



NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

November 13, 2009

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

Re: NERC Notice of Penalty regarding Turlock Irrigation District, FERC Docket No. NP10-_-000

Dear Ms. Bose:

The North American Electric Reliability Corporation (NERC) hereby provides this Notice of Penalty¹ regarding Turlock Irrigation District (TID)² NERC Registry ID NCR05435,³ 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

On June 1, 2007, TID self-reported possible violations of Reliability Standards TPL-001-0 Requirement (R) 1, TPL-002-0 R1, TPL-003-0 R1 and TPL-004-0 R1, among other Requirements.⁵ In addition, on August 30, 2007,⁶ TID self-reported a possible violation of

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).

² TID was organized under the Wright Act in 1887 and operates under the provisions of the California Water Code as a special district of the State of California. As a public power utility, TID is not subject to regulation or oversight by the California Public Utilities Commission (CPUC). TID was the first publicly owned irrigation district in the state and one of only four in California today that also provides electric retail energy to its customers.

³ Western Electricity Coordinating Council (WECC) confirmed that TID was included on the NERC Compliance Registry, on June 17, 2007, as a Balancing Authority (BA), Distribution Provider, Generator Operator (GOP), Generator Owner, Load Serving Entity, Planning Authority (PA), Purchasing-Selling Entity (PSE), Resource Planner, Transmission Operator (TOP), Transmission Owner (TO), Transmission Planner (TP) and Transmission Service Provider. TID, as a PA and TP, is subject to the requirements of NERC Reliability Standards TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0. TID, as a TO, is subject to the requirements of FAC-003-1. TID, as a BA, GOP and TOP, is subject to the requirements of COM-002-2. TID, as a BA and TP, is subject to the requirements of PER-002-0. TID, as a PSE and TOP, is subject to the requirements of VAR-001-1.

⁴ See 18 C.F.R. § 39.7(c)(2).

⁵ The TPL self-reports were submitted pre-June 18, 2007. WECC determined that TID's June 1, 2007 Mitigation Plan was not completed pursuant to the previously accepted Mitigation Plan by WECC. However, WECC determined that certain of the self-reported violations did not become pre-to-post violations and they were not included as part of the Settlement Agreement. Specifically, according to WECC, the self-reported violation of R3 for TPL-001, TPL-002 and TPL-003 did not become pre-to-post violations, nor did the self-reported violation of R2 of TPL-004.

FAC-003-1.⁷ Subsequently, on October 10, 2008, WECC conducted a Compliance Audit and WECC enforcement staff determined that TID had possible violations of COM-002-2 R2, PER-002-0 R3 and VAR-001-1 R3. This Notice of Penalty is being filed with the Commission because, based on information from WECC, WECC and TID have entered into the 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 at issue in this Notice of Penalty. According to the Settlement Agreement, TID neither admits nor denies WECC's determination of the violations and agrees to the eighty thousand dollar (\$80,000) financial penalty to be assessed to TID, in addition to mitigation actions to promote compliance under terms and conditions of the Settlement Agreement. Accordingly, the alleged violations identified as NERC Violation Tracking Identification Numbers WECC200810396, WECC200810397, WECC200810398, WECC200810399, WECC200700388, WECC2007801151, WECC2007801152 and WECC2007801153 are being filed in accordance with the NERC Rules of Procedure and the CMEP.

Statement of Findings Underlying the Violations

This Notice of Penalty incorporates the findings and justifications set forth in the Settlement Agreement executed as of April 1, 2009, by and between WECC and TID, which is included as Attachment b. The details of the findings and basis for the penalty are set forth in the Settlement Agreement and herein. 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.

⁶ The Settlement Agreement incorrectly states that TID submitted its self-report on August 31, 2007, instead of August 30, 2007.

⁷ TID self-reported a violation of FAC-003-1 R3. NERC notes that, with respect to the self-reported violation of FAC-003, the self-report did not list any requirement that was violated. Instead, it listed Section references for levels of non-compliance. WECC ultimately concluded that there had been a Level 3 compliance violation of FAC-003-1 (TVMP) Requirement 2. This event was classified according to the definition in Requirement 3.4.1. Category 1 Outage – "Outage caused by vegetation growing into lines from vegetation inside and/or outside of the ROW ("Right of Way")." While the NAVAPS dated January 23, 2009 and Table A therein identified this violation as an Alleged Violation of FAC-003-1 R1, WECC found, and noted in the Table A, that the facts supported an Alleged Violation of FAC-003-1 R2. The Settlement Agreement reflects this change.

Region	Registered Entity	NOC ID	NERC Violation ID	Reliability Std.	Req. (R)	VRF	Total Penalty (\$)
WECC	Turlock Irrigation District	NOC-158	WECC200810396	TPL-001-0	1	High ⁸	\$80,000
		NOC-158	WECC200810397	TPL-002-0	1	High ⁹	
		NOC-158	WECC200810398	TPL-003-0	1	High ¹⁰	
		NOC-158	WECC200810399	TPL-004-0	1	Medium	
		NOC-158	WECC200700388	FAC-003-1	2	High	
		NOC-158	WECC200801151	COM-002-2	2	Medium	
		NOC-158	WECC200801152	PER-002-0	3	High ¹¹	
		NOC-158	WECC200801153	VAR-001-1	3	Lower	

WECC considered the Violation Risk Factor (VRF) and reliability impact for each of the violations addressed in this Notice of Penalty and determined that the FAC-003-1 R2 violation posed a high risk to the reliability of the bulk power system (BPS). Specifically, given TID’s failure to adequately implement its 2007 Vegetation Management Work Plan, as described below, and given that this failure resulted in a vegetation-caused outage, WECC considers the FAC-003-1 R2 violation to be a significant event that warrants a commensurate penalty. WECC determined that the remaining violations did not pose a serious or substantial risk to the reliability of the BPS, because required studies were conducted although they did not comport to the specific requirements of the Reliability Standards at issue (TPL violations), there was a training program in place although it did not include the required elements (PER violation), and the relatively small size of TID and the fact that it has not exempted any generators (VAR violation). With respect to the COM violation, WECC determined that the reliability impact was moderate because, if a directive is misunderstood, the BPS voltage could be exceeded leading to a voltage deviation, which would require further corrective action by TID operators and adjoining BAs and TOPs to stabilize the system.

⁸ Reliability Standard TPL-001-0 R1 has a “High” VRF and its sub-requirements have “Medium” VRFs.

⁹ When NERC filed VRFs it originally assigned TPL-002-0 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 August 6, 2007, the Commission approved the modified “High” VRF. Therefore, the “Medium” VRF for RPL-002-0 R1 was in effect from June 18, 2007 until August 6, 2007 when the “High” VRF became effective. Reliability Standard TPL-002-0 R1 has a “High” VRF and its sub-requirements have “Medium” VRFs.

¹⁰ Reliability Standard TPL-003-0 R1 has a “High” VRF and its sub-requirements have “Medium” VRFs.

¹¹ Reliability Standard PER-002-0 R3 has a “High” VRF and its sub-requirements R3.1 and R3.2 have “Medium” VRFs and sub-requirements R3.3 and R3.4 have “Lower” VRFs.

TPL-001-0

The purpose of Reliability Standard TPL-001-0 is that system simulations and associated assessments are needed periodically to ensure that reliable systems are developed that meet specified performance requirements with sufficient lead time, and to continue to be modified or upgraded as necessary to meet present and future system needs.

TPL-001-0 R1 requires an entity such as TID, that is registered as a Planning Authority and Transmission Planner, to demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that, with all transmission facilities in service and with normal (pre-contingency) operating procedures in effect, the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services at all Demand levels over the range of forecast system demands as defined in Category A in the attendant table to the standard. The sub-requirements state what should be included in the assessments to be considered valid. TPL-001-0 R1 has a “High” VRF.

According to the Settlement Agreement, on June 1, 2007, TID submitted a self-report form alleging it was in violation of TPL-001-0 R1, which was discovered as a result of TID’s self-evaluation process. TID self-reported that it did not complete and distribute a valid assessment to neighboring entities of Category A conditions as required by this Reliability Standard. Specifically, TID studied two import levels in a 2007 assessment, but studied only one demand level (*i.e.*, “1 in 10 summer peak load”). The 1 in 10 summer peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Sub-requirement 1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the standard.

The duration of the violation of TPL-001-0 R1 was from June 18, 2007, when the standard became enforceable, through October 25, 2008, when TID completed its revised Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

TPL-002-0

The purpose of Reliability Standard TPL-002-0 is that system simulations and associated assessments are needed periodically to ensure that reliable systems are developed that meet specified performance requirements with sufficient lead time, and to continue to be modified or upgraded as necessary to meet present and future system needs.

TPL-002-0 R1 requires an entity such as TID, that is registered as a Planning Authority and Transmission Planner, to demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand levels over the range of forecast system demands, under the contingency conditions as defined in Category B in the attendant table to the standard. The sub-requirements state what should be included in the assessments to be considered valid. TPL-002-0 R1 has a “High” VRF.

