory, to December 15, 2008, when FEUS completed its mitigation plan.

FEUS submitted a mitigation plan to address this violation on June 15, 2007. This mitigation plan stated that FEUS would develop procedures and hire and train personnel to comply with the Standard. WECC accepted the mitigation plan on November 1, 2007, and it was approved by NERC on October 27, 2008.

On August 31, 2007, FEUS certified completion of the mitigation plan. To demonstrate completion of the mitigation plan, FEUS provided a copy of a procedure dealing with normal operations planning. WECC SME's reviewed this documentation and determined that FEUS had not completed its mitigation plan because the plan called for FEUS to hire a planning engineer in order to comply with the Standard and FEUS did not provide any evidence that it had hired such a person. In addition, the procedure stated that FEUS performs the required studies, but FEUS did not provide WECC with any evidence that it actually did so.

On May 28, 2008, FEUS submitted another mitigation plan to address this violation. This mitigation plan stated that FEUS needed to evaluate the best method of complying with the Standard and decide whether to hire employees to run studies, contract with consultants, or purchase computer software. The mitigation plan represented that once FEUS made a decision regarding the best method for compliance, FEUS would implement it and train its personnel. WECC accepted the mitigation plan on September 5, 2008. NERC approved it on October 17, 2008.

To comply with the Standard and demonstrate completion of the mitigation plan, FEUS decided to purchase software to run the necessary studies. FEUS purchased the software, conducted the necessary studies and emailed the results of the studies to the necessary entities and the Reliability Coordinator. FEUS certified completion of the mitigation plan on December 15, 2008. FEUS provided WECC with copies of the results of its studies and the emails it sent. WECC SMEs reviewed the mitigation plan, completed mitigation plan and attached documentation, and verified that FEUS had completed the mitigation plan.

IV. Dismissals

WECC has determined that there are sufficient grounds to dismiss the following six Alleged Violations as discussed below.

A. EOP-005-1 R10 – System Restoration Plans

In accordance with FERC Order No. 693 dated April 4, 2007, affirmed on rehearing on July 19, 2007, and associated NERC guidance, this is an unenforceable “fill-in-the-blank” requirement of EOP-005 R10. As such, it should not have been reported as a possible or Alleged Violation and is hereby withdrawn with no further action required by WECC or the Registered Entities.

B. EOP-009-0 R1 – Documentation of Blackstart Generating Unit Test Results

In accordance with FERC Order No. 693 dated April 4, 2007, affirmed on rehearing on July 19, 2007, and associated NERC guidance, this is an unenforceable “fill-in-the-blank” requirement of EOP-009 R1. As such, it should not have been reported as a possible or Alleged Violation and is hereby withdrawn with no further action required by WECC or the Registered Entity.

C. FAC-002-0 R1 – Coordination of Plans for New Facilities

WECC dismissed this violation because it is event driven. This Standard requires an entity seeking to integrate generation facilities, transmission facilities and electricity end-user facilities to coordinate its assessments with its Transmission Planner and Planning Authority. This Standard is event driven because it applies only if an entity is “seeking to integrate generation facilities”.

FEUS self-reported this violation on June 15, 2007, stating that it did not have interconnection assessment requirements for the connection of transmission. However, as discussed above, this Standard does not require an entity to have interconnection assessment requirements. This Standard simply requires that Registered Entities coordinate assessments with the Transmission Planner and Planning Authority if they are seeking to integrate generation facilities. FEUS stated in its mitigation plan, and the Audit Team found, that FEUS has not sought to integrate new generation, transmission or end-user facilities since the date the Standard became mandatory on June 18, 2007. Because FEUS has not sought to integrate any generation facilities since the Reliability Standards became mandatory, no violation of this Standard occurred.

D. FAC-009-1 R2 – Establish and Communicate Facility Ratings

WECC dismissed this violation after it determined that no violation occurred. This Standard requires each Transmission Owner and Generator Owner to provide Facility Ratings for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities, to its associated Reliability Coordinator(s), Planning Authority(ies), transmission Planner(s), and Transmission Operator(s) as scheduled by such requesting entities. FEUS self-reported a violation of this Standard because it did not have an adequate facility ratings methodology as required by FAC-008-1 R1 and, thus, it could not establish facility ratings as required by this Standard.

As noted above, R2 of this Standard requires Registered Entities to provide facility ratings as required by requesting entities. WECC reviewed FEUS' self-report and determined that FEUS had not violated the Standard for the following reasons: (1) FEUS never received any requests to provide its facility ratings; (2) FEUS had facility ratings (although not established by an adequate facility ratings methodology) at the time it self-reported the violation that FEUS could have provided had they been requested; and (3) FEUS reports its facility ratings through the WECC base case data collection process and they are available upon request. In short, WECC determined that no violation occurred because the Standard is request driven, and there was no unfulfilled request underlying FEUS' self-report.

E. IRO-004-1 R4 – Reliability Coordination – Operations Planning

WECC dismissed this violation after it determined that no violation occurred. R4 specifies that each Transmission Operator, Balancing Authority, Transmission Owner, Generator Owner, Generator Operator and Load-Serving Entity in the Reliability Coordinator Area shall provide information required for system studies, such as critical facility status, load, generation, operating reserve projections, and known Interchange Transactions. This information must be available by 1200 Pacific Standard Time for the Western Interconnection.

FEUS submitted a self-report for a violation of this Standard on June 15, 2007, stating that it would provide the information as required by the Standard. WECC reviewed FEUS' self-report and determined that no actual violation of the Standard occurred because FEUS did not identify any information that it had failed to provide to its Reliability Coordinator. WECC contacted FEUS' System Operations Supervisor who stated that the Reliability Coordinator had never requested any information from FEUS regarding next day system studies. He explained that FEUS had self-reported a possible violation of this Standard because it did not understand what the Standard required.

Based on this discussion with FEUS' System Operations Supervisor, WECC dismissed the violation. The Reliability Coordinator did not make any requests to FEUS to provide information for next day reliability studies or analysis. Additionally, the Standard itself does not specify what data a Registered Entity should provide to the Reliability Coordinator. In short, WECC determined that this violation should be dismissed because FEUS never failed to provide information as requested by the Reliability Coordinator.

F. TOP-002-2 R3 – Normal Operations Planning

WECC dismissed this violation after it determined that no violation had occurred. R3 requires each Load-Serving Entity and Generator Operator to coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and Transmission Service Provider must coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.

At the Compliance Audit, the Audit Team determined that FEUS violated this Standard because the evidence produced by FEUS did not demonstrate that FEUS was coordinating its current day, next day and seasonal operations with the host Balancing Authority as required by the Standard. A second look by WECC SMEs at the evidence presented by FEUS at the Compliance Audit led the WECC SMEs to conclude that FEUS had provided sufficient documentation to demonstrate coordination of current day, next day, and seasonal operations with the host Balancing Authority.

FEUS has a procedure dated August 31, 2007, signed by FEUS' Director, that provides for FEUS system operators to communicate by voice and NERC Tagging current day, next day and seasonal operations with the Reliability Coordinator, Balancing Authority and interconnected utilities to insure coordination. To coordinate current day operations, FEUS uses the Inter-Control Center Communications Protocol ("ICCP") to send data to the Balancing Authority and the Reliability Coordinator every 20 seconds. ICCP is a real time data exchange protocol that provides data exchange over wide area networks between utility control centers, utilities, power pools, regional control centers and Non-Utility Generators. To coordinate next day operations, FEUS performs outage scheduling coordinated with its Balancing Authority and Reliability Coordinator through common communication protocols. FEUS reports its seasonal loads and resources to its Balancing Authority as requested by WECC. Based on this information, WECC determined that no violation occurred.

V. Settlement Terms

A. Payment. To settle this matter, FEUS hereby agrees to pay \$40,250.00 to WECC via wire transfer or cashier's check. FEUS shall make the funds payable to a WECC account identified in a Notice of Payment that WECC will send to FEUS upon approval of this Agreement by NERC and the FERC. FEUS shall issue the payment to WECC no later than twenty days after receipt of the Notice of Payment.

The terms of this Agreement, including the agreed upon payment, are subject to review and possible revision by NERC and FERC. Upon NERC approval of the Agreement, NERC will file a Notice of Penalty with FERC. If FERC approves the Agreement, NERC will post the Agreement publicly. If either NERC or FERC rejects the Agreement, then WECC will attempt to negotiate a revised settlement agreement with FEUS that includes any changes to the Agreement specified by NERC or FERC. If the Parties cannot reach a settlement agreement, the CMEP governs the enforcement process.

B. Payment Rationale. WECC's determination of penalties in an enforcement action is guided by the statutory requirement codified at 16 U.S.C. § 824o(e)(6) that any penalty

imposed “shall bear a reasonable relation to the seriousness of the violation and shall take into consideration the efforts of such user, owner, or operator to remedy the violation in a timely manner”. Additionally, WECC considers the guidance provided by the NERC Sanction Guidelines and by FERC in Order No. 693 and in its July 3, 2008 Guidance Order on Reliability Notices of Penalty.

Specifically, to determine penalty assessment, WECC considers the following factors: (1) the seriousness of the violation, including the applicable Violation Risk Factor and Violation Severity Level, and the risk to the reliability of the Bulk Power System (“BPS”); (2) the violation’s duration; (3) the Registered Entity’s compliance history; (4) the Registered Entity’s self-reports and voluntary corrective action; (5) the degree and quality of cooperation by the Registered Entity in the audit or investigation process, and in any remedial action; (6) the quality of the Registered Entity’s compliance program; (7) any attempt by the Registered Entity to conceal the violation or any related information; (8) whether the violation was intentional; (9) any other relevant information or extenuating circumstances; and (10) the Registered Entity’s ability to pay a penalty.

To agree upon a payment amount in this action and reach agreement with FEUS, WECC considered the seriousness of each violation, including the applicable Violation Risk Factors as outlined below.

