NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation		
FRCC2018019629	FAC-003-4	R3. 3.1.	Lower	Moderate	10/01/2016	3/22/2018	Self-Report	6/1/2022 (approved completion date)	TBD		
Description of the Viola document, each violatio a "violation," regardless posture and whether it confirmed violation.)	on at issue is desc s of its procedura	ribed as I	During a review on Decem replicate the maximum blo The assumption data requi results of the calculations This noncompliance starte applicable lines became ef noncompliance ended on I TAL began performing incr The cause for this noncom retention requirements su any manual backups of the This noncompliance posed	ber 7, 2017, TAL discovered wout calculations previously red to replicate the previous were stored, and those result d on October 1, 2016, when fective and the specification March 22, 2018, when TAL u eased trimming in 2018 base pliance was the TAL staff me rrounding NERC compliance assumptions used. a moderate risk and did not	that it could not reproduce the y used to determine trim distant s calculations made and used lts could not be replicated. TAL's documented maintenants s used to account for the move pdated its documented mainter ed on the new trim calculation ember originally chosen to be , and therefore, had not store	for compliance with this Standard has been nee procedures to prevent encroachment o rement of applicable line conductors under tenance procedures to reflect new trim calc ns. the subject matter expert for this compone d the assumptions used in the previous calc risk to the reliability of the bulk power syst	nditions for applicable lines lost, deleted, or was never f vegetation into the Minimu their Rating and all Rated Ele ulations documenting the kr nt of the Standard did not ha culations in a location that w	under FAC-003-4 R3. originally documente um Vegetation Cleara ectrical Operations w nown system informa ave a clear understan as routinely backed u	d. Only the summary nce Distance (MVCD) of its ere not retained. The tion and assumptions. ding of the document p, nor had he completed		
			The risk was moderate because TAL maintained its mowing, trimming, and visual inspection schedules appropriately in accordance with its vegetation management program. At no time during this period did any vegetation present a threat to a transmission line, nor were there any vegetation-related outages on any applicable lines. No harm is known to have occurred.								
Mitigation			To mitigate this violation, 7 1) recalculated maxim 2) revised its Standar 3) re-assigned respon 4) reinforced with ap command and that 5) stored assumption 6) implemented an in calculations. This of 7) implemented a wo	TAL: num blowout for all applicat d Operating Procedure (SOP sibility for the oversight, pe plicable staff that corporate t calculations must be thoro s and calculations performe iternal control to require an letermination will be made a rk plan. TAL will:	rformance, and documentation regulatory or operational info ughly documented; d across different application annual internal determination annually by Power Delivery su	, and recorded assumptions; nces, which will be the baseline upon which on of the engineering component of this cor ormation cannot be stored on an individual s including those routinely backed up to a se n of whether sufficient regulatory, environn pervisory staff and the TAL compliance divis	npliance obligation; laptop or in any software ap erver; nental, or system conditions sion;	plication that is not a			
Other Factors			The Region determined the FRCC considered the Entity	at the Entity's compliance hi i's ICP to be a neutral factor	story should not serve as a ba in the penalty determination ue to the extended duration of	sis for applying a penalty.					