According to the Settlement Agreement, on June 1, 2007, TID submitted a self-report form alleging it was in violation of TPL-002-0 R1, which was discovered as a result of TID's self-evaluation process. TID self-reported that it did not complete and distribute a valid assessment to neighboring entities of Category B contingencies as required by the Reliability Standard. TID studied two import levels in a 2007 assessment, but studied only one demand level (*i.e.*, "1 in 10 summer peak load"). The 1 in 10 summer peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Sub-requirement R1.3.6 specifies that more than one demand level be studied. Sub-requirement R1.3.7 requires a demonstration that system performance meets Category B contingencies. TID did not conduct any transient stability studies beyond 2008 to demonstrate system performance. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the standard.

The duration of the violation of TPL-002-0 R1 was from June 18, 2007, when the standard became enforceable, through October 25, 2008, when TID completed its revised Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

TPL-003-0

The purpose of Reliability Standard TPL-003-0 is that system simulations and associated assessments are needed periodically to ensure that reliable systems are developed that meet specified performance requirements, with sufficient lead time and to continue to be modified or upgraded as necessary to meet present and future system needs.

TPL-003-0 R1 requires an entity such as TID, registered as a Planning Authority and Transmission Planner, to demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that the network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand Levels over the range of forecast system demands, under the contingency conditions as defined in Category C of Table I to the standard. The controlled interruption of customer Demand, the planned removal of generators, or the Curtailment of firm (non-recallable reserved) power transfers may be necessary to meet this standard. The sub-requirements state what should be included in the assessments to be considered valid. TPL-003-0 R1 has a "High" VRF.

According to the Settlement Agreement, on June 1, 2007, TID submitted a self-report form alleging it was in violation of TPL-003-0 R1, which was discovered as a result of its self-evaluation process. TID self-reported that, it did not complete and distribute a valid assessment to neighboring entities of Category C contingencies as required by the Reliability Standard. TID studied two import levels but performed power flow analysis on only one demand level for each year studied ("1 in 10 summer peak load level"). The 1 in 10 peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Sub-requirement R1.3.6 specifies that more than one demand level be studied. Sub-requirement R1.3.7 requires TID to demonstrate that system performance meets Table 1 for Category C Contingences for the longer-term planning horizon, which TID did not demonstrate. TID did run transient stability studies for 2008 summer peak and 2007/2008 heavy winter

conditions. Although sub-requirement R1.3.4 states that the assessment “be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions,” it was determined by WECC that a 2008 simulation that results in very stable performance is an insufficient basis to conclude that stability studies in the longer-term (years six through ten) planning horizon are not required. TID did perform power flow analysis for both the near-term and longer-term planning horizons for summer peak conditions. In this case, TID only studied an adverse peak load condition; it did not study a range of system demands as required by the standard.

The duration of the violation of TPL-003-0 R1 was from June 18, 2007, when the standard became enforceable, through October 25, 2008 when TID completed its revised Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

TPL-004-0

The purpose of Reliability Standard TPL-004-0 is that system simulations and associated assessments are needed periodically to ensure that reliable systems are developed that meet specified performance requirements, with sufficient lead time and to continue to be modified or upgraded as necessary to meet present and future system needs.

TPL-004-0 R1 requires an entity such as TID, registered as a Planning Authority and Transmission Planner, to demonstrate through a valid assessment that its portion of the interconnected transmission system is evaluated for the risks and consequences of a number of each of the extreme contingencies that are listed under Category D of Table I to the standard. The sub-requirements state what should be included in the assessments to be considered valid. TPL-004-0 R1 has a “Medium” VRF.

According to the Settlement Agreement, on June 1, 2007, TID submitted a self-report form alleging a violation of TPL-004-0 R1 which was discovered as a result of its self-evaluation process. TID self-reported that it did not complete and distribute a valid assessment to neighboring entities of Category D contingencies as required by the Reliability Standard. Sub-requirement R1.3 requires that the assessment be supported by system simulation testing that shows system performance following Category D contingencies of Table 1. TID did not conduct any transient stability studies to demonstrate system performance.

The duration of the violation of TPL-004-0 R1 was from June 18, 2007, when the standard became enforceable, through October 25, 2008 when TID completed its revised Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

FAC-003-1

The purpose of Reliability Standard FAC-003-1 is to improve the reliability of the electric transmission systems by preventing outages from vegetation located on transmission rights-of-way (ROW) and minimizing outages from vegetation located adjacent to ROW, maintaining clearances between transmission lines and vegetation on and along transmission ROW, and

reporting vegetation-related outages of the transmission systems to the respective Regional Entities and NERC.

FAC-003-1 R2 requires an entity such as TID, registered as a Transmission Owner, to create and implement an annual plan for vegetation management work to ensure the reliability of the system. The plan shall describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan should be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the transmission systems. Adjustments to the plan shall be documented as they occur. The plan should take into consideration the time required to obtain permissions or permits from landowners or regulatory authorities. Each Transmission Owner shall have systems and procedures for documenting and tracking the planned vegetation management work and ensuring that the vegetation management work was completed according to work specifications. FAC-003-1 R2 has a "High" VRF.

On August 29, 2007 at approximately 1353 PDT, a fault on the Westley-Walnut 230 kV line due to vegetation contact that relayed the line and the Westley-Parker 230 kV line open-ended at Parker. Both Modesto Irrigation District (MID) and TID have correctly operating automated load dropping schemes within their Energy Management Systems. This resulted in firm load shedding of approximately 84 MW for MID and approximately 70 MW for TID. In order to return the flow within the Warnerville transformer bank System Operating Limits and recover the voltage at Warnerville, the MID operators shed an additional 96 MW of firm load and TID shed an additional 20 MW of firm load. The Westley-Parker 230 kV line was returned to service at 1445 PDT and the Westley-Walnut 230 kV line was returned to service at 1551 PDT. MID's total firm load was returned to service at 1457 PDT and all TID firm load was returned to service at 1506 PDT.

On August 29, 2007, TID had three troubleshooters patrol a portion of the 230 kV line in the vicinity of the faulty and generated "blue tags" per written procedures. The problem tree was found and the troubleshooter cut the tree back to allow the line to be re-energized. On August 31, 2007, TID initiated a troubleshooter patrol for the entire 31 miles of its 230 kV line (this was a "tree only" patrol rather than a full inspection) to note all areas with vegetation close to Clearance 2 distance as well as other areas of potential vegetation problems. This patrol identified four different areas along the line and tags were generated for four areas. By September 1, 2007, tree crews had trimmed the trees in the identified areas.

TID's Transmission Vegetation Management Program (TVMP) had established a maximum allowed tree height of 17 feet. An almond tree, with an estimated height of 25 to 30 feet, was determined to have caused the outage of the 230 kV transmission line. The tree was significantly closer to the energized conductor than the minimum Clearance 2 distance of 10 feet. Further, at the time of inspection (4 months earlier), the tree was closer to the energized conductor than the minimum Clearance 1 requirement of 12 feet (Almond trees typically grow 2 to 4 feet per year in an orchard setting). In fact, at the time of inspection, the tree was likely less than 4 feet from the transmission line under normal operating conditions. On August 30, 2007, TID self-reported the outage to WECC.

On October 2, 2007, WECC met at TID's headquarters in Turlock, California with selected TID managers and staff to gather and validate information relating to TID's compliance with the applicable NERC Reliability Standard. After its review of the information gathered, WECC concluded that there had been a FAC-003-1 R3.4.1 Category 1 Outage – "Outage caused by vegetation growing into lines from vegetation inside and/or outside of the Right of Way (ROW)."

WECC's conclusion was based on the following:

- While TID had a TVMP in place during the relevant period in 2007, it failed to maintain sufficient clearances to prevent flashover between vegetation and 230 kV energized conductor lines as required in the TVMP. This conclusion is supported by the August 31, 2007 TID self-report of a level 3 (High) compliance violation with NERC Reliability Standard FAC-003-1 Requirement 3.4.1 Category 1 Outage – "Outage caused by vegetation growing into lines from vegetation inside and/or outside of the ROW."
- WECC and TID¹² independently concluded that TID failed to adequately implement the 2007 Vegetation Management Work Plan as identified in TID's TVMP. Specifically, they concluded that the vegetation-caused outage on the Westley-Walnut 230 kV transmission line on August 29, 2007 was the result of a tree growing into the transmission line from within the ROW.
- During the relevant periods in 2007, TID failed to identify vegetation on the Westley-Walnut ROW within 10 feet of 230 kV energized conductors on at least two occasions as required in the TID TVMP.
- The patrol reports demonstrate that TID failed to identify vegetation on the Westley-Walnut 230 kV ROW between towers J22-2 and J22-3 that was within TID Clearance 2 (10 feet) of energized conductors on two occasions. In addition, during an internal investigation, TID determined that an individual who had inspected the transmission line ROW between towers J22-2 and J22-3 on October 6, 2006 and April 10, 2007 failed to note any tree clearance issues.
- TID's failure to implement its 2007 annual vegetation management work plan resulted in automatic and manual load-shedding that dropped nearly 40,000 customers in the Turlock and Modesto areas. Many of these customers were out of service for 1 hour and 13 minutes while TID and surrounding transmission operators took corrective actions to restore service. Thus, the impact of this violation on the reliability of the BPS was determined to be high.

The duration of the violation of FAC-003-1 R2 was from June 18, 2007, when the standard became enforceable, through September 14, 2007 when TID completed its Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

¹² Concurrently with WECC's review of the pertinent information, TID initiated an internal investigation which concluded that personnel failed to note any tree clearance issues during the two routine patrols at the site of the vegetation-caused outage. On September 11, 2007, TID completed its internal investigation and concluded that human error was the underlying cause of the outage.