Reliability Standard	Violation Risk Factor (VRF)
COM-001-1 R3	Lower
COM-001-1 R5	Lower
COM-002-1 R2	Medium
EOP-001-0 R4	Medium
EOP-008-0 R1	High
FAC-001-1 R1	Medium
FAC-001-1 R2	Medium
FAC-008-1 R1	Lower
FAC-009-1 R2	Medium
MOD-017-0 R1	Medium
MOD-018-0 R1	Medium
PRC-005-1 R1	High
PRC-005-1 R2	High
PRC-008-0 R2	Medium
PRC-STD-005-1 WR1	[None]
PRC-017-0 R1	High
TOP-002-2 R4	Medium
TOP-002-2 R11	Medium
TOP-002-2 R14	Medium
TOP-002-2 R17	High

In addition, WECC considered several mitigating factors in reaching this Agreement with FEUS. First, these violations were FEUS’ first assessed noncompliance with the applicable Reliability Standards. Second, FEUS self-reported 11 of the violations. Third, FEUS mitigated

the violations. Fourth, FEUS was cooperative throughout WECC's evaluation of the company's compliance with the Reliability Standards and the enforcement process. Fifth, based on the Compliance Program Audit Worksheet, WECC determined that FEUS excels in several categories that indicate a high-quality Internal Compliance Program ("ICP"). In particular, FEUS has created: an ICP oversight position; FEUS' ICP oversight position is supervised at a high level; the ICP oversight position has independent access to the CEO or Board of Directors; the ICP is operated and managed so as to be independent of those responsible for compliance with the Reliability Standards; the ICP has the support and participation of senior management; and FEUS has dedicated sufficient staff and an adequate budget to its ICP. And, finally, WECC recognized that FEUS is a small, municipally-operated system that has comparatively limited financial resources.

As part of its decision in reaching an agreement with FEUS, WECC considered that there were no aggravating factors warranting a higher payment amount than the one agreed upon by the Parties. Specifically, FEUS did not have any negative compliance history. There was no failure by FEUS to comply with applicable compliance directives, nor any evidence of an attempt by FEUS to conceal a violation. Finally, there was no evidence that FEUS' violations were intentional.

VI. Additional Terms

A. Authority. The undersigned representative of each party warrants that he or she is authorized to represent and bind the designated party.

B. Representations. The undersigned representative of each party affirms that he or she has read the Agreement, that all matters set forth in the Agreement are true and correct to the best of his or her knowledge, information, or belief, and that he or she understands that the Agreement is entered into by each party in express reliance on the representations set forth herein.

C. Review. Each party agrees that it has had the opportunity to consult with legal counsel regarding the Agreement and to review it carefully. Each party enters the Agreement voluntarily. No presumption or rule that ambiguities shall be construed against the drafting party shall apply to the interpretation or enforcement of this Agreement.

D. Entire Agreement. The Agreement represents the entire agreement between the Parties. No oral representations shall be considered a part of the Agreement.

E. Effective Date. The Agreement shall become effective upon FERC's approval of the Agreement by order or operation of law.

F. Waiver of Right to Further Proceedings. FEUS agrees that the Agreement, upon approval by NERC and FERC, is a final settlement of all matters set forth herein. FEUS waives its right to further hearings and appeal, unless this Agreement is rejected or modified in any material respect by NERC or FERC, in which case FEUS may, upon written notice to WECC within twenty (20) days thereafter, withdraw from this Agreement. Notwithstanding the foregoing, if NERC or FERC's approval of this Agreement is conditioned on the modification of

this Agreement or on any other condition, such modification or condition shall be considered to be accepted unless FEUS provides such written notice within the twenty (20)-day period.

G. Reservation of Rights. WECC reserves all of its rights to initiate enforcement, penalty or sanction actions against FEUS in accordance with the Agreement, the CMEP and the NERC Rules of Procedure. In the event that FEUS fails to comply with any of the terms of this Agreement, WECC shall have the right to pursue enforcement, penalty or sanction actions against FEUS up to the maximum penalty allowed by the NERC Rules of Procedure. FEUS shall retain all of its rights to defend against such enforcement actions in accordance with the CMEP and the NERC Rules of Procedure. Failure by WECC to enforce any provision hereof on occasion shall not constitute a waiver by WECC of its enforcement rights or be binding on WECC on any other occasion.

H. Amendments. Any amendments to the Agreement shall be in writing. No amendment to the Agreement shall be effective unless it is in writing and executed by the Parties.

I. Successors and Assigns. The Agreement shall be binding on successors or assigns of the Parties.

J. Governing Law. The Agreement shall be governed by and construed under the laws of the State of Utah.

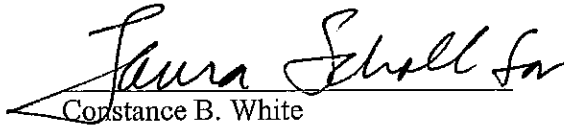
K. Captions. The Agreement's titles, headings and captions are for the purpose of convenience only and in no way define, describe or limit the scope or intent of the Agreement.

L. Counterparts and Facsimiles. The Agreement may be executed in counterparts, in which case each of the counterparts shall be deemed to be an original. Also, the Agreement may be executed via facsimile, in which case a facsimile shall be deemed to be an original.

Agreed to and accepted:

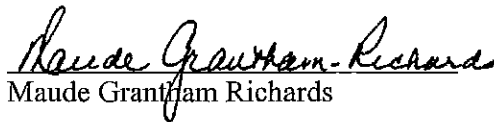
[Intentionally left blank; signature page follows]

WESTERN ELECTRICITY COORDINATING COUNCIL

 Date: 7/16/09
Constance B. White

Title: Vice President of Compliance

FARMINGTON ELECTRIC UTILITY SYSTEM

 Date: July 15, 2009
Maude Grantham Richards

Title: Electric Utility Director

Attachment d

**FEUS' Mitigation Plans for COM-001-1 R3
submitted March 17, 2008, COM-001-1 R5
submitted May 21, 2008, COM-002-2 R2
submitted March 17, 2008, EOP-001-0 R4
submitted March 17, 2008, EOP-008-0 R1 dated
November 19, 2008 and submitted November 21,
2008, FAC-001-0 R1 and R2 submitted Lwpg'37.'4229
FAC-008-1 R1 submitted Lwpg'37.'4229, FAC-009-1 R1
submitted Lwpg'37.'4229, MOD-017-0 R1 submitted
September 9, 2008, MOD-018-0 R1 submitted
May 21, 2008, PRC-005-1 R1 submitted March 17,
2008, PRC-005-1 R2 submitted March 17, 2008,
PRC-008-0 R2 submitted March 14, 2008, PRC-
STD-005-1 WRI submitted March 17, 2008, PRC-
017-0 R1 submitted January 9, 2008, TOP-002-2
R4 and R11 submitted May 28, 2008, TOP-002-2
R14 submitted March 17, 2008 and Certification
of Completion therein, and TOP-002-2 R17
submitted March 17, 2008**



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: COM-001-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800636	FEUS_WECC2008664	R3	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

FEUS has not provided evidence that a process is in place to investigate and recommend solutions to telecomm problems within its' and others areas.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

COM-001-1/ COM-002-2 Telecommunications Procedure Dated 8-31-07 will be re-written to better serve the requirements. The procedure will then be tested and the results will be archived and provided with the completed mitigation. [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June 13, 2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June 13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

An inter -deptmtal m emo has been distributed as a rem inder of the communications system s procedures .

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Staff will be better prepared to respond to any communications system abnormality.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



Western Electricity Coordinating Council



The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 5/21/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Clinton Jacobs
Title: Compliance Engineer
Email: cjacobs@fmtn.org
Phone: 505-599-1163



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: COM-001-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
		R5	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

The on-site audit team found that FEUS does not have procedures in place and did not provide sufficient evidence that it could continue operation of the system during the loss of telecommunications facilities.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

COM-001-1/ COM-002-2 Telecommunications Procedure Dated 8-31-07 will be re-written to better serve the requirements. The procedure will then be tested and the results will be archived and provided with the completed mitigation. The revised Telecommunications Procedure will become a part of the Emergency Operations Procedures(EOP).

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected: Completion date will be August 22nd, 2008.
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

An inter -deptmtal m emo has been distributed as a rem inder of the communications system s procedures .

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

FEUS will have in place written procedures and will have tested those procedures to allow for operation of the system during the loss of telecommunications facilities.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



Western Electricity Coordinating Council



The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Compliance Engineer of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature:


(Electronic signatures are acceptable; see CMEP)

Name (Print): Clinton Jacobs

Title: Compliance Engineer

Date: May 21, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: COM-002-2
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800635	FEUS_WECC2008663	R2	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

Evidence supplied to audit team indicated a need for improvement in practices related to the communication methods between the control center personnel and field personnel during field directives.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS Switching Procedures and Guidelines Manual will be revised in that section related to the clear and concise communications.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June, 13, 2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June 13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

An inner-departmental memo has been distributed and a portion of the March 26, 2008 Safety Meeting will be dedicated to outline the clear and concise communications procedures required.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Staff will be understood and use clear and concise communications methods.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



Western Electricity Coordinating Council



The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/17/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: EOP-001-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800637	FEUS WECC2008665	R4.1	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

Evidence provided, listed as Appendix J of the FEUS EOP, did not contain communications protocols. Appendix J is a list of primary and backup systems.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

COM-001-1/ COM-002-2 Telecommunications Procedure Dated 8-31-07 will be re-written to better serve the requirement. The procedure will then be tested and will become the revised Appendix J to the FEUS EOP.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June 13, 2008

- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June 13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

An inner-departmental memo has been distributed as a reminder of the communications systems procedures and has been commented on prior to revision.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Staff will be better prepared to respond to any communications system abnormality and will automatically look at the communications procedures when the FEUS EOP's program goes through the annual update.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Compliance Enforcement Program

Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☐

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/2007

Date Mitigation Plan submitted: 06/18/2007

Standard Title: Plans for Loss of Control Center Functionality

Standard Number: EOP-008-0

Requirement Number(s)²: R1

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☐ Level 3 ☒ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS does not have a clearly defined plan in case of the loss of its control center; we do have a generic plan to maintain a "paper system" in coordination with a pre-loaded laptop should we experience the loss of our control center. All information relating to our tie lines, generation, interchange schedules, and load is provided to our BA. Paper schedules are in place to monitor and record tie lines, generation, interchange schedules, and load manually on an hourly basis.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

Minimal; would not have any impact on interconnected system.