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation		
NPCC2018020344	EOP-004-2	R1	Lower	Severe	3/29/2017	11/1/2017	Self-Report	4/8/2019	4/11/2019		
Description of the Vio document, each violat "violation," regardles whether it was a poss	ion at issue is de s of its procedura	scribed as a I posture and	Specifically, the Entity d Standard. NPCC applied The violation started on developed an event rep The root cause of this vi	id not have an event report C the violation to EOP-004-2 w March 29, 2017, when the Er orting Operating Plan. The vio olation was a lack of awarene ts to the NERC Reliability Star	Operating Plan in place in acco which was the earliest applical ntity first synchronized with t olation was discovered after t ess of several NERC Reliability	port stating that, as a Generator Owne rdance with EOP-004-3 Attachment 1. ble version of the Standard. he grid and was registered with NERC a he entity hired a third-party company to Standard requirement obligations as the ogram. Therefore, certain requirement	This violation began on M fter recommissioning, and to help them evaluate and he plant was being recomm	arch 29, 2017 and spans d concluded on Novembe implement a compliance missioned. In particular, t	multiple versions of the er 1, 2017, when the Entity e program. :he Entity did not		
Risk Assessment			The failure to have an O MW, only two of the 18 incident has occurred ar 112.5 MW which interco Balancing Authority (NY	perating Plan in place could r Event Types are applicable to nd the Entity's ability to recov onnect with the host Transmi ISO) required Operating Rese	result in the failure to timely s o the entity: Damage or destr ver from an event would not h ission Owner's BES substation erve (1965 MW). In addition, t	the reliability of the bulk power system ubmit Reportable Events to the correct action of a Facility or Physical threats to have been impacted. The Entity owns a via two 65 MVA generator step-up tra he generator operated at capacity factor a negative impact on BPS reliability.	t entities. However, as a Go o a Facility. This requiremend nd operates a single stean nsformers. The rated capa	ent refers specifically to e n turbine generator with bility of the generator is	vent reporting after an nameplate capabilities of 5.7% of the Entity's		
Mitigation			No harm is known to have occurred as a result of this violation. To mitigate this violation, the Entity:								
			 developed an event reporting Operating Plan including protocols for reporting to the Reliability Organization and Reliability Coordinator and a training interval for all plant staff; developed a facility-specific procedure to ensure maintained compliance with EOP-004-3 R1; developed an ongoing contract with a third-party consulting firm to provide continual NERC compliance services and support. This includes quarterly meetings and monthly phone calls between the consultant and plant staff; provided training to all plant staff on the Operating Plan and other compliance responsibilities; and implemented Gensuite software to function as a compliance calendar to track periodic compliance activities. 								
Other Factors			NPCC reviewed the entity's internal compliance program (ICP) and considered it to be a neutral factor in the penalty determination. NPCC considered the entity's compliance history and determined there were no relevant instances of noncompliance.								
				e lack of due diligence and o		tem, NPCC determined that Complianc e awareness to ensure NERC Reliability	-				

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation			
NPCC2018020343	EOP-004-2	R3	Medium	Severe	3/29/2017	11/1/2017	Self-Report	4/8/2019				
Description of the Viola				0		t stating that, as a Generator Owner (G	, , ,	••				
a "violation," regardles posture and whether it			This violation began on M	arch 29, 2017 and spans mu	ltiple versions of the Standard.	n EOP-004-3 Attachment 1, and therefo NPCC applied the violation to EOP-004-	2 which was the earliest applica	ble version of the Sta	ndard.			
confirmed violation.)		The violation started on March 29, 2017, when the Entity first synchronized with the grid and was registered with NERC after recommissioning, and concluded on November 1, 2017, when the Entity developed an event reporting Operating Plan and validated all contact information in the Plan. The violation was discovered after the entity hired a third-party company to help them evaluate and implement a compliance program.										
			The root cause of this violation was a lack of awareness of several NERC Reliability Standard requirement obligations as the plant was being recommissioned. In particular, the Entity did not incorporate amendments to the NERC Reliability Standards into its compliance program. Therefore, certain requirements were not reviewed, assessed, or implemented when the Entity recommissioned the Facility.									