COM-002-2

The purpose of Reliability Standard COM-002-2 is to ensure 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. To ensure communications by operating personnel are effective.

COM-002-2 R2 requires an entity such as TID, registered as a Balancing Authority, to 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.

WECC conducted an on-site Compliance Audit from October 6, 2008 through October 10, 2008 and identified a possible violation of this standard, based on documentation and two voice recordings provided by TID. On October 22, 2008, WECC enforcement staff conducted a review of the findings and confirmed the violation of the standard. One of the voice recordings, dated June 9, 2008, contained several instances in which the TID power dispatcher/operator, acting as the Balancing Authority, issued directives in a clear, concise, and definitive manner. However, the recipient of the directives did not always repeat back the directive as required. Further, the TID operator did not insist that the recipient repeat back the directive after it was issued. Thus, TID failed to comply with two subparts of this requirement, by first, not repeating the directive back to the operator and, second, by the operator's failure to recognize that the directive was not repeated back.

The duration of the violation of COM-002-2 R2 was from June 9, 2008 through December 19, 2008, when TID completed its revised Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

PER-002-0

The purpose of Reliability Standard PER-002-0 is that each Transmission Operator and Balancing Authority must provide their personnel with a coordinated training program that will ensure reliable system operation.

PER-002-0 R3 requires an entity such as TID, registered as a Transmission Operator and Balancing Authority, to provide a training program meeting the following criteria for its personnel identified in R2. Specifically sub-requirement R3.1 requires that a set of training program objectives must be defined, based on NERC and Regional Entity standards, entity operating procedures, and applicable regulatory requirements. These objectives shall reference the knowledge and competencies needed to apply those standards, procedures, and requirements to normal, emergency, and restoration conditions for the Transmission Operator and Balancing Authority operating positions.

WECC conducted an on-site Compliance Audit from October 6, 2008 through October 10, 2008 and identified a possible violation of PER-002-0 R3, because TID did not have all of the required elements, specifically training objectives, included within the training program documentation.

The auditors first requested additional documentation from the Engineering and Operations Department Manager that could be used to confirm compliance. The auditors then held two discussions with the Engineering and Operations Department Manager and the Assistant Electrical Engineer, Power Operations. During the interviews, both were asked to provide any additional information. The Engineering and Operations Department Manager and the Assistant Electrical Engineer, Power Operations, agreed that there were no objectives described within the training program. Based on this combined evidence, the audit team found that TID did not have a set of defined training program objectives based on NERC and WECC standards. The objectives portion of the training program was insufficient in detail. There are currently 94 FERC approved standards containing over 700 separate requirements. TID had only one objective covering all NERC Standards and only one objective covering WECC Tier-One Standards. On October 27, 2008, WECC enforcement staff conducted a review of the findings and determined that there was a violation of the standard.

The duration of the violation of PER-002-0 R3 was from June 18, 2007, when the standard became enforceable, through December 5, 2008, when TID completed its Mitigation Plan, discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

VAR-001-1

The purpose of Reliability Standard VAR-001-1 is to ensure that voltage levels, reactive flows, and reactive resources are monitored, controlled, and maintained within limits in real time to protect equipment and the reliable operation of the Interconnection.

VAR-001-1 R3 requires an entity such as TID, registered as a Transmission Operator, to specify criteria that exempts generators from compliance with the requirements defined in R4 and R6.1.

WECC conducted an on-site Compliance Audit from October 6, 2008 through October 10, 2008 and identified a possible violation of VAR-001-1 R3, because TID had not developed criteria for exempting generators from compliance with the requirements in R4 and R6.1. The standard's requirement R3 does not require TID to actually exempt generators but TID must specify the criteria if necessary that it will use to exempt generators.

The audit team reviewed the *TID Power Control Center Operators' Manual*, dated September 22, 2008. TID identified the bottom of page 2 as the section demonstrating compliance with R3, but the entire procedure was also reviewed. A section of the manual states, "TID does not exempt generators from compliance, but would notify the Generator Operator if its generator were to become exempt." In an interview with the Electrical Engineering Department Manager, the Manager stated TID did not have criteria for exempting generators as specified in R3.

On October 27, 2008, WECC enforcement staff reviewed the findings and determined that there was a violation of the standard.

The duration of the violation of VAR-001-1 R3 was from June 18, 2007, when the standard became enforceable, through November 21, 2007, when TID completed its Mitigation Plan,

discussed in greater detail below, and restored compliance, as required by the Reliability Standard.

Status of Mitigation Plans¹³

On June 1, 2007, TID submitted separate Mitigation Plans to address the violations of TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0.

TPL-001-0 R1

With respect to the violation of TPL-001-0 R1, TID submitted a Mitigation Plan on June 1, 2007 that included its 2007 assessment. On September 14, 2007, TID submitted a Certification of Completion of the Mitigation Plan certifying completion as of September 12, 2007. WECC determined that, as part of this Mitigation Plan, TID studied two import levels in its 2007 assessment, but studied only one demand level for each year (1 in 10 summer peak load level). The 1 in 10 summer peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. TPL-001-0 R1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the standard. Based on the determination that TID had not run all necessary studies of Category A contingencies as anticipated by the June 1, 2007 Mitigation Plan, the Certification of Completion was rejected by WECC on August 14, 2008 with a request to submit a new Mitigation Plan by August 29, 2008. Thus, WECC rejected TID's certification submittal on February 14, 2008.

Although this violation was self-reported prior to June 18, 2007, this violation became sanctionable because WECC deemed that TID's June 1, 2007 Mitigation Plan was not completed pursuant to the previously accepted Mitigation Plan by WECC.

TID submitted a new Mitigation Plan on December 19, 2008, well after the August 29, 2008 date WECC had requested that it be submitted. TID's Mitigation Plan was accepted by WECC on January 13, 2009 and approved by NERC on February 20, 2009. The Mitigation Plan for this violation is designated as MIT-07-1340 and was submitted as non-public information to FERC on February 25, 2009 in accordance with FERC orders. TID certified to WECC on December 19, 2008 that its Mitigation Plan was completed on October 25, 2008. In order to become compliant, TID stated it has completed its assessment of Category A contingencies and has provided this assessment to neighboring entities. TID submitted the following evidence for the completion of its Mitigation Plan: "TID Bulk Electric System Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS." WECC reviewed the Mitigation Plan and supporting evidence provided by TID. On January 13, 2009, WECC determined that this information and documentation were sufficient to demonstrate successful completion of the approved Mitigation Plan. Based on its review of the above mentioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category A (no contingencies) for various demand levels for 2008.

¹³ See 18 C.F.R § 39.7(d)(7).

TPL-002-0 R1

TID submitted a Mitigation Plan on June 1, 2007 that included its 2007 assessment. On September 14, 2007, TID submitted a Certification of Completion of the Mitigation Plan certifying completion as of September 12, 2007. WECC determined that TID, as part of the Mitigation Plan, studied two import levels in its 2007 assessment, but studied only one demand level for each year (1 in 10 summer peak load level). The 1 in 10 summer peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. TPL-002-0 Sub-requirement 1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the standard. In addition, TPL-002-0 R1.3.7 requires a demonstration that system performance meets Category B contingencies. TID did not conduct any transient stability studies beyond 2008. Based on the determination that TID had not run all necessary studies of Category B contingencies as anticipated by the June 1, 2007 Mitigation Plan, the Certification of Completion was rejected by WECC on August 14, 2008 with a request to submit a new Mitigation Plan by August 29, 2008. Thus, WECC rejected TID's certification submittal on February 14, 2008.

Although this violation was self-reported prior to June 18, 2007, this violation became sanctionable because WECC deemed that TID's June 1, 2007 Mitigation Plan was not completed pursuant to the previously accepted Mitigation Plan by WECC.

TID submitted a new Mitigation Plan on December 19, 2008, well after the August 29, 2008 date WECC had requested that it be submitted. TID's Mitigation Plan was accepted by WECC on January 13, 2009 and approved by NERC on February 23, 2009. The Mitigation Plan for this violation is designated as MIT-07-1423 and was submitted as non-public information to FERC on February 26, 2009 in accordance with FERC orders. TID certified to WECC on December 19, 2008 that its Mitigation Plan was completed on October 25, 2008. In order to become compliant, TID has completed its assessment at multiple load levels and provided this assessment of Category B contingencies to neighboring entities. TID submitted the following evidence for the completion of its Mitigation Plan: "TID Bulk Electric System Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS." WECC staff reviewed the Mitigation Plan and supporting evidence provided by TID. On January 13, 2009, WECC determined that this information and documentation were sufficient to demonstrate successful completion of the approved Mitigation Plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category B contingencies for various demand levels for 2008.