Describe any mitigating factors for this non-compliance (include supporting documentation).

None

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

Describe your detailed plan to become compliant.

Plans for Loss of Control Center Functionality is being developed.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Plans for Loss of Control Center Functionality will be developed to include subrequirements R1.1 through R1.8, tested and implemented, if possible, by December 31, 2007. Should the plan require the purchase of hardware or software, construction or other investments that have to be bid pursuant to New Mexico State Procurement Law, FEUS could experience a delay. Should this happen, WECC will be notified. Dollars have been identified in FEUS' FY 2008 budget should additional capital investment be required.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Maude Grantham-Richards
Title: Electric Utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number: WECC200706142

Date Mitigation Plan was received at WECC: 06/15/2007

Date Mitigation Plan was accepted by WECC: 11/01/2007

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 4/24/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 2/11/2008

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☐ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Registered Entity Name: FEUS
Registered Entity Address:
NERC Compliance Registry ID:

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.¹

Name: Clint Jacobs
Title: Compliance Engineer
Email: cjacobs@fmtm.org
Phone: 505.599.1163

¹ A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: EOP-0080-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1		6/15/2007	self-report

(*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use .

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

A backup control center had not been designed, built, and tested
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

FEUS system had been deemed in the past to be too small to affect the grid reliability. As such, no provisions had been made for a backup control center.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

A procedure will be put in place to direct and monitor the FEUS system operations should the loss of the primary control center ever happen.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)

(*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.



Western Electricity Coordinating Council

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

No risks to the bulk Power System . All of the external ties and schedules are monitored by our Balancing Authority, Western Area Power Administration.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

The backup control center as completed allows the system operator to monitor his significant tie lines, adjust generation, and respond to customer outages.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of FEUS.
 3. I understand FEUS obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: _____
 (Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: April 28, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section H: WECC Contact and Instructions for Submission

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: JStuart@wecc.biz

Phone: (801) 883-6887

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



Western Electricity Coordinating Council



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☒

Date this Mitigation Plan is being submitted: 11/19/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 11/18/2008

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Registered Entity Name: FEUS

Registered Entity Address: 101 N. Browning Pkwy., Farmington, NM

NERC Compliance Registry ID: FEUS

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.¹

Name: Alan Glazner

Title: System Operations Supervisor

Email: AGlazner@fmtn.org

Phone: 505.599.8344

¹ A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.

**Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan**

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: EOP-0080-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1		9/30/2008	WECC rejection

(*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use .

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

WECC compliance department notified FEUS that a modification to the attached procedure, "FEUS System Operations Loss of Control Center_Rev3.doc" was needed because "FEUS procedure is lacking provision for periodic testing of the backup site, as well as there is no procedures and responsibilities for annual training of the FEUS operations personnel on the procedure. There is no annual update required in the document"
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:



We have changed the verbage to describe more closely what procedures and training are (and have been) done.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

A procedure has been put in place to direct and monitor the FEUS system operations should the loss of the primary control center ever happen.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected: 11/18/2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)



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(*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

As noted, this plan is a simple rewrite of the attached document to more closely describe policies and procedures already in place at FEUS.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

No risks to the bulk Power System. All of the external ties and schedules are monitored by our Balancing Authority, Western Area Power Administration.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

The backup control center as completed allows the system operator to monitor his significant tie lines, adjust generation, and respond to customer outages.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



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[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Director of FEUS.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of FEUS.
 3. I understand FEUS obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature:

Maude Grantham-Richards
(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Maude Grantham-Richards
Title: Utility Director
Date: 11/19/2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section H: WECC Contact and Instructions for Submission

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: JStuart@wecc.biz

Phone: (801) 883-6887

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



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- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/07

Date Mitigation Plan submitted: 06/15/07

Standard Title: Facility Connection Requirements

Standard Number: FAC-001-0

Requirement Number(s)²: **R1, R2**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☒ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has connection requirements for transmission facilities, but does not meet the standard as written. Current requirements are developed based on the customer's request meeting our own approved standards which are not as detailed the NERC standard requires.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will revise its Connecting Facility policy and procedure which will include all the sub-requirements established in the standard to meet NERC standard FAC 001-0

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Procedures and documentation to meet this standard shall be in place by 08/30/07.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards

Title: Electric Utility Director

Phone: 505.599.1165

Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 051807

Date Mitigation Plan submitted: 061807

Standard Title: Facility Ratings Methodology

Standard Number: FAC-008-1

Requirement Number(s)²: **R1, R2,R3**

Level of Noncompliance: ☒ Level 1 ☒ Level 2 ☒ Level 3 ☒ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has a methodology for determining equipment ratings, but does not meet the standard as written. Current methodolgy includes a combination of manufacturers data and equipment testing but is not as detailed the standard requires.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will prepare procedures, and perform any required tests to meet the requirements of the standard.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Procedures and documentation to meet this standard shall be in place by 083007.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards

Title: Electric utility Director

Phone: 505.599.1165

Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 051807

Date Mitigation Plan submitted: 061807

Standard Title: Establish and Communicate Facility Ratings

Standard Number: FAC-009-1

Requirement Number(s)²: **R1, R2**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☒ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has a methodology for determining equipment ratings, but does not meet the standard as written. Current methodology includes a combination of manufacturers data and equipment testing but is not as detailed the standard requires. Audit schedules and data retention requirements have not been established.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will prepare procedures per FAC-008-1 and establish rules, audit procedures, and data retention requirements per the compliance instructions of this standard

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

.Procedures and documentation to meet this standard shall be in place by 083007.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation Plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards
Title: Electric utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Comment [js1]: 11-1-2007 Jim Stuart, reviewed the MP. Comments are on the MP Review document.

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☐

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/2007

Date Mitigation Plan submitted: 06/15/2007

Standard Title: Aggregated Actual and Forecast Demands and Net Energy for Load

Standard Number: MOD-017-0

Requirement Number(s)²: R1

Level of Noncompliance: ☐ Level 1 ☒ Level 2 ☐ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS gathers this data but has no documentation in place to demonstrate reporting compliance.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

Minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

None

Describe your detailed plan to become compliant.

A documentation plan will be developed demonstrating reporting compliance with this Standard.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

A documentation plan will be developed demonstrating reporting compliance with this Standard by September 18, 2007

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Maude Grantham-Richards
Title: Electric Utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 9/9/2008

If this Mitigation Plan has already been completed:

- Check this box ☒ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID ***[if known]***:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Clinton Jacobs
Title: Electric Utility Director
Email: cjacobs@fmtn.org
Phone: 505-599-1365



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: MOD-017-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
		R1	6/18/07

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

FEUS gathers the data required by the standard but did not have documentation in place to demonstrate reporting compliance.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

A mitigation plan was submitted and approved in June 2007. The plan was completed on time in September 2007 and a completion form was filed with WECC. Although the plan was complete, a final completion and subsequent approval as compliant was not granted by WECC until our on-site audit in February 2008. Thus we are filing this plan with completion and supporting evidence to close the gap between June 2007 and February 2008.



Western Electricity Coordinating Council



[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

Studies are done on an annual basis under the most severe contingencies and used for the entire year. The FEUS system is built to deliver resources to its customers not to provide transmission access to others. FEUS engineering includes operations in the planning process and written documentation has been implemented to meet the standard as written.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)



Western Electricity Coordinating Council



(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

Plan already implemented .
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Documentation will already be in place in the future to show compliance.
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Compliance Engineer of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
(Electronic signatures are acceptable; see CMEP)

Name (Print): Clinton Jacobs
Title: Compliance Engineer
Date: 9/9/08



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☐

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/2007

Date Mitigation Plan submitted: 06/15/2007

Standard Title: Reports of Actual and Forecast Demand Data

Standard Number: MOD-018-0

Requirement Number(s)²: R1

Level of Noncompliance: ☒ Level 1 ☐ Level 2 ☐ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has no non member entities and provides for its native load only; its data is provided as requested but we do not have any procedures that address assumptions or methods on how uncertainties are dealt with. We also do not have any documentation to demonstrate data has been provided.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

Minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

None

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

A documentation plan will be developed that addresses how assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load and records of providing the information will be kept.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

A documentation plan will be developed demonstrating reporting compliance with this Standard by September 18, 2007

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Maude Grantham-Richards

Title: Electric Utility Director

Phone: 505.599.1165

Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: May 21, 2008

If this Mitigation Plan has already been completed:

- Check this box ☐ and
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Appendix A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Registered Entity Name: Farmington Electric Utility System
 Registered Entity Address: 101 N. Browning Parkway
 NERC Compliance Registry ID: FEUS

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.¹

Name: Clinton Jacobs
 Title: Compliance Engineer
 Email: cjacobs@fmtn.org
 Phone: 505-599-1163

¹ A copy of the WECC CMEP is posted on WECC's website at <http://www.wecc.biz/documents/library/compliance/manuals/Att%20A%20-%20WECC%20CMEP.pdf>. Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Section C: Identity of Alleged or Confirmed Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: MOD-018-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1.2		2/15/2008	audit

(*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use .