Risk Assessment			This violation posed a min	imal risk and did not pose a	serious or substantial risk to the	e reliability of the bulk power system (E	BPS).					
			event reporting after an ir would not have been impa Owner's BES substation vi	The failure to validate contact information contained in an Operating Plan in place could result in the failure to submit Reportable Events to the correct contacts. However, as a GO and GOP with a nameplate capability of 112.5 MW, only two of the 18 Event Types are applicable to the entity: Damage or destruction of a Facility or Physical threats to a Facility. This requirement refers specifically to event reporting after an incident has occurred, and the impact would have been reduced to limited information available to analyze an event on the BPS. The Entity's ability to recover from an event would not have been impacted. The Entity owns and operates a single steam turbine generator with nameplate capabilities of 112.5 MW and 132.4 MVA, which interconnect with the host Transmission Owner's BES substation via two 65 MVA generator step-up transformers. The rated capability of the generator is 5.7% of the Entity's Balancing Authority (NYISO) required Operating Reserve (1965 MW). In addition, the generator operated at capacity factors of 23.23% in 2017 and 20.82% in 2018. Therefore, the capacity of this unit can be replaced by the NYISO in the event of an unnecessary trip or loss of generating capability.								
				occurred as a result of this	violation.							
Mitigation			To mitigate this violation, the Entity:									
			 2) developed a facility-special 3) developed an ongoing of consultant and plant staff 4) provided training to rel 	 developed an event reporting Operating Plan and validated all contact information in the Plan; developed a facility-specific procedure to ensure maintained compliance with EOP-004-3; developed an ongoing contract with a third party consulting firm to provide continual NERC compliance services and support This includes quarterly meetings and monthly phone calls between the consultant and plant staff; provided training to relevant staff on validating all contact information; and implemented Gensuite software to function as a compliance calendar to track periodic compliance activities. 								
Other Factors			NPCC reviewed the entity	's internal compliance progr	am (ICP) and considered it to be	a neutral factor in the penalty determ	ination.					
			NPCC considered the enti	NPCC considered the entity's compliance history and determined there were no relevant instances of noncompliance.								
			Although the violation posed a minimal risk to the reliability of the bulk power system, NPCC determined that Compliance Exception treatment was not appropriate and that a subased on the lack of due diligence and overall lack of NERC compliance awareness to ensure NERC Reliability Standard requirements were considered and implemented as the entity.									

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation			
NPCC2018020342	FAC-008-3	R1	Lower	Severe	3/29/2017	11/1/2017	Self-Report	4/8/2019	4/11/2019			
Description of the Viola document, each violatic a "violation," regardles posture and whether it confirmed violation.)	on at issue is de s of its procedu	scribed as al	documented methodolo The violation started on l developed and documer a compliance program. The root cause of this vic	On September 5, 2018, Greenidge Generation LLC (the Entity) submitted a Self-Report stating that, as a Generator Owner (GO), it was in violation with FAC-008-3 R1. Specifically, the Entity did not have a documented methodology for determining facility ratings for its generator equipment. The violation started on March 29, 2017, when the Entity first synchronized with the grid and was registered with NERC after recommissioning, and concluded on November 1, 2017, when the Entity developed and documented a facility rating methodology in accordance with FAC-008-3 R1. The violation was discovered after the entity hired a third-party company to help them evaluate and implement a compliance program. The root cause of this violation was a lack of awareness of several NERC Reliability Standard requirement obligations as the plant was being recommissioned. In particular, the Entity did not incorporate amendments to the NERC Reliability Standards into its compliance program. Therefore, certain requirements were not reviewed, assessed, or implemented when the Entity recommissioned the Facility.								