TPL-003-0 R1

With respect to the violation TPL-003-0 R1, TID submitted a Mitigation Plan on June 1, 2007 that included its 2007 assessment. On September 14, 2007, TID submitted a Certification of Completion of the Mitigation Plan certifying completion as of September 12, 2007. WECC determined that, as part of this Mitigation Plan, TID studied two import levels but performed power flow analysis on only one demand level for each year studied ("1 in 10 summer peak load level"). The 1 in 10 peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Sub-requirement R1.3.6

specifies that more than one demand level be studied. Sub-requirement R1.3.7 requires that TID demonstrate system performance meets Table 1 for Category C Contingencies for the longer-term planning horizon, which TID did not demonstrate. TID did run transient stability studies for 2008 summer peak and 2007/2008 heavy winter conditions. Although sub-requirement R1.3.4 states that the assessment “be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions,” it was determined by WECC that a 2008 simulation that results in very stable performance is an insufficient basis to conclude that stability studies in the longer-term (years six through ten) planning horizon are not required. TID did perform power flow analysis for both the near-term and longer-term planning horizons for summer peak conditions. Based on the determination that TID had not run all necessary studies of Category C contingencies as anticipated by the June 1, 2007 Mitigation Plan, the Certification of Completion was rejected by WECC on August 14, 2008, with a request to submit a new Mitigation Plan by August 29, 2008. Thus, WECC rejected TID’s certification submittal on February 14, 2008.

Although this violation was self-reported prior to June 18, 2007, this violation became sanctionable because WECC deemed that TID’s June 1, 2007 Mitigation Plan was not completed pursuant to the previously accepted Mitigation Plan by WECC.

TID submitted a new Mitigation Plan on December 19, 2008, well after the August 29, 2008 date WECC had requested that it be submitted. TID’s Mitigation Plan was accepted by WECC on January 13, 2009 and approved by NERC on February 23, 2009. The Mitigation Plan for this violation is designated as MIT-07-1424 and was submitted as non-public information to FERC on February 26, 2009 in accordance with FERC orders. TID certified to WECC on December 19, 2008 that its Mitigation Plan was completed on October 25, 2008. In order to become compliant, TID stated it had completed its assessment of Category C contingencies and provided this assessment to neighboring entities. TID submitted the following evidence for the completion of its Mitigation Plan: “TID Bulk Electric System Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS” (the “Transmission Planning Document”). WECC reviewed the Mitigation Plan and supporting evidence provided by TID. On January 13, 2009, WECC determined that this information and documentation were sufficient to demonstrate successful completion of the approved Mitigation Plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category C contingencies for various demand levels for 2008. WECC also reviewed an e-mail sent by TID on July 31, 2007 showing that TID distributed the assessment to neighboring Transmission Operators and Balancing Authorities.

TPL-004-0 R1

With respect to the violation TPL-004-0 R1, TID submitted a Mitigation Plan on June 1, 2007 that included its 2007 assessment. This Mitigation Plan stated that TID would distribute this assessment of Category D contingencies to neighboring Transmission Operators and Balancing Authorities. This Mitigation Plan also stated that TID would incorporate comments from these neighboring entities. On September 14, 2007, TID submitted a Certification of Completion of the Mitigation Plan certifying completion as of September 12, 2007. To demonstrate completion of this Mitigation Plan TID provided WECC with its assessment and an e-mail demonstrating

that the assessment had been provided to neighboring Transmission Operators and Balancing Authorities (California Independent System Operator, California Mexico Reliability Coordinator, Modesto Irrigation District, Pacific Gas & Electric, Sacramento Municipal Utility District (SMUD), Western Electricity Coordinating Council, and Western Area Power Administration), including a response from SMUD. Upon review of TID's certification, WECC determined that TID had not run all necessary studies. Sub-requirement 1.3 requires that the assessment be supported by system simulation testing that shows system performance following Category D contingencies of Table 1. TID did not conduct any transient stability studies to demonstrate system performance. Based on the determination that TID had not run all necessary studies as anticipated by the June 1, 2007 Mitigation Plan, the Certification of Completion was rejected by WECC on August 14, 2008 with a request to submit a new Mitigation Plan by August 29, 2008.

Although this violation was self-reported prior to June 18, 2007, this violation became sanctionable because WECC deemed that TID's June 1, 2007 Mitigation Plan was not completed pursuant to the previously accepted Mitigation Plan by WECC.

TID submitted a new Mitigation Plan on December 19, 2008, well after the August 29, 2008 date WECC had requested that it be submitted. TID's Mitigation Plan was accepted by WECC on January 13, 2009 and approved by NERC on February 23, 2009. The Mitigation Plan for this violation is designated as MIT-07-1452 and was submitted as non-public information to FERC on February 26, 2009 in accordance with FERC orders. TID certified to WECC on December 19, 2008 that its Mitigation Plan was completed on October 25, 2008. In order to become compliant, TID stated it has completed its assessment of Category D contingencies and has provided this assessment to neighboring entities. TID submitted the following evidence for the completion of its Mitigation Plan: "TID Bulk Electric System Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS." WECC staff reviewed the Mitigation Plan and supporting evidence provided by TID. On January 13, 2009, WECC determined that this information and documentation were sufficient to demonstrate successful completion of the approved Mitigation Plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category D contingencies for various demand levels for 2008.

As discussed above, on December 19, 2008, TID submitted revised Mitigation Plans for the violations of TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0 and certified completion of all mitigating activities as of October 25, 2008. To demonstrate completion of these Mitigation Plans, TID provided WECC with a copy of Transmission Assessment for the Year 2008 and Transmission Assessment for the years 2009-2018.

On January 13, 2009, WECC reviewed the Mitigation Plans and Transmission Assessment for the Year 2008 and Transmission Assessment for the years 2009-2018 provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the approved Mitigation Plans for violations of the TPL standards.

FAC-003-1 R2

TID's Mitigation Plan to address the violation of FAC-003-1 R2 was submitted to WECC on September 4, 2007, accepted by WECC on September 29, 2007 and approved by NERC on May 28, 2009. The Mitigation Plan for this violation is designated as MIT-07-1699 and was submitted as non-public information to FERC on May 28, 2009. TID certified on September 20, 2007 to WECC that its Mitigation Plan was completed on September 14, 2007. WECC determined that TID became compliant with this standard on September 1, 2007 when TID contract tree trimming crews completed work orders to remove or trim tall growing vegetation to TID TVMP Clearance 1 (12 feet) requirements at all identified locations on the Westley-Walnut 230 kV transmission line ROW.

In order to become compliant, TID performed the following actions:

- On August 29, 2007, TID patrolled and re-patrolled a portion of the 230 kV line in the vicinity of the fault and generated "blue tags" (tags) per written procedures. Specifically, after the 230 kV line relayed open, TID had three troubleshooters patrol the line. The problem tree was found and the troubleshooter cut the tree back to allow the line to be re-energized. The Line Department Manager re-inspected the line in the immediate vicinity of the fault and made arrangements for the tree crews to work at the site the next day. TID filed, and WECC reviewed, the maintenance tag for this trouble call where the Troubleshooter ultimately removed the offending almond tree.
- On August 30, 2007, TID initiated a troubleshooter patrol for the entire 31 miles of its 230 kV line; this was a "tree only" patrol rather than a full inspection, which allowed the inspection to be completed in two days. The patrol was to note all areas with vegetation close to Clearance 2 distance (10 feet) as well as other areas of potential vegetation problems. TID filed, and WECC reviewed, the maintenance tag associated with this patrol.
- This patrol identified four different areas along the line route that had vegetation estimated to be close to TID's Clearance 2 distance. Maintenance tags were generated for four areas and several tree crews worked simultaneously to trim the trees in these areas. The last tag was completed on September 1, 2007. The work was inspected and confirmed complete by TID's Line Department Manager. TID submitted, and WECC reviewed, the maintenance tags that demonstrated this work.

Additionally, after the incident, the TID Line Department Manager initiated discussions with land and orchards owners and notifying them of TID's intent to trim their trees to gain additional clearance. In addition, tags were generated on September 12, 2007 to provide additional clearance; the tree crews completed this work on September 14, 2007. TID submitted, and WECC reviewed, the additional tree trimming orders and related documents.

Finally, to raise the awareness of field personnel to assist in identifying potential problem vegetation, TID Line Department Manager conducted a training session on its TVMP with the Line Department personnel on September 12, 2007. The main focus of the training was on Clearance 1 and Clearance 2 as well as the Imminent Threat Procedure. WECC reviewed the training materials and attendance list and confirmed completion of this item in the Mitigation Plan.

WECC determined that TID became compliant with this standard on September 1, 2007 when TID contract tree trimming crews completed work orders to remove or trim tall growing vegetation to TID TVMP Clearance 1 (12 feet) requirements at all identified locations on the Walnut-Westley 230 kV transmission line ROW.

WECC reviewed the Mitigation Plan, certification of completion of the Mitigation Plan, and supporting evidence provided by TID and determined that this documentation was sufficient to demonstrate successful completion of the Mitigation Plan and return to compliance. WECC verified on September 29, 2007 that TID completed all of the actions described in the Mitigation Plan as of September 14, 2007.

As a result of its internal investigation, TID determined that the Line Department Manager had inspected the line in April 2007 as required, but failed to note any tree clearance issues in the area of the August 29, 2007 incident. TID noted that this employee is a good employee, with no history of disciplinary problems, who made an error in judgment at the time of the last inspection. On September 12, 2007, as part of its Positive Disciplinary Program, TID issued a written reminder for this incident. WECC reviewed the discipline manual and noted the disciplinary action involved the second level (of three levels) of formal discipline..