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

FEUS self-reported non-compliance and submitted a mitigation plan with a completion date of 9/18/07. FEUS provided an electronic copy of a spreadsheet with forecast and actual loads and seasonal peaks, formatted consistent with requirements of the reliability standard. Evidence provided does not identify how assumptions, methods and schedule uncertainties are addressed (R1.2). The audit team could not confirm completion.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:



[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

Assumptions, methods, and the manner in which uncertainties are treated in the forecasting of aggregated peak demands and Net Energy for Load will be delineated in a stand-alone document.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected: This document will be completed by June 30, 2008.
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)
None	



Western Electricity Coordinating Council



(*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

There are no risks associated with the system grid operation.
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

With a documented assumption plan, we will be fully compliant with the standard.
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Compliance Engineer of FEUS.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of FEUS.
 3. I understand FEUS obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: _____
(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Clinton Jacobs
Title: Compliance Engineer
Date: 5/21/08



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section H: WECC Contact and Instructions for Submission

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: JStuart@wecc.biz

Phone: (801) 883-6887

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



Western Electricity Coordinating Council



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: PRC-005-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800642	FEUS_WECC2008670	R1	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

The FEUS relay maintenance and testing program does not identify the basis for the maintenance and testing intervals. The FEUS relay maintenance and testing program does not summarize the maintenance and testing procedures.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS relay maintenance and testing program will be re-written to identify the basis for the maintenance and testing intervals. The FEUS relay maintenance and testing program will be re-written to summarize the maintenance and testing procedures.
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
 June,13, 2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June,13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

none

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Detailed procedures and summarized results will provide FEUS staff with the tools to test and manage the relay testing program.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAW's provided during the last audit to assist in the



Western Electricity Coordinating Council



understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: PRC-005-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800643	FEUS_WECC2008671	R2	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

The FEUS relay maintenance and testing program does not provide evidence that the Protection System was maintained and tested.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS relay maintenance and testing program will be re-written to include summarized test results of the protection system maintenance and testing.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June, 13, 2008

- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June, 13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

none

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Detailed summarized test results will provide FEUS staff with the tools to manage the Protection System maintenance and testing program.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the



Western Electricity Coordinating Council



understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: mgranthamrichards@fmrn.org
Phone: 505-599-1365



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: PRC-008-0
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800645	FEUS_WECC2008673	R2	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

The FEUS UFLS relay maintenance and testing program does not provide evidence that the UFLS was maintained and tested according to the 4 year rotation mentioned in the maintenance and testing program.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS UFLS maintenance and testing program did not provide test data for 1/4th of the UFLS equipment. The FEUS UFLS relay testing will be accelerated to include testing of the UFLS relays as required by 4th year of the 4 year rotation (this equipment was originally scheduled to be tested during calendar 2008 testing). This testing will be completed during the 1st and 2nd quarters of calendar 2008. [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June,13, 2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June,13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.



Western Electricity Coordinating Council

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

none

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

These test results will provide FEUS staff with the tools to manage the UFLS.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAW's provided during the last audit to assist in the



Western Electricity Coordinating Council



understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am [Title] of [Organization].
 2. I am qualified to sign this Mitigation Plan on behalf of [Organization].
 3. I have read and understand [Organization's] obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. [Organization] agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print):

Title:

Date:



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3/14/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and submit a Mitigation Plan Completion Form in conjunction with this Mitigation Plan Submittal Form
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: Farmington Electric Utility System
Company Address: 101 Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham-Richards
Title: Electric Utility Director
Email: maudegr@fmtn.org
Phone: 505-599-1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: PRC-STD-005-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800644	FEUS_WECC2008672	WR1	2-15-08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

The FEUS Transmission Maintenance and Inspection Program (TMIP) was not in place and all test results were not endorsed by the field personnel performing the test.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 ***[Optional]*** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS TMIP will be reviewed and updated. All test data presented as evidence will be endorsed by the appropriate field personnel responsible.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected:
June,13, 2008
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
None	June,13, 2008

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

An inner-departmental memo stating the requirement for endorsed test data has been drafted and distributed to all FE US personnel responsible for inspection and maintenance of the Transm mission system.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

A through and fully implemented TMIP along with endorsed test data will provide FEUS personnel with procedures and methods to maintain the Bulk Electric System within it's service area.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



The utility, in addition to striving to meet the individual NERC standards, will also utilize the RSAWs provided during the last audit to assist in the understanding of the standards. Also, the utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer
Email: Jstuart@wecc.biz
Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☒ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 1/08/09

Date Mitigation Plan submitted: 1/09/09

Standard Title: Special Protection System Maintenance and Testing

Standard Number: NERC PRC-017-0

Requirement Number(s)²: **R1.3 and R1.5**

Level of Noncompliance: ☒ Level 1 ☐ Level 2 ☐ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self-evaluation

Provide an explanation of the noncompliance:

During self-evaluation for annual self-certification, we found that we did not write a summary procedure for battery testing, nor did we write a schedule for system maintenance.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

Reliability impact on the interconnection is minimal. Documented tests and maintenance have been performed, but the maintenance schedule and the test procedure summary were not written.

Describe any mitigating factors for this non-compliance (include supporting documentation).

None

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

Describe your detailed plan to become compliant.

1. Write "Station Battery Testing - Summary of Regular Checks, Tests and Maintenance"
2. Write "Remedial Action Scheme - Schedule for System Maintenance"
3. Add documents to file and issue for field use.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Items 1 - 3 have been completed, effective January 9, 2008

Are additional documents or information attached: ☒ Yes ☐ No

Additional Notes or Comments:

Summary and schedule are attached to this mitigation plan

Point of contact for WECC follow-up:

Name: Maude Grantham-Richards
Title: Electric Utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number: FEUS_WECC2008618

NERC ID Number: WECC200800594

Date Mitigation Plan was received at WECC: 1/11/2008

Date Mitigation Plan was accepted by WECC: 2/5/2008

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☐

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/07

Date Mitigation Plan submitted: 06/15/07

Standard Title: Normal Operations Planning

Standard Number: TOP-002-2

Requirement Number(s)²: **R1, R4, R11, R19**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☐ Level 3 ☒ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS does need written documentation but is in non-compliance mostly due to not running daily operating studies. Studies are done on an annual basis under the most severe contingencies and used for the entire year. From a reliability standpoint, it is very effective; from an economical system use, it is not. But, the FEUS system is built to deliver resources to its customers not to provide transmission access to others. FEUS engineering includes operations in the planning process, written documentation of some requirements needs to be implemented to meet the standard as written.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

moderate

Describe any mitigating factors for this non-compliance (include supporting documentation).

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

none

Describe your detailed plan to become compliant.

FEUS will prepare procedures where needed to insure that all of the provisions of the standard are met.

In addition, FEUS will, with permission of its City Manager and Council, hire an operations engineer to perform the studies required in R1, R4, R11 and R19.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Procedures can be completed by 08/30/07.

The hiring of an operations engineer to perform the study requirements under R1, R4, R11 and R19 will take longer but would anticipate closure by 12/31/07. If the mitigation plan cannot be completed by 12/31/07, we will update WECC.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Maude Grantham Richards

Title: Electric Utility Director

Phone: 505.599.1165

Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 5/28/08

If this Mitigation Plan has already been completed:

- Check this box ☐ and
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: FEUS (Farmington Electric Utility System)
Company Address: 101 N. Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID *[if known]*:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Clinton Jacobs
Title: Compliance Engineer
Email: cjacobs@fmtm.org
Phone: 505.599.1163



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: TOP-002-2
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
TOP-002-2		R4	2/15/08
TOP-002-2		R11	2/15/08

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

An on-site compliance audit

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

Although there were no seasonal or daily studies in place, the system load is less in other seasons and the excess capacity on the facilities is higher than summer ratings used. Seasonal studies have been implemented although the studies do not provide useful information.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

This mitigation plan will work inconjunction with another plan (for TOP-002-2; R3 and R17) submitted by FEUS which is currently approved by WECC and in progress toward completion. FEUS is in the process of acquiring state estimator software that will allow us to report per these requirements.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected: The quotation process for the purchase of the state estimator software is in progress. Meeting this standard will involve other City of Farmington departments (personnel or purchasing). Once quotation/purchasing is complete, installation and training must then be completed.
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
Evaluate Alternatives	5-15-08 FILED
Prepare Proposals (or Job)	8-15-08
Purchase software	10-15-08
Implement/train	12-15-08



Western Electricity Coordinating Council



(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

It is estimated that 9 months will be required for the option selected. The schedule will involve quotation, purchasing, and implementation and training. Specification to purchase or contact service (which involves the bidding process and award) is a time consuming process.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

Impact on reliability is minimal or does not exist. The 115 kv lines are not and will not be loaded to the normal rating even during N-1 conditions and there is no "flow through" load.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Once one of the options is in place a daily study will be run and a procedure will be put in place (R-11,R-17) to communicate information to the Reliability Coordinator and Balancing authority as specified in the standard, there will be no further violations since this complies with the standard.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability



Western Electricity Coordinating Council



standards. If so, identify and describe any such action, including milestones and completion dates:

The utility has hired a Compliance Engineer to administer our compliance program.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Compliance Engineer of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____

(Electronic signatures are acceptable; see CMEP)

Name (Print): Clinton Jacobs

Title: Compliance Engineer

Date: May 28, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer
Email: Jstuart@wecc.biz
Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3-17-08

If this Mitigation Plan has already been completed:

- Check this box ☒ and
- Provide the Date of Completion of the Mitigation Plan: 2-13-08

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: FEUS (Farmington Electric Utility System)
Company Address: 101 N. Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID **[if known]**:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham Richards
Title: Electric Utility Director
Email: maudegr@fmrn.org
Phone: 505.599.1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: TOP-002-2
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
TOP-002-2		R14	1/1/07

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

An on-site compliance audit stated that FEUS had not fully complied with the standard.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

FEUS is providing documentation to show that a memo was written 2-13-08 by Alan Glazner to the System Operators.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

FEUS will modify its procedure to comply with the standard and to communicate per Alan Glazner memo of 2-13-08 the necessary information to the system operators to meet the requirements of the standard.
 [Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☒ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected: Procedures and document preparation to meet this standard were in place by 2-13-2008.
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
Procedures and document preparation	2-13-08

(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.



