

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

1. Instructions

This self-certification form is intended for ERCOT Transmission Service Providers. This form must be submitted by November 10, 2009.

This self-certification covers the reporting period for January 1, 2008, to September 30, 2009. The response to the certification should accurately reflect the Transmission Service Provider's compliance status for the entire reporting period.

In addition to organization and contact information, this form includes 24 questions that require responses from the Transmission Service Provider.

Notice: Prior to submitting this self-certification form, you are directed to review the complete text of the applicable ERCOT Protocol and ERCOT Operating Guide that is found at www.ercot.com. Each Transmission Service Provider should evaluate its compliance with the official ERCOT Protocol and ERCOT Operating Guide in preparing this filing.

Evidence must be retained to support the response to this self-certification, including any follow-up investigation, until the completion of the next scheduled audit, unless the Public Utility Commission of Texas (PUCT) or Texas Regional Entity (Texas RE) advises otherwise.

If you exit this survey before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved. When you are done, click the "Submit to Texas RE" button at the end.

Questions about completing self-certification forms should be directed to selfcert@texasre.org.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

2. General Information

Please provide the company and contact information requested below. All fields are required.

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

* Market Participant Name

* DUNS Number

* Please provide the authorized representative whom Texas RE may contact regarding this self-certification.

Authorized Representative Name:

Authorized Representative Title:

Contact Email:

Contact Phone:

* Please provide the contact information for the officer who has seen and approved this self-certification.

Approving Officer Name:

Approving Officer Title:

Approving Officer Email:

Approving Officer Phone:

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

3. Training

This self-certification covers the reporting period from January 1, 2008, to September 30, 2009.

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

Please visit <http://www.texasre.org/enforcement/ercotprotocols/mitplan/> for general information on submitting a mitigation plan.

* Does the Transmission Service Provider training program include defined objectives, curriculum, personnel and positions covered, training methods, and training documentation?

(Reference: Operating Guides 1.8.1 and 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

- * Does the Transmission Service Provider have a training program that addresses the 32-hour requirement for operator emergency training?

(Reference: Operating Guide 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

- * Is emergency training documented for all Transmission Service Provider operator personnel?

(Reference: Operating Guide 1.8.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

- * Does the Transmission Service Provider have a method for determining that its 24-hours-a-day, 7-days-a-week operations center operators are initially qualified for their positions and that qualification is maintained?

(Reference: Protocol 4.3.4, Operating Guides 1.8.2 and 1.8.6)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

4. Emergency and Short-Supply Operation

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- * Does the Transmission Service Provider have a plan of action in the event of ERCOT-declared emergency and short-supply situations, including interrupting load, notifying others, and restoration of service?

(Reference: Protocol 5.6.7, Operating Guide 4.5.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

- * Does the Transmission Service Provider have a plan for dropping load during an Energy Emergency Alert Level 3 event for load on feeders equipped with automatic under-frequency relays?

(Reference: Operating Guide 2.9.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

- * Does the Transmission Service Provider have established plans or procedures regarding the necessary preparations following an extended event to restore such load equipped with under-frequency relays to rotate interruptions, re-arm load shedding capability for a subsequent event, or avoid exceeding equipment capabilities?

(Reference: Operating Guide 2.9.1)

Provide explanation if answered "Not Applicable."

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

* In the event that the primary control center for transmission operations becomes inoperable, does the Transmission Service Provider have a backup control plan that will avoid placing a prolonged burden on ERCOT and other market participants?

(Reference: Operating Guide 1.7.3)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

5. Outage Coordination and Communications

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

* Does the transmission operator have reporting procedures for operators to report forced and Level 1 outages to ERCOT?

(Reference: Protocols 8.2.2-8.2.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

* Does the Transmission Service Provider update its rolling twelve-month outage schedule in the ERCOT Outage Scheduler?

(Reference: Protocol 8.1.3.2)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

6. Voltage Support Service

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- * Does the Transmission Service Provider have procedures or guidelines for its operators to follow in utilizing transmission and distribution reactive power sources to minimize dependence on generation-supplied reactive Resources?

(Reference: Protocol 6.7.6 (2))

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

* Does the Transmission Service Provider have policies or procedures in place to work with interconnected generation to maintain voltage profiles?

(Reference: Protocol 6.7.6 (3), Operating Guide 2.10.4.1)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

7. Interconnection of New Generation

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

- * Does the Transmission Service Provider operate in accordance with the ERCOT Standard Generation Interconnection Agreement (SGIA) and ERCOT SGIA Procedures when interconnecting new Generation Resources to the ERCOT transmission grid?

(Reference: Protocol 3.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

8. Data Collection, Communications, and Telemetry

Please indicate whether the market participant is in "Full Compliance" or "Non-Compliance" for each ERCOT Protocol and Operating Guide reference below.

Each question requires a response. If "Non-Compliance" is selected, indicate whether the possible violation has previously submitted to Texas RE and the reason for non-compliance. If "Not Applicable" is selected, provide a brief explanation (100 characters or less).

If you exit this form before submitting it, you may return (using the link that you were emailed) and complete it. When you click the "Next" button at the bottom of the page, your responses will be saved.

* Does the Transmission Service Provider have a process and procedure for identifying problems with data, communication, and control equipment, and how those problems are corrected?

(Reference: Protocol 12.4.4.1.1, Operating Guides 8.1, 8.2, and Attachment 8A)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

- * Does the Transmission Service Provider have a program to maintain data collection and communication equipment used for supervisory control and data acquisition (SCADA) and voice communications for monitored substations and other transmission facilities?

(Reference: Operating Guides 8.2, 8.3.4, and 8.3.5)

Provide explanation if answered "Not Applicable."

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

- * Does the Transmission Service Provider have established practices and procedures used for coordination of communications maintenance, testing, and restoration activities with ERCOT, other market participants, and providers of leased telecommunications services?

(Reference: Operating Guide 8.3.5)

Provide explanation if answered "Not Applicable."

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

If submitting "Non-Compliance," indicate whether this possible violation has previously been submitted to Texas RE.

Not Previously Submitted

Previously Submitted

Provide the reason for non-compliance and violation tracking number, if known.

Click the "Next" button to save responses.

2009 ERCOT Protocols and Operating Guides Self-Certification - Transmission Service

9. Certification Statement

This self-certification covers the reporting period for January 1, 2008, to September 30, 2009. The response to the certification should accurately reflect the Transmission Service Provider's compliance status for the entire reporting period.

By submitting this form to Texas Regional Entity, the Transmission Service Provider certifies that the information is accurate, and that the Approving Officer has reviewed and approved this form before submission.

* Please enter the name of person submitting this form to Texas RE.

Name:

Title:

Company:

Email:

Phone:

Click the "Submit to Texas RE" button below. Submit by November 10, 2009.