Risk Assessment			An entity with an undocu nameplate capabilities o generator is 5.7% of the l Therefore, the capacity o equipment capabilities, a	umented facility ratings metho f 112.5 MW and 132.4 MVA, w Entity's Balancing Authority (N of this unit can be replaced by	serious or substantial risk to the relia odology could result in equipment da which interconnect with the host Tra NYISO) required Operating Reserve (the NYISO in the event of an unnece ding to interconnection agreements violation.	mage and/or loss of equipment life nsmission Owner's BES substation v 1965 MW). In addition, the generato ssary trip or loss of generating capa	. The Entity owns and operate ia two 65 MVA generator step or operated at capacity factors bility. There were no issues du	-up transformers. The of 23.23% in 2017 an uring the violation per	e rated capability of the d 20.82% in 2018. riod due to exceeding			
Mitigation			To mitigate this violation 1) developed a facility ra 2) developed a facility sp 3) developed an ongoing consultant and plant staf 4) provided training to re	n, the Entity: ting methodology in accordan pecific procedure to ensure ma g contract with a third party co f; elevant staff on determining fa	ice with the requirements of FAC-00 aintained compliance with FAC-008-3 nsulting firm to provide continual N	R1; ERC compliance services and suppor			one calls between the			
Other Factors			NPCC reviewed the entit NPCC considered the ent Although the violation po	y's internal compliance progra tity's compliance history and d osed a minimal risk to the relia	am (ICP) and considered it to be a ne letermined there were no relevant in ability of the bulk power system, NPA IERC compliance awareness to ensur	utral factor in the penalty determin nstances of noncompliance. CC determined that Compliance Exc	eption treatment was not app	•				

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation		
NPCC2018020341	FAC-008-3	R2	Medium	Severe	3/29/2017	11/1/2017	Self-Report	4/8/2019	4/11/2019		
Description of the Vid document, each viola a "violation," regard	tion at issue is desc	ribed as				rt stating that, as a Generator Owner (G pint of interconnection with the Transm		008-3R2. Specifically,	the Entity did not have a		
posture and whether confirmed violation.)	posture and whether it was a possible, or		The violation started on March 29, 2017, when the Entity first synchronized with the grid and was registered with NERC after recommissioning, and concluded on November 1, 2017, when the Entity developed and documented a facility rating methodology in accordance with FAC-008-3 R2. The violation was discovered after the entity hired a third-party company to help them evaluate and implement a compliance program.								
						andard requirement obligations as the p re, certain requirements were not revie	-	•			
Risk Assessment			This violation posed a mini	imal risk and did not pose a s	serious or substantial risk to th	e reliability of the bulk power system (E	3PS).				
			nameplate capabilities of 1 generator is 5.7% of the En Therefore, the capacity of 1 equipment capabilities, an	112.5 MW and 132.4 MVA, w ntity's Balancing Authority (N this unit can be replaced by	which interconnect with the ho NYISO) required Operating Res the NYISO in the event of an u ding to interconnection agreer	ent damage and/or loss of equipment li ost Transmission Owner's BES substation erve (1965 MW). In addition, the genera nnecessary trip or loss of generating ca nents with its interconnection Transmis	n via two 65 MVA generator step ator operated at capacity factors pability. There were no issues du	-up transformers. The of 23.23% in 2017 an uring the violation per	e rated capability of the d 20.82% in 2018. iod due to exceeding		
Mitigation			To mitigate this violation, the Entity:								
			 developed a facility rating methodology in accordance with the requirements of FAC-008-3 R2; developed a facility specific procedure to ensure maintained compliance with FAC-008-3 R2; 								
			consultant and plant staff;			nual NERC compliance services and supp	ort This includes quarterly meet	ings and monthly pho	one calls between the		
				evant staff on determining fa	acility ratings; and mpliance calendar to track per						
Other Factors					• •	e a neutral factor in the penalty determ	ination.				
			NPCC considered the entit	ty's compliance history and d	determined there were no rele	vant instances of noncompliance.					
					xception treatment was not appr irements were considered and in	•					

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation		
NPCC2018020340	PRC-019-2	R1	Medium	Lower	3/29/2017	6/25/2018	Self-Report	4/8/2019	4/11/2019		
document, each violation a "violation," regardles			documentation that it coo	rdinated voltage regulating	controls with applicable Protect						
posture and whether it was a possible, or confirmed violation.)		The violation started on March 29, 2017, when the Entity first synchronized with the grid and was registered with NERC after recommissioning, and concluded on June 25, 2018, when the final report for the coordination study was completed. The report indicated that there were not any coordination changes that were needed. The violation was discovered after the entity hired a third-party company to help them evaluate and implement a compliance program. The root cause of this violation was a lack of awareness of several NERC Reliability Standard requirement obligations as the plant was being recommissioned. In particular, the Entity did not incorporate									
						e, certain requirements were not review	.	•	, .		