COM-002-2 R2

TID's Mitigation Plan to address the violation of COM-002-2 R2 was submitted to WECC on December 19, 2008, accepted by WECC on December 24, 2008 and approved by NERC on February 9, 2009. The Mitigation Plan for this violation is designated as MIT-08-1351 and was submitted as non-public information to FERC on February 17, 2009 in accordance with FERC orders. TID certified on December 19, 2008 to WECC that its Mitigation Plan was completed on December 1, 2008. To mitigate this violation TID provided additional training, emphasizing the proper communication protocols as per the TID Power Control Center Operators Manual. All Power Control Center Operators received this training and have demonstrated the learned skills. To demonstrate completion of the Mitigation Plan TID provided WECC with copies of the training agendas and attendance rosters for both the Power Operations Staff and the Generation Operations Staff. WECC accepted the Mitigation Plan and verified completion on December 24, 2008.

PER-002-0 R3

TID's Mitigation Plan to address the violation of PER-002-0 R3 was submitted to WECC on December 19, 2008, accepted by WECC on December 23, 2008 and approved by NERC on January 27, 2009. The Mitigation Plan for this violation is designated as MIT-08-1316 and was submitted as non-public information to FERC on January 28, 2009 in accordance with FERC orders. TID certified on December 19, 2008 that its Mitigation Plan was completed on December 5, 2008. To mitigate this violation, TID added an experienced employee to its Power Operations Department, conducted an analysis of its training program to verify the adequacy of the program, compiled a comprehensive list of training program objectives, objectives were cross-checked with operator responsibilities and broken down into sub-groups, and revised its Power Control Center Training Programs Objectives section of its Training Document to include the newly developed objectives. To demonstrate completion of the Mitigation Plan, TID

provided WECC with a copy of its Revised Training Program. WECC accepted the Mitigation Plan, confirmed completion, and sent the completed Mitigation Plan to NERC on December 23, 2008.

VAR-001-1 R3

TID's Mitigation Plan to address the violation of VAR-001-1 R3 was submitted to WECC on December 19, 2008, approved by WECC on December 24, 2008 and approved by NERC on February 17, 2009. The Mitigation Plan for this violation is designated as MIT-08-1329 and was submitted to FERC on February 23, 2008 in accordance with FERC orders. TID certified on December 19, 2008 that its Mitigation Plan was completed on November 21, 2008. TID submitted the following evidence in support of the completion of its Mitigation Plan: the *TID Engineering and Operations, Power Operations Dept., Power Control Center Operators Manual, Document Number OH5000.006, Revision 006*, with the effective date of November 21, 2008. The revised procedure provides the required criteria that exempt generators from compliance with the requirements set forth in the standard. WECC accepted the Mitigation Plan and verified completion on December 24, 2008.

According to WECC, its determination of penalties 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 the TID to remedy the violation in a timely manner." In addition, WECC considers the direction of FERC provided in Order No. 693, the NERC Sanction Guidelines, and the Commission's July 3, 2008 Guidance Order. Specifically, WECC considers the following factors: (1) the relation of the penalty to the seriousness of the violation, including consideration of the applicable Violation Risk Factor and Violation Severity Level, as well as the actual and foreseen risk to the reliability of the BPS as determined by WECC subject matter experts; (2) the violation duration; (3) the Registered Entity's compliance history; (4) the Registered Entity's self-disclosure 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 directed; (6) the presence and quality of the Registered Entity's compliance program; (7) the violation time horizon; (8) the failure of the Registered Entity to comply with compliance directives, (9) any attempt by the Registered Entity to conceal the violation or information needed to investigate the violation, (10) intentional violation, (11) any other extenuating circumstances, and (12) the Registered Entity's ability to pay a penalty.

WECC assessed the VRF and reliability impact for each of the violations covered by this Agreement and determined that FAC-003-1 R2 was the only violation that resulted in a high impact to the reliability of the BPS. Specifically, given TID's failure to adequately implement the 2007 Vegetation Management Work Plan as identified in its TVMP, and given that this failure resulted in a vegetation-caused outage that caused approximately 13,000 customers to lose service, WECC considers the FAC-003-1 R2 violation to be a significant event that warrants a commensurate penalty. It was determined that the remaining violations resulted in a minimal to moderate impact to the reliability of the BPS; penalties were assessed accordingly.

In agreeing to this penalty amount, WECC considered several mitigating factors. First, WECC recognizes that TID is a small irrigation district that has comparatively limited financial

resources. WECC also recognizes that each violation in this Settlement Agreement is TID's first violation of the applicable Standard. In addition, FAC-003-1 R2, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1 and TPL-004-0 R1 violations were promptly self-reported. With respect to the FAC-003-1 R2 violation, TID management acted swiftly and with substantial disciplinary action after investigating all facets of this serious BPS event. In addition, based on the Compliance Program Audit Worksheet ("CPAW"), WECC determined that TID excels in several categories that indicate a high-quality Internal Compliance Program ("ICP"). In particular, TID has a well-documented ICP that receives a quarterly review; a dedicated ICP position that reports to the General Manager and has direct access to the Board; a General Manager that is involved in monthly meetings and a Board that is informed of changes to the ICP; and sufficient resources to run its ICP. Furthermore, TID funds and conducts an ongoing compliance training program for its employees and performs regular internal compliance audits of all its departments. TID also takes disciplinary action for employees involved in violations of the Reliability Standards as illustrated by actions that were taken for its FAC-003-1 R2 violation. Lastly, TID management and staff fully cooperated with the WECC audit team during the audit and investigation of the Alleged Violations.

WECC reviewed and considered all applicable Mitigation Plans pertaining to this Settlement Agreement. At the time the Notice of Alleged Violations and Proposed Penalty or Sanctions was sent to TID, all violations had been completely mitigated as verified by WECC. WECC further notes that for all violations, TID undertook the appropriate measures to mitigate in a timely manner.

WECC determined that there were no aggravating factors; specifically, there was no repeated violation, no relevant negative compliance history, no applicable compliance directives, no evidence of any attempt by TID to conceal the violation or that the violation was intentional, and no other aggravating circumstances warranting a higher penalty.

Statement Describing the Proposed Penalty, Sanction or Enforcement Action Imposed¹⁴

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,¹⁵ the NERC BOTCC reviewed the Settlement Agreement and supporting documentation on April 10, 2009.

The NERC BOTCC approved the assessment of the \$80,000 financial penalty against TID based upon WECC's findings and determinations, the NERC BOTCC's review of the applicable requirements of the Commission-approved Reliability Standards and the underlying facts and circumstances of the violations at issue.

¹⁴ See 18 C.F.R. § 39.7(d)(4).

¹⁵ *North American Electric Reliability Corporation*, "Guidance Order on Reliability Notices of Penalty," 124 FERC ¶ 61,015 (2008).

Specifically, BOTCC considered the following:

1. WECC's determination that the vegetation-caused outage that caused approximately 13,000 customers to lose service was a significant event that warrants a commensurate penalty and determination that the remaining violations resulted in a minimal to moderate impact to the reliability of the BPS with penalties assessed accordingly;
2. mitigating factors including: (a) TID is a small irrigation district that has comparatively limited financial resources; (b) each violation in the Agreement is TID's first violation of the applicable Standard; (c) FAC-003-1 R2, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1 and TPL-004-0 R1 violations were self-reported; (d) TID management acted swiftly and with substantial disciplinary action after investigating all facets of this serious BPS event; (e) WECC's determination that TID excels in several categories that indicate a high-quality Internal Compliance Program ("ICP"), because (i) TID has a well-documented ICP that receives a quarterly review, (ii) a dedicated ICP position that reports to the General Manager and has direct access to the Board; a General Manager that is involved in monthly meetings, (iii) a Board that is informed of changes to the ICP; and (iv) sufficient resources to run its ICP, (v) TID has an ongoing compliance training program for its employees and performs regular internal compliance audits of all its departments; and (vi) TID also takes disciplinary action for employees involved in violations of the Reliability Standards.
3. TID management and staff fully cooperated with the WECC audit team during the audit and investigation of the Alleged Violations; and
4. WECC's determination that there were no aggravating factors; specifically, there was no repeated violation, no relevant negative compliance history, no applicable compliance directives, no evidence of any attempt by TID to conceal the violation or that the violation was intentional, and no other aggravating circumstances warranting a higher penalty.

Therefore, NERC believes that the proposed financial penalty is appropriate and consistent with NERC's goal to ensure reliability of the BPS.

Pursuant to Order No. 693, the penalty will be effective upon expiration of the thirty (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) TID's Self Report forms dated June 1, 2007 and August 30, 2007 and WECC's Compliance Audit screenshot, included as Attachment a;
- b) Settlement Agreement by and between WECC and TID dated April 1, 2009, included as Attachment b;
- c) Mitigation Plans submitted June 1, 2007,¹⁶ September 4, 2007¹⁷ and December 19, 2008, included as Attachment c;
- d) TID's Certification of Completion of the Mitigation Plan for the FAC-003-1 R2 violation dated September 20, 2007, included as Attachment d;¹⁸ and
- e) WECC's Verifications of Completion of the Mitigation Plans, dated January 22, 2009 and November 11, 2009, included as Attachment e.

A Form of Notice Suitable for Publication¹⁹

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

¹⁶ The June 1, 2007 Mitigation Plan submittals for TPL-001-0 R1, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1 and TPL-004-0 R1 are included in Attachment a.

¹⁷ The September 4, 2007 Mitigation Plan submittal for FAC-003-1 is included in Attachment a.