Western Electricity Coordinating Council

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]



Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

FEUS

i

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

Impact on reliability is minimal. Alan Glazner memo of 2-13-08 instructs the System operator to communicate this information.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Once the correct procedure is in place and the testing conducted as specified in the standard, there will be no further violations since it complies with the standard.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:



Western Electricity Coordinating Council



The utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature:


(Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer

Email: Jstuart@wecc.biz

Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
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- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



Mitigation Plan Submittal Form

New ☒ or Revised ☐

Date this Mitigation Plan is being submitted: 3-17-08

If this Mitigation Plan has already been completed:

- Check this box ☐ and
- Provide the Date of Completion of the Mitigation Plan:

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Appendix A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review the notices and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Company Name: FEUS (Farmington Electric Utility System)
Company Address: 101 N. Browning Parkway, Farmington, NM 87401
NERC Compliance Registry ID ***[if known]***:

- B.2 Identify the individual in your organization who will be the Entity Contact to WECC regarding this Mitigation Plan.

Name: Maude Grantham Richards
Title: Electric Utility Director
Email: maudegr@fmrn.org
Phone: 505.599.1165



Section C: Identity of Reliability Standard Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the following violation(s) of the reliability standard listed below:

C.1 Standard: TOP-002-2
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Date ^(*) (MM/DD/YY)
WECC200800646	FEUS WECC2008674	R3	1/1/07
WECC200800649	FEUS WECC2008677	R17	1/1/07

(*) Note: The Violation Date shall be: (i) the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date that the violation has been deemed to have occurred on by WECC. Questions regarding the date to use should be directed to the WECC.

C.3 Identify the cause of the violation(s) identified above:

An on-site compliance audit

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

C.4 **[Optional]** Provide any relevant additional information regarding the violations associated with this Mitigation Plan:

Although there were no seasonal or daily studies in place, the system load is less in other seasons and the excess capacity on the facilities is higher than summer ratings used.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

FEUS is investigating three options to become compliant. The three options are hire an employee to run the studies daily. contact with a consultant to run the studies, or purchase software that the system operators can use for the studies.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the violations associated with this Mitigation Plan are corrected: The procedures to evaluate the most effective method to meet this standard will take detailed investigation of the options. Approval must then be obtained since this item was not in the budget. A proposal or job description must then be prepared. Meeting this standard will involve other City of Farmington departments (personnel or purchasing). The selection must then be made of the best solution. Installation (training) must then be completed.
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (shall not be more than 3 months apart)
Evaluate Alternatives	5-15-08
Prepare Proposals (or Job)	8-15-08
Purchase/hire	10-15-08
Implement/train	12-15-08



Western Electricity Coordinating Council



(*) Note: Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

D.4 If you have any relevant additional information that you wish to include regarding the mitigation plan, milestones, milestones dates and completion date proposed above you may include it here:

The schedule will involve investigating the most suitable of the three option. Specification to purchase or contact service which will involve the bidding process and award (8 weeks). Hiring an employee will require approval and the government hiring process. It is stated that 9 months will be required for any of the options selected. i
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☐ and proceed and respond to Part E.2 and E.3, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are, or may be, known or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

Impact on reliability is minimal or does not exist. The 115 kv lines are not and will not be loaded to the normal rating even during N-1 conditions and there is no "flow through" load.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form will prevent or minimize the probability that your organization incurs further violations of the same or similar reliability standards requirements in the future:

Once one of the options is in place a daily study will be run and a procedure will be put in place (R-17) to communicate information to the Reliability Coordinator as specified in the standard, there will be no further violations since this complies with the standard.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability



Western Electricity Coordinating Council



standards. If so, identify and describe any such action, including milestones and completion dates:

The utility has hired a Compliance Engineer to administer our compliance program. This position will be filled in April, 2008.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 1. I am Electric Utility Director of FEUS.
 2. I am qualified to sign this Mitigation Plan on behalf of FEUS.
 3. I have read and understand FEUS' obligations to comply with Mitigation Plan requirements and ERO remedial action directives as well as ERO documents, including, but not limited to, the NERC Rules of Procedure, including Appendix 4(C) (Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation" (NERC CMEP)).
 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Entity Officer Signature: _____
 (Electronic signatures are acceptable; see CMEP)

Name (Print): Maude Grantham-Richards

Title: Electric Utility Director

Date: March 17, 2008



Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Please direct any questions regarding completion of this form to:

Jim Stuart, Sr. Compliance Engineer
Email: Jstuart@wecc.biz
Phone: (801) 883-6887



Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the CMEP1 sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. Additional violations could be determined for not completing work associated with accepted milestones.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.

¹ "Uniform Compliance Monitoring and Enforcement Program of the North American Electric Reliability Corporation;" a copy of the current version approved by the Federal Energy Regulatory Commission is posted on NERC's website.



- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related violations of one Reliability Standard. A separate mitigation plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of this Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. WECC or NERC may reject Mitigation Plans that they determine to be incomplete or inadequate.
- VII. Remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.

Attachment e

FEUS' Certifications of Completion of the Mitigation Plans for COM-001-1 R3 dated June 5, 2008, COM-001-1 R5 dated June 5, 2008, COM-002-2 R2 dated June 6, 2008, EOP-001-0 R4 dated June 13, 2008, EOP-008-0 R1 dated November 19, 2008, FAC-001-0 R1 and R2 dated August 31, 2007, FAC-008-1 R1 dated August 31, 2007, FAC-009-1 R1 dated August 31, 2007, MOD-017-0 R1 dated September 9, 2008, MOD-018-0 R1 dated June 30, 2008, PRC-005-1 R1 dated June 13, 2008, PRC-005-1 R2 dated March 31, 2009, PRC-008-0 R2 dated May 21, 2008, PRC-STD-005-1 WRI dated June 13, 2008, PRC-017-0 R1 dated January 8, 2008, and TOP-002-2 R4, R11 and R17 dated December 15, 2008

**CONFIDENTIAL****Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System (FEUS)

Standard Title: Telecommunications

Standard Number: COM-001-01

Requirement Number(s): **R3**

Actual completion date of Mitigation Plan: June 2, 2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

FEUS Vital Primary and Secondary Telecommunications Systems Operations TS-001-1 Rev. 1 Paragraph 6.a and Test Results dated 6-02-08.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in blue ink, appearing to read 'Clinton Jacobs', is written over a horizontal line.

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/5/08



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Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System (FEUS)

Standard Title: Telecommunications

Standard Number: COM-001-01

Requirement Number(s): **R5**

Actual completion date of Mitigation Plan: June 2, 2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

FEUS Vital Primary and Secondary Telecommunications Systems Operations TS-001-1 Rev. 1 Paragraph 6.a and Test Results dated 6-02-08.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in blue ink, appearing to read 'Clinton Jacobs', is written over a horizontal line.

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/5/08

**CONFIDENTIAL**

Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System (FEUS)

Standard Title: Communications

Standard Number: COM-002-2

Requirement Number(s): R2

Actual completion date of Mitigation Plan: June 5, 2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

FEUS Switching Procedures and Guidelines Paragraphs 5.4.5 and 6.3.1.

Additional Notes or Comments pertaining to this violation:

Also, please find attached recorded evidence of clear and concise communications during a switching procedure.

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in blue ink, appearing to read 'Clinton Jacobs', is written over a horizontal line.

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/6/2008

**CONFIDENTIAL****Mitigation Plan Completion Form**

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: FEUS

Standard Title: Emergency Operations Planning

Standard Number: EOP-001-0

Requirement Number(s): R4.1

Actual completion date of Mitigation Plan: April 15, 2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Appendix J of the FEUS EOP

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that FEUS is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/13/08

**CONFIDENTIAL**

Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: FEUS

Standard Title: Plans for Loss of Control Center Functionality

Standard Number: EOP-008-0

Requirement Number(s): R1

Actual completion date of Mitigation Plan: 11/18/2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

The attached document, "FEUS System Operations Loss of Control Center_Rev3.doc" contains the updated information (page 7) describing our periodic testing of our backup control center, training on the backup control center, and the schedule for updates to the document (page 6).

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in blue ink, reading 'Maude Grantham-Richards', is written over a horizontal line.

Authorized Officer's Name: Maude Grantham-Richards

Authorized Officer's Title: Utility Director

Date: 11/19/08



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 05/18/07

Date Mitigation Plan submitted: 06/15/07

Standard Title: Facility Connection Requirements

Standard Number: FAC-001-0

Requirement Number(s)²: **R1, R2**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☒ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has connection requirements for transmission facilities, but does not meet the standard as written. Current requirements are developed based on the customer's request meeting our own approved standards which are not as detailed the NERC standard requires.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will revise its Connecting Facility policy and procedure which will include all the sub-requirements established in the standard to meet NERC standard FAC 001-0

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Procedures and documentation to meet this standard shall be in place by 08/30/07.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards
Title: Electric Utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 051807

Date Mitigation Plan submitted: 061807

Standard Title: Facility Ratings Methodology

Standard Number: FAC-008-1

Requirement Number(s)²: **R1, R2,R3**

Level of Noncompliance: ☒ Level 1 ☒ Level 2 ☒ Level 3 ☒ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has a methodology for determining equipment ratings, but does not meet the standard as written. Current methodolgy includes a combination of manufacturers data and equipment testing but is not as detailed the standard requires.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will prepare procedures, and perform any required tests to meet the requirements of the standard.

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

Procedures and documentation to meet this standard shall be in place by 083007.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards

Title: Electric utility Director

Phone: 505.599.1165

Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



Mitigation Plan

Please complete an individual Mitigation Plan for each NERC Reliability Standard that indicates any level(s) of non-compliance and return to Compliance@WECC.biz

New ☐ Self-Report ☒ Revised ☐ Completed¹ ☒

Registered Entity Name: FEUS

Date noncompliance was discovered or reported: 051807

Date Mitigation Plan submitted: 061807

Standard Title: Establish and Communicate Facility Ratings

Standard Number: FAC-009-1

Requirement Number(s)²: **R1, R2**

Level of Noncompliance: ☐ Level 1 ☐ Level 2 ☒ Level 3 ☐ Level 4

☐ Level not specified

How was the noncompliance found? (e.g. Routine Readiness Evaluation, Self-evaluation, Internal Audit, etc.)