Risk Assessment			This violation posed a min	imal risk and did not pose a s	serious or substantial risk to the	e reliability of the bulk power system (B	PS).				
			capabilities of 112.5 MW a 5.7% of the Entity's Balanc capacity of this unit can be 019 and that no changes n	nd 132.4 MVA, which interc ing Authority (NYISO) requi replaced by the NYISO in th	connect with the host Transmiss red Operating Reserve (1965 MV ne event of an unnecessary trip	rip, or failure to trip of the unit. The Ent sion Owner's BES substation via two 65 I N). In addition, the generator operated or loss of generating capability. The cor	MVA generator step-up transfo at capacity factors of 23.23% in	rmers. The rated capa 2017 and 20.82% in 2	bility of the generator is 2018. Therefore, the		
Mitigation			To mitigate this violation, the Entity:								
			 contracted an engineering firm to perform the PRC-019-2 R1 coordination study and completed the study, determining no changes were necessary; developed a facility-specific procedure to ensure maintained compliance with PRC-019-2 R1; developed an ongoing contract with a third party consulting firm to provide continual NERC compliance services and support This includes quarterly meetings and monthly phone calls between the 								
			consultant and plant staff;								
				-	voltage regulating controls; and mpliance calendar to track perio						
Other Factors			NPCC reviewed the entity'	's internal compliance progra	am (ICP) and considered it to be	a neutral factor in the penalty determ	ination.				
			NPCC considered the entit	ty's compliance history and c	determined there were no relev	ant instances of noncompliance.					
						n, NPCC determined that Compliance Ex ensure NERC Reliability Standard requir		•			

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation	
NPCC2018020563	MOD-025-2	R1	Medium	Severe	4/1/2018	3/29/2019	Self-Report	4/8/2019	· · ·	
Description of the Viola document, each violatic a "violation," regardles posture and whether it confirmed violation.)	tion (For purpose on at issue is dese s of its procedura	es of this cribed as	On October 22, 2018, Gree perform the necessary Rea Planner with verification of The noncompliance started test results to its Transmiss The root cause of this viola amendments to the NERC I This noncompliance posed The potential risk due to no reliability. However, the er same value provided by th host Transmission Owner's	On October 22, 2018, Greenidge Generation LLC (the Entity) submitted a Self-Report stating that, as a Generator Owner (GO), it was in noncompliance with MOD-025-2 R1. Specifically, the Entity perform the necessary Real Power capability testing required by MOD-025-2 R1 at its plant within twelve calendar months of commercial operation, and therefore was unable to provide its Transs Planner with verification of its Real Power capability. The plant became commercial on March 27, 2017. The noncompliance started on April 1, 2018, twelve calendar months after the Entity's commercial operation date, and concluded on March 29, 2019 when the Entity provided its Real Power capability testing took place on June 6, 2018, but there was a delay in acquiring the test report from the electrical contractor. The root cause of this violation was a lack of awareness of several NERC Reliability Standard requirement obligations as the plant was being recommissioned. In particular, the Entity did not incorg amendments to the NERC Reliability Standards into its compliance program. Therefore, certain requirements were not reviewed, assessed, or implemented when the Entity recommissioned the F This noncompliance posed a minimal risk and did not pose a serious or substantial risk to the reliability of the bulk power system (BPS). The potential risk due to noncompliance with MOD-025-2 R1 is the Transmission Planner having inaccurate information about the generating units when developing planning models to assess BPS reliability. However, the entity synchronized the Facility on March 29, 2017 and the net active power output identified during commissioning testing was approximately equal to the 106 MWs, wh same value provided by the June 6, 2018 power test. The Entity owns and operates a single steam turbine generator with nameplate capabilities of 112.5 MW and 132.4 MVA, which interconnect host Transmission Owner's BES substation via two 65 MVA generator step-up transformers. The rated capability of the generator is 5.7% of the Entity S						