¹⁸ The Certification of Completion of the Mitigation Plan is included in Attachment d for the following violations: COM-002-2 R2, PER-002-0 R3, TPL-001-0 R1, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1, TPL-004-0 R1 and VAR-001-1 R3.

¹⁹ 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:

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*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.

Conclusion

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

Respectfully submitted,

Rick Sergel
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David N. Cook
Vice President and General Counsel
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cc: Turlock Irrigation District
Western Electricity Coordinating Council

Attachments

Attachment a

**TID's Self Report forms, dated June 1, 2007 and
August 30, 2007 and WECC's Compliance Audit
screenshot**



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: Turlock Irrigation District

Date noncompliance was discovered or reported: June 1, 2007

Date Mitigation Plan submitted: June 1, 2007

Standard Title: System Performance Under Normal Conditions

Standard Number: TPL-001-0

Requirement Number(s)²: **R1, 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:

A 5-year/ 10-year bulk electric transmission assessment was completed for TID on 12/8/05. Seasonal operating studies have been conducted and approved for the summer of 2006, winter of 2006-7, and summer of 2007 including CAISO, MID, PG&E, SMUD, Western and the Sacramento Valley Study Group.

Studies have been run but the assessment and documentation has not been completed and distributed to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

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.

The reliability impact of TID's non-compliance is minimal. TID's present system meets all NERC reliability criteria as documented by the seasonal studies.

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

Describe your detailed plan to become compliant.

Mitigation Plan

By July 31, 2007, distribute the assessment to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western). TID will provide a status report to WECC on progress for TPL-001-0.

By August 31, 2007 incorporate comments from neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

By September 15, 2007, TID will notify WECC that the Mitigation Plan for TPL-001-0 is Complete.

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

See above

Are additional documents or information attached: Yes No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Phone: (209) 883-8242
Email: cjhashimoto@tid.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: Turlock Irrigation District

Date noncompliance was discovered or reported: June 1, 2007

Date Mitigation Plan submitted: June 1, 2007

Standard Title: System Performance Following Loss of a Single BES Element

Standard Number: TPL-002-0

Requirement Number(s)²: **R1, 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:

A 5-year/ 10-year bulk electric transmission assessment was completed for TID on 12/8/05. Seasonal operating studies have been conducted and approved for the summer of 2006, winter of 2006-7, and summer of 2007 including CAISO, MID, PG&E, SMUD, Western and the Sacramento Valley Study Group.

Studies have been run but the assessment and documentation has not been completed and distributed to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

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.

The reliability impact of TID's non-compliance is minimal. TID's present system meets all NERC reliability criteria as documented by the seasonal studies.

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

Describe your detailed plan to become compliant.

Mitigation Plan

By July 31, 2007, distribute the assessment to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western). TID will provide a status report to WECC on progress for TPL-002-0.

By August 31, 2007 incorporate comments from neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

By September 15, 2007, TID will notify WECC that the Mitigation Plan for TPL-002-0 is Complete.

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

See above

Are additional documents or information attached: Yes No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Phone: (209) 883-8242
Email: cjhashimoto@tid.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: Turlock Irrigation District

Date noncompliance was discovered or reported: June 1, 2007

Date Mitigation Plan submitted: June 1, 2007

Standard Title: System Performance Following Loss of Two or More BES Elements

Standard Number: TPL-003-0

Requirement Number(s)²: **R1, 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:

A 5-year/ 10-year bulk electric transmission assessment was completed for TID on 12/8/05. Seasonal operating studies have been conducted and approved for the summer of 2006, winter of 2006-7, and summer of 2007 including CAISO, MID, PG&E, SMUD, Western and the Sacramento Valley Study Group.

Studies have been run but the assessment and documentation has not been completed and distributed to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

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.

The reliability impact of TID's non-compliance is minimal. TID's present system meets all NERC reliability criteria as documented by the seasonal studies.

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

Describe your detailed plan to become compliant.

Mitigation Plan

By July 31, 2007, distribute the assessment to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western). TID will provide a status report to WECC on progress for TPL-003-0.

By August 31, 2007 incorporate comments from neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

By September 15, 2007, TID will notify WECC that the Mitigation Plan for TPL-003-0 is Complete.

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

See above

Are additional documents or information attached: Yes No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Phone: (209) 883-8242
Email: cjhashimoto@tid.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: Turlock Irrigation District

Date noncompliance was discovered or reported: June 1, 2007

Date Mitigation Plan submitted: June 1, 2007

Standard Title: System Performance Following Extreme BES Events

Standard Number: TPL-004-0

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:

A 5-year/ 10-year bulk electric transmission assessment was completed for TID on 12/8/05. Seasonal operating studies have been conducted and approved for the summer of 2006, winter of 2006-7, and summer of 2007 including CAISO, MID, PG&E, SMUD, Western and the Sacramento Valley Study Group.

Studies have been run but the assessment and documentation has not been completed and distributed to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

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.

The reliability impact of TID's non-compliance is minimal. TID's present system meets all NERC reliability criteria as documented by the seasonal studies.

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

Describe your detailed plan to become compliant.

Mitigation Plan

By July 31, 2007, distribute the assessment to neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western). TID will provide a status report to WECC on progress for TPL-004-0.

By August 31, 2007 incorporate comments from neighboring transmission owners and balancing authorities (CAISO, CMRC, MID, PG&E, SMUD, WECC, and Western).

By September 15, 2007, TID will notify WECC that the Mitigation Plan for TPL-004-0 is Complete.

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

See above

Are additional documents or information attached: Yes No

Additional Notes or Comments:

Point of contact for WECC follow-up:

Name: Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Phone: (209) 883-8242
Email: cjhashimoto@tid.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: Turlock Irrigation District

Date noncompliance was discovered or reported: August 30, 2007

Date Mitigation Plan submitted: September 4, 2007

Standard Title: Transmission Vegetation Management Program

Standard Number: FAC-003-1

Requirement Number(s)²: **R1.2.2**

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.)

230 kV transmission line outage on August 29, 2007.

Provide an explanation of the noncompliance:

A tree made contact with the Turlock Irrigation District (TID)/Modesto Irrigation District (MID) jointly owned Walnut - Westley 230 kV transmission line and the line was opened by relay action. Field observations of other trees in the immediate vicinity indicate that the District's minimum radial clearance (Clearance 2 = 10 feet) was not maintained at this location.

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.

This incident of noncompliance had a moderate impact on the interconnection - Looking at the extremes, a minimal impact would be if the transmission line relayed and there was no loss of load. We would consider a severe impact as the loss of over 50% of load.

The 230 kV line contacted by the tree was opened by relay action. At the same time the TID/MID jointly owned Parker – Westley 230 kV opened at one end thereby removing both TID's and MID's main interconnection causing both utilities to transfer load to lower capacity 115 kV

¹ Submit documentation verifying the completion of the mitigation plan.

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

interconnections. Both TID and MID have automated load shedding schemes within their Energy Management Systems that operated correctly to reduce load on the remaining 115 kV interconnections. The Turlock Irrigation District dropped approximately 90 MW which was approximately 15% of our load. The Modesto Irrigation District dropped approximately 180 MW customers which was approximately 29% of their load.

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

Turlock Irrigation District developed a written Transmission Vegetation Management Program in August 2006. The transmission line was inspected in October 2006 and April 2007, as per our TVMP, by the same inspector. The inspection reports of October 2006 and April 2007 note areas of tree clearance problems and "blue tags" were created to trim the trees in those areas. However, the inspector did not note on the inspection reports any tree clearance problems in the location where the fault occurred. The results of internal investigation is still pending.

Turlock Irrigation District has an internal compliance program that has been meeting monthly since March 2007 to work on compliance with the NERC Standards. The compliance team consists of senior managers of the District who oversee areas responsible for meeting the requirements of the NERC Standards. As part of our internal compliance program, we have scheduled an internal audit by an outside agency during the week of September 24, 2007. It is our intention to continue our monthly compliance meetings to maintain awareness of the NERC Standards. We are still in the process of developing a formal, written program document although we do have a binder with all the meeting agendas and meeting minutes.

Describe your detailed plan to become compliant.

Mitigation Plan

August 29, 2007, Patrolled a portion of the 230 kV line in the vicinity of the fault. Generate "blue tags" per our written procedures and dispatched tree trimming crews to immediately clear the vegetation problems.

August 30, 2007, Re-patrol the entire 230 kV line (31 miles) that the District owns and maintains and identify other vegetation clearance problems along the line route. Generate a "blue tag" per our written procedures and dispatch the tree trimming crews to all identified sites to trim the vegetation. Tree trimming crews dispatched to begin work on "blue tags". Initiate internal investigation on this incident. Have our Engineering staff verify that the maximum sag of the line in the tree contact area is within the line design limits and meets the maximum sag allowed by General Order 95.

September 1, 2007, Tree trimming crews to complete all "blue tags" identified in the August 29 patrol and re-patrol of August 30.

By September 4, 2007, Send the inspector to the site of each "blue tag" to verify that the tree trimming crews have achieved Clearance 1.

By September 10, 2007, Conclude the internal investigation and determine if disciplinary action is necessary. Develop plan to provide training on the Transmission Vegetation Management Program minimum clearances to the Line Department personnel to raise the awareness of our field personnel and be able to assist in spotting potential vegetation problems in the future.