Self Evaluation

Provide an explanation of the noncompliance:

FEUS has a methodology for determining equipment ratings, but does not meet the standard as written. Current methodology includes a combination of manufacturers data and equipment testing but is not as detailed the standard requires. Audit schedules and data retention requirements have not been established.

Designate a reliability impact (minimal, moderate, or severe) that the noncompliance had or could have had on the interconnection. Include an explanation for the designation.

minimal

Describe any mitigating factors for this non-compliance (include supporting documentation).

none

Describe your detailed plan to become compliant.

¹ Submit documentation verifying the completion of the mitigation plan.

² Violations are reported at the level of requirements, sub requirements are not necessary.

FEUS will prepare procedures per FAC-008-1 and establish rules, audit procedures, and data retention requirements per the compliance instructions of this standard

Describe your detailed schedule to become compliant. (The schedule should include status updates at a minimum every three months to WECC).

.Procedures and documentation to meet this standard shall be in place by 083007.

Are additional documents or information attached: ☐ Yes ☒ No

Additional Notes or Comments:

Mitigation Plan completed and submitted August 31, 2007

Point of contact for WECC follow-up:

Name: Maude Grantham Richards
Title: Electric utility Director
Phone: 505.599.1165
Email: maudegr@fmtn.org

For WECC Use Only:

WECC ID Number:

NERC ID Number:

Date Mitigation Plan was received at WECC:

Date Mitigation Plan was accepted by WECC:

Date notice of completion of Mitigation Plan was received by WECC:



CONFIDENTIAL

Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System (FEUS)

Standard Title: Aggregated Actual and Forecast Demands and Net Energy for Load

Standard Number: MOD-017-0

Requirement Number(s): R1

Actual completion date of Mitigation Plan: September 18, 2007

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Please reference attached policy document and prior year integrated hourly information (Exhibit 1), forecast demands for the next two years (Exhibit 2), and long-term forecasts (Exhibit 3).

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 9/9/08



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Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: FEUS

Standard Title: Treatment of Nonmember Demand Data and How Uncertainties are Addressed in the Forecasts of Demand and Net Energy for Load

Standard Number: MOD-018-0

Requirement Number(s): R1.2

Actual completion date of Mitigation Plan: 6/30/2008

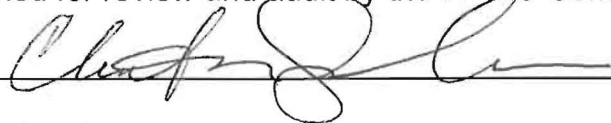
Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Attached is the Forecasting of Aggregated Peak Demands and Net Energy for Loads document that addresses the assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: 

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/30/2008



CONFIDENTIAL

Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System

Standard Title: Transmission and Generation Protection System Maintenance and Testing

Standard Number: PRC-005-1

Requirement Number(s): R1

Actual completion date of Mitigation Plan: 6-10-08

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Attached are the Revised Transmission and Generation Protection System Maintenance and Testing Procedure (see paragraph 4.a regarding testing interval basis and paragraph 5 regarding test summary requirements) and sample of the test data Summary.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/13/08



Mitigation Plan Submittal Form

New ☐ or Revised ☐

Date of submittal: 03/30/2009

If this Mitigation Plan is complete:

- Check this box ☒
- Provide the Date of the Mitigation Plan Completion: 03/30/2009
- In order for the Mitigation Plan to be accepted for review the following items must be submitted along with this Mitigation Plan Submittal Form:
 - Evidence supporting full compliance
 - Sections A, B, C, D.1, E.2, E.3, and F must be completed in their entirety

Section A: Compliance Notices & Mitigation Plan Requirements

- A.1 Notices and requirements applicable to Mitigation Plans and this Submittal Form are set forth in "Attachment A - Compliance Notices & Mitigation Plan Requirements" to this form. **Review Attachment A and check this box ☒ to indicate that you have reviewed and understand the information provided therein.** This Submittal Form and the Mitigation Plan submitted herein are incomplete and cannot be accepted unless the box is checked.

Section B: Registered Entity Information

- B.1 Identify your organization:

Registered Entity Name: Farmington Electric Utility System
Registered Entity Address: 101 N. Browning Pkwy, Farmington, NM 87401
NERC Compliance Registry ID: 5155

- B.2 Identify the individual in your organization who will be the Entity Contact regarding this Mitigation Plan. Please see Section 6.2 of the WECC Compliance Monitoring and Enforcement Program (CMEP) for a description of the qualifications required of the Entity Contact.¹

¹ A copy of the WECC CMEP is posted on WECC's website at <http://compliance.wecc.biz/Documents/Forms/03.06%20-%20WECC%20Mitigaton%20Plan%20Registered%20Entities>
Registered Entities are responsible for following all applicable WECC CMEP procedures. WECC



Name: Clinton Jacobs
Title: Compliance Engineer
Email: cjacobs@fmtn.org
Phone: 505-599-1163

Section C: Identity of Alleged or Confirmed Reliability Standard
Violations Associated with this Mitigation Plan

This Mitigation Plan is associated with the alleged or confirmed violation(s) of the reliability standard/requirements listed below:

C.1 Standard: PRC-005-1
[Identify by Standard Acronym (e.g. FAC-001-1)]

C.2 Requirement(s) violated and violation dates:
[Enter information in the following Table]

NERC Violation ID # [if known]	WECC Violation ID # [if known]	Requirement Violated (e.g. R3)	Violation Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
WECC200800643	FEUS WECC2008671	R2	Lower	02/15/08	audit

(*) Note: The Alleged or Confirmed Violation Date shall be: (i) the date the violation occurred; (ii) the date that the violation was self-reported; or (iii) the date upon which WECC has deemed the violation to have occurred. Please contact WECC if you have questions regarding which date to use.

C.3 Identify the cause of the alleged or confirmed violation(s) identified above:

The FEUS relay maintenance and testing program does not provide evidence that the Protection System was maintained and tested.

strongly recommends that registered entities become familiar with the WECC CMEP and its requirements, as they may be amended from time to time.



Western Electricity Coordinating Council

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- C.4 **[Optional]** Provide any relevant additional information regarding the alleged or confirmed violations associated with this Mitigation Plan:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section D: Details of Proposed Mitigation Plan

Mitigation Plan Contents

- D.1 Identify and describe the action plan, including specific tasks and actions that your organization is proposing to undertake, or which it undertook if this Mitigation Plan has been completed, to correct the violations identified above in Part C.2 of this form:

The FEUS relay maintenance and testing program will be re-written to include summarized test results of the protection system maintenance and testing and all protective relays with maintenance dates outside the 4 year interval will be tested during the mitigation completion period.
[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Check this box ☐ and proceed to Section E of this form if this Mitigation Plan, as set forth in Part D.1, has already been completed; otherwise respond to Part D.2, D.3 and, optionally, Part D.4, below.

Mitigation Plan Timeline and Milestones

- D.2 Provide the timetable for completion of the Mitigation Plan, including the completion date by which the Mitigation Plan will be fully implemented and the alleged or confirmed violations associated with this Mitigation Plan corrected:
- D.3 Enter Milestone Activities, with completion dates, that your organization is proposing for this Mitigation Plan:

Milestone Activity	Proposed Completion Date* (milestones cannot be more than 3 months apart)



Western Electricity Coordinating Council

FOR PUBLIC RELEASE - FEBRUARY 1, 2010



(*) Note: Implementation milestones should be no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission. As set forth in CMEP section 6.6, adverse consequences could result from failure to complete, on a timely basis, all required actions in this Mitigation Plan, including implementation of milestones. A request for an extension of the completion date of any milestone or of the Mitigation Plan must be received by WECC at least five (5) business days before the relevant milestone or completion date.

[Note: Provide your response here; additional detailed information may be provided as an attachment as necessary]

Additional Relevant Information (Optional)

- D.4 If you have any relevant additional information that you wish to include regarding the Mitigation Plan, milestones, milestones dates and completion date proposed above you may include it here:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section E: Interim and Future Reliability Risk

Check this box ☒ and proceed and respond to Part E.2, below, if this Mitigation Plan, as set forth in Part D.1, has already been completed.

Abatement of Interim BPS Reliability Risk

- E.1 While your organization is implementing the Mitigation Plan proposed in Part D of this form, the reliability of the Bulk Power System may remain at higher risk or be otherwise negatively impacted until the plan is successfully completed. To the extent they are known, reasonably suspected or anticipated: (i) identify any such risks or impacts; and (ii) discuss any actions that your organization is planning to take or is proposing as part of the Mitigation Plan to mitigate any increased risk to the reliability of the bulk power system while the Mitigation Plan is being implemented:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

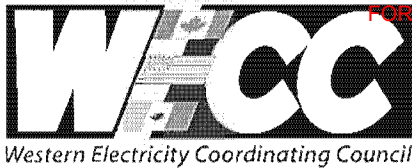
Prevention of Future BPS Reliability Risk

- E.2 Describe how successful completion of the Mitigation Plan as laid out in Part D of this form has or will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

- E.3 Your organization may be taking or planning other action, beyond that listed in the Mitigation Plan, as proposed in Part D.1, to prevent or minimize the probability of incurring further violations of the same or similar standards requirements listed in Part C.2, or of other reliability standards. If so, identify and describe any such action, including milestones and completion dates:

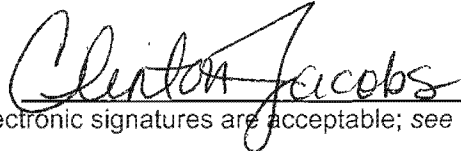
[Provide your response here; additional detailed information may be provided as an attachment as necessary]



Section F: Authorization

An authorized individual must sign and date this Mitigation Plan Submittal Form. By doing so, this individual, on behalf of your organization:

- a) Submits the Mitigation Plan, as laid out in Section D of this form, to WECC for acceptance by WECC and approval by NERC, and
- b) If applicable, certifies that the Mitigation Plan, as laid out in Section D of this form, was completed (i) as laid out in Section D of this form and (ii) on or before the date provided as the 'Date of Completion of the Mitigation Plan' on this form, and
- c) Acknowledges:
 - 1. I am Compliance Engineer of FEUS.
 - 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of FEUS.
 - 3. I understand FEUS obligations to comply with Mitigation Plan requirements and WECC or ERO remedial action directives and I have reviewed the WECC and ERO documents related to these obligations, including, but not limited to, the WECC CMEP and the NERC Rules of Procedure.
 - 4. I have read and am familiar with the contents of the foregoing Mitigation Plan.
 - 5. FEUS agrees to be bound by, and comply with, the Mitigation Plan, including the timetable completion date, as approved by WECC and approved by NERC.