Mitigation			To mitigate this noncompl 1) contracted an engineeri 2) developed a facility spec 3) developed an ongoing consultant and plant staff; 4) provided training to rele	ng firm to perform Real Pow cific procedure to ensure ma ontract with a third party co evant employees on real pov	ver capability testing and prov aintained compliance with MC nsulting firm to provide cont	inual NERC compliance services and support		tings and monthly pho	one calls between the	
Other Factors			NPCC considered the entit	y's compliance history and d ed a minimal risk to the relia	letermined there were no rel ability of the bulk power syste	be a neutral factor in the penalty determinat evant instances of noncompliance. em, NPCC determined that Compliance Excep o ensure NERC Reliability Standard requirem	tion treatment was not app			

NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor	Violation Severity Level	Violation Start Date	Violation End Date	Method of Discovery	Mitigation Completion Date	Date Regional Entity Verified Completion of Mitigation
NPCC2018020564	MOD-025-2	R2	Medium	Severe	4/1/2018	3/29/2019	Self-Report	4/8/2019	
Description of the Viola document, each violatio a "violation," regardless posture and whether it confirmed violation.)	on at issue is desc s of its procedura	ribed as I	perform the necessary Re Transmission Planner wit The noncompliance starte capability test results to in The root cause of this vio	eactive Power capability testin h verification of its Reactive F ed on April 1, 2018, twelve ca ts Transmission Planner. The lation was a lack of awarenes	ng required by MOD-025-2 R2 at it Power capability. The plant becam alendar months after the Entity's co actual Reactive Power capability t as of several NERC Reliability Stanc	ting that, as a Generator Owner (GC s plant within twelve calendar mon e commercial on March 27, 2017. ommercial operation date, and cond esting took place on June 6, 2018. The dard requirement obligations as the certain requirements were not revie	ths of commercial operation, and cluded on March 29, 2019, when here was a delay in acquiring the plant was being recommissioned	the Entity provided in the Entity provided in test report from the l. In particular, the En	le to provide its ts Reactive Power electrical contractor. tity did not incorporate
Risk Assessment			The potential risk due to r reliability. The Entity own via two 65 MVA generato operated at capacity facto to inaccurate information	noncompliance with MOD-02 ns and operates a single stean or step-up transformers. The r ors of 23.23% in 2017 and 20.	25-2 R2 is the Transmission Planne n turbine generator with namepla rated capability of the generator is 82% in 2018. Therefore, the capa	o the reliability of the bulk power sy r having inaccurate information abo te capabilities of 112.5 MW and 132. 5 5.7% of the Entity's Balancing Auth city of this unit can be replaced by tl	out the generating units when de .4 MVA, which interconnect with ority (NYISO) required Operating	n the host Transmissio Reserve (1965 MW).	on Owner's BES substation In addition, the generator
Mitigation			To mitigate this noncomp 1) contracted an enginee 2) developed a facility spe 3) developed an ongoing consultant and plant staff 4) provided training to re	pliance, the Entity: ring firm to perform Reactive ecific procedure to ensure ma contract with a third party co ; levant employees on reactive	Power capability testing and prov aintained compliance with MOD-0	INERC compliance services and supp		ings and monthly pho	one calls between the
Other Factors			NPCC considered the ent Although the violation po	ity's compliance history and d used a minimal risk to the relia	determined there were no relevan ability of the bulk power system, N	neutral factor in the penalty determ It instances of noncompliance. NPCC determined that Compliance E sure NERC Reliability Standard requ	xception treatment was not appr		