By September 30, 2007, Complete training of the Line Department personnel. Provide WECC copies of all completed "blue tags" from the August 30, 2007 re-patrol and signature sheet of personnel completing the training on the Transmission Vegetation Management Program. Notify WECC that the Mitigation Plan for FAC-003-1 is complete.

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

See above.

Are additional documents or information attached: Yes No

Additional Notes or Comments:

TID's Transmission Vegetation Management Plan is attached.

Point of contact for WECC follow-up:

Name: Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Phone: (209) 883-8242
Email: cjhashimoto@tid.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:

Post June 18th Violations



Compliance and Registration Database
Post Violations Tracking and Reporting

Region: WECC Violation Date: 10/10/2008 WECC ID: TID_WECC20081248
 Entity: Turlock Irrigation District Acronym: TID Registry ID: NCR05435 NERC violation ID: WECC200801151
 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?

Applicable Functions: BA, TOP

Initial Determination by Region: 11/11/2008

Regional Determination of Impact to BPS:

Reporting Method: Compliance Audit

Detailed Description of Potential Impact to BPS:

On Site Audit Off Site Audit

Moderate Impact - Technical related issue

Deemed Date: 10/10/2008

Violation Level: Not specified

Violation Risk Factor: MEDIUM

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:

The Power Dispatcher did not ensure the Generator Operator repeated the information back correctly; and did not acknowledge the response as correct or repeat the original statement to resolve any misunderstandings.

ID sent to Entity: 1/5/2009

Additional Comments

Regional Contact Person: Fletcher, William

Close

Post June 18th Violations



Compliance and Registration Database
Post Violations Tracking and Reporting

Region: WECC Violation Date: 10/10/2008 WECC ID: TID_WECC20081249
 Entity: Turlock Irrigation District Acronym: TID Registry ID: NCR05435 NERC violation ID: WECC200801152
 Standard: PER-002-0 Operating Personnel Training

Disposition Final Record Mitigation Plan RAD and RAD Appeal Internal Notes Pre-June 18
 Initial Notice NAVAPS Proposed Sanction Penalty Contested Hearing

Requirement: 3 Repeat Alleged Violation?

Applicable Functions: BA, TOP

Initial Determination by Region: 11/11/2008

Regional Determination of Impact to BPS:

Reporting Method: Compliance Audit

Detailed Description of Potential Impact to BPS:

On Site Audit Off Site Audit

Moderate Impact - Documentation related issue

Deemed Date: 10/10/2008

Violation Level: VSL - Moderat

Violation Risk Factor: HIGH

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:

TID did not demonstrate a set of defined training program objectives based on NERC and WECC standards. The objectives portion of the training program was insufficient in detail. The objectives must reference the knowledge and competencies needed to apply the standards, procedures.

ID sent to Entity: 1/5/2009

Additional Comments

Regional Contact Person: Wells, Mike

Close

Post June 18th Violations


 Compliance and Registration Database
Post Violations Tracking and Reporting

Region: WECC Violation Date: 10/10/2008 WECC ID: TID_WECC20081254
 Entity: Turlock Irrigation District Acronym: TID Registry ID: NCR05435 MERC violation ID: WECC200801153
 Standard: VAR-001-1 Voltage and Reactive Control **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: 3 Repeat Alleged Violation?

Initial Determination by Region: 11/11/2008

Reporting Method: Compliance Audit

 On Site Audit Off Site Audit

Deemed Date: 10/10/2008

Violation Level: Not specified

Violation Risk Factor: LOWER

Alleged Violation Time:

Alleged Violation End Date:

Violation Description:

TID has not developed criteria for exempting generators from compliance with the requirements in R4 and R6.1. R3 says "The Transmission Operator shall specify criteria that exempt generators from compliance with the requirements defined in Requirement 4 and Requirement 6.1"

Regional Contact Person: Wells, Mike

Applicable Functions: TOP

Regional Determination of Impact to BPS:

Detailed Description of Potential Impact to BPS:

*DIMI, Minimal Impact - Documentation related issue

ID sent to Entity: 1/5/2009

Additional Comments

Close

Attachment b

Settlement Agreement by and between WECC and TID, dated April 1, 2009



**SETTLEMENT AGREEMENT
BETWEEN
WESTERN ELECTRICITY COORDINATING COUNCIL
AND
TURLOCK IRRIGATION DISTRICT
DATED APRIL 1, 2009**

I. INTRODUCTION

1. The Western Electricity Coordinating Council ("WECC") and Turlock Irrigation District ("TID") (sometimes each referred to as a "Party," and collectively as the "Parties"), enter into this Settlement Agreement ("Agreement") to resolve Alleged Violations by TID of the North American Electric Reliability Corporation ("NERC") Reliability Standards. These Alleged Violations include (i) Alleged Violations found during WECC's October 10, 2008 Compliance Audit of TID and (ii) various Alleged Violations self-reported by TID. These violations were set forth and described in a Notice of Alleged Violation and Proposed Penalty or Sanction ("NAVAPS"), dated January 23, 2009.

II. STIPULATION

2. The Parties enter into this Agreement and agree to the stipulations outlined below in order to avoid uncertainty, and to effectuate a complete and final resolution of the issues set forth herein. The Parties agree that this Agreement is in the best interest of the Parties and in the best interest of protecting the reliability of the Bulk Power System ("BPS"). The facts stipulated herein are stipulated solely for the purpose of resolving the matters discussed herein, and do not constitute stipulations or admissions for any other purpose by either Party.

A. Background

3. TID is a non-public utility engaged in energy production, transmission, and distribution in central California. Its facilities serve approximately 98,000 customers and a peak load of approximately 600 MW. Its executive offices are located in Turlock, California.

4. TID owns and operates a 230kV system comprised of 31 miles of line and a 115kV system with a total of 134 miles of line, within the WECC region.

5. On June 17, 2007, TID was registered on the NERC Compliance Registry as a Balancing Authority, Transmission Operator, Transmission Planner, Planning Authority,

Transmission Owner, Transmission Service Provider, Distribution Provider, Resource Planner, Generator Operator, Generator Owner, Purchasing-Selling Entity, and Load Serving Entity

III. ALLEGED VIOLATIONS

6. Through this Agreement, the Parties have agreed to resolve TID's Alleged Violations of the NERC Reliability Standards outlined below.

A. Compliance Audit Violations

7. On October 10, 2008, WECC conducted an on-site, non-public Compliance Audit of TID ("Compliance Audit"), pursuant to the NERC Rules of Procedure, at TID's Headquarters in Turlock, California. The WECC Compliance Audits and Investigations Staff reviewed fifty-four (54) NERC Reliability Standards and six (6) WECC Regional Reliability Standards. This Compliance Audit revealed the following three (3) Alleged Violations.

COM-002-2 R2 – Communications 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.

8. On October 10, 2008, WECC conducted a Compliance Audit and determined TID was in violation of COM-002-2 Requirement 2. The audit team reached this determination based on documentation and two voice recordings provided by TID. Specifically, one of the voice recordings dated June 09, 2008 contained several instances in which the TID power dispatcher, acting as the Balancing Authority ("BA"), did not ensure the Generator Operator correctly repeated the BA's directives and did not acknowledge the response as correct or repeat the original statement to resolve any misunderstandings.

9. The audit findings confirmed TID was in violation of this Standard because the audit team determined from the voice recordings that although the TID operator did issue directives in a clear, concise, and definitive manner, the recipient of the directives did not repeat back the directive. The TID operator did not insist that the recipient repeat back the directive after it was issued. This is a violation of the two sub parts of this requirement, first, not repeating the directive back to the operator and, second, the operator not recognizing the directive was not repeated back.

10.

11. On October 22, 2008, WECC conducted a second review of the findings and confirmed a possible violation of the Standard. However, the Parties agree, pursuant to section 4.2.2 of the NERC Sanction Guidelines, this violation posed no substantial risk to the reliability of the BPS and was TID's first incidence of violation of this requirement.

12. TID submitted a mitigation plan for this violation on December 19, 2008, certifying completion on December 1, 2008. WECC accepted the mitigation plan and verified completion on December 24, 2008. This mitigation plan was approved by NERC on February 9, 2009.

13. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation was sufficient to demonstrate successful completion of the mitigation plan. Specifically, WECC reviewed the TID Power Operations Department and Power Control Center Training Agenda and rosters of the attendance of both the Power Operations Staff and the Generation Operations Staff filed in TID's completed mitigation plan. The training included a review of the COM-002-2 requirements and role playing that involved giving and receiving orders. WECC determined that this was sufficient to demonstrate compliance.

PER-002-0 R3 Operating Personnel Training

R3: For personnel identified in Requirement 2, the Transmission Operator and Balancing Authority shall provide a training program meeting the following criteria:

R3.1 A set of training program objectives must be defined, based on NERC and Regional Reliability Organization standards, entity operating procedures, and applicable regulatory requirements. These objectives shall reference the knowledge and competencies needed to apply those standards, procedures, and requirements to normal, emergency, and restoration conditions for the Transmission Operator and Balancing Authority operating positions.

R3.2 The training program must include a plan for the initial and continuing training of Transmission Operator and Balancing Authority operating personnel. That plan shall address knowledge and competencies required for reliable system operations.