Authorized Signature: 

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Clinton Jacobs
Title: Compliance Engineer
Date: 03/31/09



Western Electricity Coordinating Council

Section G: Comments and Additional Information

You may use this area to provide comments or any additional relevant information not previously addressed in this form.

[Provide your response here; additional detailed information may be provided as an attachment as necessary]

Section H: WECC Contact and Instructions for Submission

Please direct any questions regarding completion of this form to:

Mike Wells, Sr. Compliance Engineer

Email: mike@wecc.biz

Phone: (801) 883-6884

For guidance on submitting this form, please refer to the "*WECC Compliance Data Submittal Policy*". This policy can be found on the Compliance Manuals website as Manual 2.12:

<http://compliance.wecc.biz/Application/Documents/Forms/WECC%20Compliance%20Data%20Submittal%20Policy.pdf>

Attachment A – Compliance Notices & Mitigation Plan Requirements

- I. Section 6.2 of the WECC CMEP sets forth the information that must be included in a Mitigation Plan. The Mitigation Plan must include:
 - (1) The Registered Entity's point of contact for the Mitigation Plan, who shall be a person (i) responsible for filing the Mitigation Plan, (ii) technically knowledgeable regarding the Mitigation Plan, and (iii) authorized and competent to respond to questions regarding the status of the Mitigation Plan. This person may be the Registered Entity's point of contact described in Section 2.0.
 - (2) The Alleged or Confirmed Violation(s) of Reliability Standard(s) the Mitigation Plan will correct.
 - (3) The cause of the Alleged or Confirmed Violation(s).
 - (4) The Registered Entity's action plan to correct the Alleged or Confirmed Violation(s).
 - (5) The Registered Entity's action plan to prevent recurrence of the Alleged or Confirmed violation(s).
 - (6) The anticipated impact of the Mitigation Plan on the bulk power system reliability and an action plan to mitigate any increased risk to the reliability of the bulk power-system while the Mitigation Plan is being implemented.
 - (7) A timetable for completion of the Mitigation Plan including the completion date by which the Mitigation Plan will be fully implemented and the Alleged or Confirmed Violation(s) corrected.
 - (8) Implementation milestones no more than three (3) months apart for Mitigation Plans with expected completion dates more than three (3) months from the date of submission.
 - (9) Any other information deemed necessary or appropriate.
 - (10) The Mitigation Plan shall be signed by an officer, employee, attorney or other authorized representative of the Registered Entity, which if applicable, shall be the person that signed the Self-Certification or Self Reporting submittals.
- II. This submittal form may be used to provide a required Mitigation Plan for review and approval by WECC and NERC.



Western Electricity Coordinating Council

- III. The Mitigation Plan shall be submitted to the WECC and NERC as confidential information in accordance with Section 9.3 of the WECC CMEP and Section 1500 of the NERC Rules of Procedure.
- IV. This Mitigation Plan form may be used to address one or more related Alleged or Confirmed Violations of one Reliability Standard. A separate Mitigation Plan is required to address violations with respect to each additional Reliability Standard, as applicable.
- V. If the Mitigation Plan is approved by WECC and NERC, a copy of the Mitigation Plan will be provided to the Federal Energy Regulatory Commission in accordance with applicable Commission rules, regulations and orders.
- VI. Either WECC or NERC may reject a Mitigation Plan that it determines to be incomplete or inadequate. If the Mitigation Plan is rejected by either WECC or NERC, the Registered Entity will be notified and required to submit a revised Mitigation Plan.
- VII. In accordance with Section 7.0 of the WECC CMEP, remedial action directives also may be issued as necessary to ensure reliability of the bulk power system.



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Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System

Standard Title: Underfrequency Load Shedding Equipment Maintenance Programs

Standard Number: PRC-008-0

Requirement Number(s): **R2**

Actual completion date of Mitigation Plan: 5-21-08

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Attached "FREQ2007-8 Relay Settings and Test Summary.xls" spreadsheet Column "K".

Additional Notes or Comments pertaining to this violation:

See Signature at bottom of spreadsheet certifying test dates.

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in black ink, appearing to read 'Clinton Jacobs', is written over a horizontal line.

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 5/21/08



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Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System

Standard Title: Transmission Maintenance

Standard Number: PRC-STD-005-1

Requirement Number(s): **WR1**

Actual completion date of Mitigation Plan: 6-10-08

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Attached are Revised TMIP (see paragraph 4 regarding signatures) and sample of test data including signatures.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 6/13/08



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Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and return to Compliance@WECC.biz along with the supporting documentation / evidence that confirms full compliance and an Authorized Officer's signature.

Registered Entity Name: Farmington Electric Utility System

Standard Title: Special Protection System Maintenance and Testing

Standard Number: PRC-017-0

Requirement Number(s)¹: R1.3 and R1.5

Actual completion date of Mitigation Plan: January 8, 2008

Please attach supporting documentation used to demonstrate compliance.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

File Name: WECC Compliance 12-31-07 Self-certification; document names: Maintenance Schedule and Battery Test Summary.

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that [insert company name] is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: *Maude Grantham-Richards*

Authorized Officer's Name: Maude Grantham-Richards

Authorized Officer's Title: Electric Utility Director

Date: January 8, 2008

¹ Violations are reported at the level of requirements, sub requirements are not necessary.
WECC Compliance Monitoring and Enforcement Program
Mitigation Plan Completion Form

**CONFIDENTIAL**

Mitigation Plan Completion Form

Please complete a Mitigation Plan Completion form for each fully mitigated violation and submit to the WECC Compliance Web Portal File Upload along with the supporting evidence that confirms full compliance and Authorized Officer's signature.

Registered Entity Name: FEUS

Standard Title: Normal Operations Planning

Standard Number: TOP-002-2

Requirement Number(s): **R3, R4, R11, R17**

Actual completion date of Mitigation Plan: December 15, 2008

Check this box ☒ to indicate that you understand that the submittal of this Completion form is incomplete and cannot be reviewed for approval unless supporting documentation/evidence that confirms full compliance is attached.

Please provide the specific location (i.e. paragraph numbers, page numbers) in the documentation / evidence submitted to verify compliance.

Current day and Next day study emailed to RDRC, BA, TO; Screen shot of Contingency Analysis page; Screen shot of State Estimator page; Screen shot of OPENNET menu page; Screen shot of Real Time Sequencing page; Screen shot of operator study mode; Screen shot of Violations menu page

Additional Notes or Comments pertaining to this violation:

By endorsement of this document I attest that FEUS is now in full compliance with the standard / requirements addressed in this Mitigation Plan and documentation / evidence supporting full compliance is attached for review and audit by the WECC Compliance Staff.

Authorized Officer's Signature: _____

A handwritten signature in black ink, appearing to read 'Clinton Jacobs', is written over a horizontal line.

Authorized Officer's Name: Clinton Jacobs

Authorized Officer's Title: Compliance Engineer

Date: 15DEC08

Attachment f

WECC's Verifications of Completion of the Mitigation Plans for COM-001-1 R3 dated February 19, 2009, COM-001-1 R5 dated January 28, 2009, COM-002-2 R2 dated February 19, 2009, EOP-001-0 R4, PRC-008-0 R2 and PRC-STD-005-1 dated September 30, 2008, EOP-008-0 R1 dated December 1, 2008, FAC-001-0 R1 and R2, FAC-008-1 R1, FAC-009-1 R1 and PRC-017-0 R1 dated March 14, 2008, MOD-017-0 R1 dated January 28, 2009, MOD-018-0 R1 dated November 7, 2008, PRC-005-1 R1 dated October 7, 2008, PRC-005-1 R2 dated May 7, 2009, TOP-002-2 R4, R11 and R17 dated February 19, 2009, and TOP-002-2 R14 dated February 19, 2009

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

February 19, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 6/5/2008 for FEUS's alleged violation of Reliability Standard COM-001-1 and Requirement(s) 3. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 3 of the Reliability Standard COM-001-1 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Patrick Miller at pmiller@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanes, WECC Manager of Compliance Administration
Patrick Miller, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 28, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 6/6/2008 for FEUS's alleged violation of Reliability Standard COM-001-1 and Requirement(s) 5. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 5 of the Reliability Standard COM-001-1 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Patrick Miller at pmiller@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanese, WECC Manager of Compliance Administration
Patrick Miller, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

February 19, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 6/6/2008 for FEUS's alleged violation of Reliability Standard COM-002-2 and Requirement(s) 2. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 2 of the Reliability Standard COM-002-2 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Patrick Miller at pmiller@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanese, WECC Manager of Compliance Administration
Patrick Miller, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Audits and Investigations

360.980.2799
bkiser@wecc.biz

September 30, 2008

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Mitigation Plan Completion Review(s)

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by October 14, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or mike@wecc.biz. Thanks for your assistance in this effort.

CONFIDENTIAL

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:gc

Attachment

Cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanes, WECC Manager of Compliance Administration
Ed Ruck, NERC Regional Compliance Program Coordinator



Western Electricity Coordinating Council

January 25, 2010 - Confidential Information Redacted

Registered Entity: Farmington Electric Utility System

Date: September 30, 2008

	Standard Number	Requirement	Sufficient Evidence	Review Status
1	EOP-001-0	R4	Yes	Compliant
2				
3				
4				
5	PRC-008-0	R2	Yes	Compliant
6	PRC-STD-005-1	WR1	Yes	Compliant

CONFIDENTIAL



Bob Kiser
Manager of Audits and Investigations

360.980.2799
bkiser@wecc.biz

December 1, 2008

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Mitigation Plan Completion Review(s)

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by December 15, 2008, to the [Compliance Web Portal](#) including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or mike@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

CONFIDENTIAL

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:gc

Attachment

Cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanes, WECC Manager of Compliance Administration



CONFIDENTIAL

Registered Entity: Farmington Electric Utility System

Date: December 1, 2008

	Standard Number	Requirement	Completion Received by WECC	Accepted	Rejected	Review Status
1	EOP-008-0	1	11/21/2008	11/24/2008		Compliant

FOR PUBLIC RELEASE - FEBRUARY 1, 2010

CONFIDENTIAL



STEVEN W. McCOY
Vice President and
Director of Compliance

801.582.0353 ext. 6889
smccoy@wecc.biz

March 14, 2008

Maude Grantham-Richards
Electric Utility Director
Farmington Electric Utility System
101 North Browning Parkway
Farmington, NM 87401

Subject: Mitigation Plan Completion Review(s)

Dear Ms. Grantham-Richards,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by March 28, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Jim Stuart at (801) 883.6887 or jstuart@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

CONFIDENTIAL

Steve McCoy

STEVEN W. McCOY
WECC Vice President and
Director of Compliance

SM:jw

Attachment

Cc: Steve Henson, FEUS System Operations Manager
Lisa Milanes, WECC Manager of Compliance Administration
Tim Kucey, NERC Manager of Enforcement and Mitigation
Ed Ruck, NERC Regional Compliance Program Coordinator



Western Electricity Coordinating Council

January 25, 2010 – Confidential Information Redacted

Registered Entity: Farmington Electric Utility System

Date: March 14, 2008

	Standard Number(s)	Requirement(s)*	Sufficient Evidence	Audit Findings
1	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
2	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
3	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
4	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
5	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
6	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
7	FAC-001-0	R1, R2	No	Compliant - Confirmed Completion during audit. Possible Violation from 6/18/07 thru 2/15/08.

8	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
9	FAC-008-1	R1	No	Compliant - Confirmed Completion during audit. Possible Violation from 6/18/07 thru 2/15/08.
10	FAC-009-1	R1, R2	No	Compliant - Confirmed Completion during audit. Possible Violation from 6/18/07 thru 2/15/08.
11	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
12	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
13	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
14	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
15	[REDACTED]	[REDACTED]	[REDACTED]	
16	[REDACTED]	[REDACTED]	[REDACTED]	
17	[REDACTED]	[REDACTED]	[REDACTED]	
18	PRC-017-0	R1	No	Compliant - Confirmed Completion during audit. Possible Violation from 6/18/07 thru 1/11/08.
19	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

20	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
21	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

** Please note that multiple violations may be reported under one Standard, as indicated by the requirement(s) column.*

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Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 28, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 9/9/2008 for FEUS's alleged violation of Reliability Standard MOD-017-0 and Requirement(s) 1. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 1 of the Reliability Standard MOD-017-0 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Jay Look at jay@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanese, WECC Manager of Compliance Administration
Jay Look, WECC Senior Compliance Engineer

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Bob Kiser
Manager of Audits and Investigations

360.980.2799
bkiser@wecc.biz

11/7/2008

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Mitigation Plan Completion Review(s)

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by November 21, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or mike@wecc.biz. Thanks for your assistance in this effort.

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Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:gc

Attachment

Cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanes, WECC Manager of Compliance Administration
Ed Ruck, NERC Regional Compliance Program Coordinator



Western Electricity Coordinating Council

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January 25, 2010 Confidential Information Redacted

Registered Entity: Farmington Electric Utility System

Date: November 7, 2008

	Standard Number	Requirement	Completion Received by WECC	Accepted	Rejected	Review Status
1						
2						
3	MOD-018-0	1	01-Jul-08	30-Oct-08		Compliant

FOR PUBLIC RELEASE - FEBRUARY 1, 2010

CONFIDENTIAL



Bob Kiser
Manager of Audits and Investigations

360.980.2799
bkiser@wecc.biz

October 7, 2008

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Mitigation Plan Completion Review(s)

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) received Mitigation Plan Completion Form(s) and supporting evidence for each violation listed in Table 1 of Attachment A. The table indicates which plans have been completed and which remain incomplete. Attachment A also includes audit notes that detail the findings supporting this conclusion.

Each compliance violation associated with the incomplete Mitigation Plan(s) is now subject to sanctions and penalties under the Energy Policy Act of 2005. You will be receiving a letter from the WECC Compliance Department outlining the next steps in the penalty and sanction process regarding such violation(s).

Please submit a revised Mitigation Plan by October 21, 2008, including new proposed completion dates, for each unmitigated violation identified in Attachment A. The Mitigation Plan template form can be found on the WECC Compliance Manuals webpage, as Manual 03.03:

<http://www.wecc.biz/wrap.php?file=/wrap/Compliance/manuals.html>

Upon review, the WECC Compliance Department will provide written notice of its acceptance or rejection of the newly submitted Mitigation Plan.

If you have any questions or concerns, please contact Mike Wells at (801) 883.6884 or mike@wecc.biz. Thanks for your assistance in this effort.

CONFIDENTIAL

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:gc

Attachment

Cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanes, WECC Manager of Compliance Administration
Ed Ruck, NERC Regional Compliance Program Coordinator



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Registered Entity: Farmington Electric Utility System

Date: October 7, 2008

	Standard Number	Requirement	Completion Received by WECC	Sufficient Evidence	Review Status
1	PRC-005-1	1	13-Jun-08	Yes	Compliant

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Laura Scholl
Managing Director of Compliance

801.819.7619
lscholl@wecc.biz

May 7, 2009

Clinton Jacobs
Compliance Contractor
Farmington Electric Utility System
101 North Browning Parkway
Farmington, New Mexico 87401

NERC Registration ID: NCR05155

Subject: Certification of Completion Response Letter

Dear Clinton Jacobs,

The Western Electricity Coordinating Council (WECC) received the Certification of Completion and supporting evidence of Farmington Electric Utility System (FEUS) on 3/31/2009 for the alleged violation of Reliability Standard PRC-005-1 and Requirement(s) 2. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 2 of the Reliability Standard PRC-005-1 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Phil O'Donnell at podonnell@wecc.biz. Thank you for your assistance in this effort.

Sincerely,

Laura Scholl

Laura Scholl
Managing Director of Compliance

LS:cm

cc: Linda Jacobson, FEUS Scheduler
Lisa Milanes, WECC Manager of Compliance Program Administration
Phil O'Donnell, WECC Acting Manager of Audits

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

February 19, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 12/15/2008 for FEUS's alleged violation of Reliability Standard TOP-002-2 and Requirement(s) 4, 11, 17. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 4, 11, 17 of the Reliability Standard TOP-002-2 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Ed Riley at eriley@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanese, WECC Manager of Compliance Administration
Ed Riley, WECC Senior Compliance Engineer

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Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

February 19, 2009

Clint Jacobs
Compliance Engineer
Farmington Electric Utility System
NCR05155
101 North Browning Parkway
Farmington, New Mexico 87401

Subject: Certification of Completion Response Letter

Dear Clint Jacobs,

The Western Electricity Coordinating Council (WECC) has received Farmington Electric Utility System FEUS's Certification of Completion and supporting evidence on 3/17/2008 for FEUS's alleged violation of Reliability Standard TOP-002-2 and Requirement(s) 14. Listed below is the outcome of WECC's official review.

WECC has accepted the Certification of Completion for Requirement(s) 14 of the Reliability Standard TOP-002-2 and have found these requirements to be fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Ed Riley at eriley@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Maude Grantham-Richards, FEUS Electric Utility Director
Lisa Milanese, WECC Manager of Compliance Administration
Ed Riley, WECC Senior Compliance Engineer

Attachment g

Notice of Filing

UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION

Farmington Electric Utility Sector

Docket No. NP10-____-000

NOTICE OF FILING
February 1, 2010

Take notice that on February 1, 2010, the North American Electric Reliability Corporation (NERC) filed a Notice of Penalty regarding Farmington Electric Utility Sector in the Western Electricity Coordinating Council region.

Any person desiring to intervene or to protest this filing must file in accordance with Rules 211 and 214 of the Commission's Rules of Practice and Procedure (18 CFR 385.211, 385.214). Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a notice of intervention or motion to intervene, as appropriate. Such notices, motions, or protests must be filed on or before the comment date. On or before the comment date, it is not necessary to serve motions to intervene or protests on persons other than the Applicant.

The Commission encourages electronic submission of protests and interventions in lieu of paper using the "eFiling" link at <http://www.ferc.gov>. Persons unable to file electronically should submit an original and 14 copies of the protest or intervention to the Federal Energy Regulatory Commission, 888 First Street, N.E., Washington, D.C. 20426.

This filing is accessible on-line at <http://www.ferc.gov>, using the "eLibrary" link and is available for review in the Commission's Public Reference Room in Washington, D.C. There is an "eSubscription" link on the web site that enables subscribers to receive email notification when a document is added to a subscribed docket(s). For assistance with any FERC Online service, please email FERCOnlineSupport@ferc.gov, or call (866) 208-3676 (toll free). For TTY, call (202) 502-8659.

Comment Date: [BLANK]

Kimberly D. Bose,
Secretary