R3.3 The training program must include training time for all Transmission Operator and Balancing Authority operating personnel to ensure their operating proficiency.

R3.4 Training staff must be identified, and the staff must be competent in both knowledge of system operations and instructional capabilities.

14. On October 10, 2008, WECC conducted a Compliance Audit and determined TID was in violation of PER-002-0 Requirement 3. The audit team reached this determination based on TID not having all the required elements, specifically training objectives, included within the training program documentation.

15. The audit findings confirmed TID was in violation of this Standard because after reviewing all the documentation, the WECC auditors could not locate an adequate set of training program objectives as required by R3.1. The auditors first requested additional documentation from the Engineering and Operations Department Manager that could be used to confirm compliance. The auditors then held two discussions with the Engineering and Operations Department Manager and the Assistant Electrical Engineer, Power Operations. During the interviews, both were asked to provide any additional information. The Engineering and Operations Department Manager and the Assistant Electrical Engineer, Power Operations, agreed that the objectives were not sufficiently described within the training program.

16. Based on this evidence, the audit team found that TID did not demonstrate an adequate set of defined training program objectives based on NERC and WECC Standards. The objectives portion of the training program was insufficient in detail. There are currently 94 Federal Energy Regulatory Commission ("FERC" or "Commission") approved Standards containing over 700 separate requirements. TID had only one broad objective covering all NERC Standards and only one broad objective covering WECC Tier-One Standards.

17. On October 27, 2008, WECC conducted a second review of the findings and confirmed that there was a violation of the Standard. However, the Parties agree, pursuant to section 4.2.2 of the NERC Sanction Guidelines, this violation posed no substantial risk to the reliability of the BPS and was TID's first incidence of violation of this requirement.

18. TID submitted a mitigation plan for this violation on December 19, 2008 certifying completion on December 05, 2008. WECC accepted the mitigation plan, confirmed completion, and sent the completed mitigation plan to NERC on December 23, 2008. NERC approved the mitigation plan on January 27, 2009. The mitigation plan was submitted to FERC on January 28, 2009.

19. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant with this Standard, TID allocated additional labor resources to the Power Operations Department in the form of one additional full-time employee. TID also conducted an analysis of the entire training program and expanded upon the insufficient training program documentation. TID also compiled the training program objectives and

further refined the list. Finally, TID revised the PCC Operator Training Program Objectives section of the TID document to include the lists of the training objectives.

VAR-001-1 R3 Voltage and Reactive Control

R3: The Transmission Operator shall specify criteria that exempts generators from compliance with the requirements defined in Requirement 4, and Requirement 6.1.

R3.1 Each Transmission Operator shall maintain a list of generators in its area that are exempt from following a voltage or Reactive Power schedule.

R3.2 For each generator that is on this exemption list, the Transmission Operator shall notify the associated Generator Owner.

20. On October 10, 2008, WECC conducted a Compliance Audit and determined that TID was in violation of VAR-001-1 Requirement 3. The audit team reached this determination based on TID not having developed criteria for exempting generators from compliance with Requirement 4 and Requirement 6.1.

21. The audit findings confirmed TID was in violation of this Standard because TID did not provide exemption documentation. R3 specifically states that a Transmission Operator “shall specify criteria that exempts generators from compliance with the requirements defined in Requirement 4, and Requirement 6.1.” R3 does not require TID to actually exempt generators if requested but TID must specify the criteria it will use to exempt generators.

22. The audit team reviewed the TID Power Control Center Operators’ Manual, dated September 22, 2008. TID identified the bottom of page 2 as the section demonstrating compliance with R3, but the entire procedure was also reviewed. A section of the manual states, “TID does not exempt generators from compliance, but would notify the Generator Operator if its generator were to become exempt.”

23. In an interview with the Electrical Engineering Department Manager, the Manager stated that TID did not have criteria for exempting generators as specified in R3.

24. On October 27, 2008, WECC conducted a second review of the findings and confirmed that there was a violation of the Standard. However, the Parties agree, pursuant to section 4.2.2 of the NERC Sanction Guidelines, this violation posed no substantial risk to the reliability of the BPS and was TID’s first incidence of violation of this requirement.

25. TID submitted a completed mitigation plan on December 19, 2008. WECC accepted this mitigation plan on December 24, 2008 and confirmed that the mitigation

plan was completed on November 21, 2008. This mitigation plan was sent to NERC on December 30, 2008.

26. WECC auditors reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to confirm compliance with the Standard, WECC reviewed the TID Engineering and Operations, Power Operations Dept., Power Control Center Operators Manual, Document Number OH5000.006, Revision 006, with the effective date of November 21, 2008. The revised procedure provides the required criteria that exempt generators from compliance with the requirements set forth in the Standard.

B. Self-Reported Violations

27. TID submitted Self-Report forms alleging violations of the following Standards as outlined below. WECC has reviewed these five (5) self-reported violations and confirmed that an Alleged Violation did occur.

FAC-003-1 R2 Transmission Vegetation Management Program ("TVMP")

R2: The Transmission Owner shall create and implement an annual plan for vegetation management work to ensure the reliability of the system. The plan shall describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan should be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the transmission systems. Adjustments to the plan shall be documented as they occur. The plan should take into consideration the time required to obtain permissions or permits from landowners or regulatory authorities. Each Transmission Owner shall have systems and procedures for documenting and tracking the planned vegetation management work and ensuring that the vegetation management work was completed according to work specifications.

28. On August 29, 2007 at approximately 13:53 PDT, a fault on the Westley-Walnut 230 kV line due to vegetation contact that relayed the line and the Westley-Parker 230 kV line open-ended at Parker. Both Modesto Irrigation District ("MID") and TID have automated load dropping schemes within their Energy Management Systems that operated correctly. This resulted in firm load shedding of approximately 84 MW for MID and approximately 70 MW for TID. In order to return the flow within the Warnerville transformer bank System Operating Limits and recover the voltage at Warnerville, the MID operators shed an additional 96 MW of firm load and TID shed an additional 20 MW of firm load. The Westley-Parker 230 kV line was returned to service at 14:45 PDT and the Westley-Walnut 230 kV line was returned to service at 15:51 PDT. All MID firm

load was returned to service at 14:57 PDT and all TID firm load was returned to service at 15:06 PDT.

29. An almond tree was determined to have caused the outage of the 230 kV transmission line. The tree's height was estimated at 25 to 30 feet, which was taller than the maximum allowed height of 17 feet established in the TID TVMP. Therefore, the tree was significantly closer to the energized conductor than the minimum Clearance 2 distance of 10 feet. Further, at the time of inspection (4 months earlier), the tree was presumably closer to the energized conductor than the minimum Clearance 1 requirement of 12 feet (Almond trees typically grow 2 to 4 feet per year in an orchard setting). In fact, at the time of inspection, the tree was close, likely less than 4 feet from the transmission line under normal operating conditions. On August 31, 2007 TID self-reported the outage to WECC.

30. On September 5, 2007, TID was officially notified that WECC was opening a compliance violation investigation ("CVI") into its compliance with FAC-003-1 TVMP. On October 2, 2007, the WECC CVI Team met at TID headquarters in Turlock, California with selected TID managers and staff to gather and validate information relating to TID compliance with FAC-003-1.

31. After its investigation, WECC concluded that there had been a Level 3 compliance violation of FAC-003-1 (TVMP) Requirement 2. This event was classified according to the definition in Requirement 3.4.1. Category 1 Outage – "Outage caused by vegetation growing into lines from vegetation inside and/or outside of the ROW ("Right of Way")." WECC's investigation team concluded the following:

- While TID had a TVMP in place during the relevant periods in 2007, it failed to maintain sufficient clearances to prevent flashover between vegetation and 230 kV energized conductors as required in the TVMP. This conclusion is supported by the August 31, 2007 TID self-report of a level 3 (High) compliance violation with NERC Reliability Standard FAC-003-1 Requirement 3.4.1. Category 1 Outage – "Outage caused by vegetation growing into lines from vegetation inside and/or outside of the ROW."
- The WECC CVI Team and TID independently concluded that the vegetation-caused outage on the Walnut - Westley 230 kV transmission line on August 29, 2007 was the result of a tree growing into the transmission line from within the ROW. On September 11, 2007, TID completed its internal investigation and concluded that human error was the underlying cause of the outage.
- During the relevant periods in 2007, TID failed to identify vegetation on the Walnut - Westley ROW within 10 feet of 230 kV energized conductors on at least two occasions as required in the TID TVMP.

- The patrol reports demonstrate that TID failed to identify vegetation on the Walnut – Westley 230 kV ROW between towers J22-2 and J22-3 that was within TID Clearance 2 (10 feet) of energized conductors on two occasions. In addition, during an internal investigation, TID determined that an individual who had inspected the transmission line ROW between towers J22-2 and J22-3 on October 6, 2006 and April 10, 2007 failed to note any tree clearance issues.
- TID stated in its internal investigation that personnel failed to note any tree clearance issues during two routine patrols at the site of the vegetation-caused outage.
- This Compliance Violation Report demonstrates that TID and the WECC CVI Team independently concluded that TID failed to adequately implement the 2007 Vegetation Management Work Plan as identified in the TVMP and that this failure resulted in a vegetation-caused outage on the Walnut - Westley 230 kV transmission line on August 29, 2007 which is an Alleged Violation of FAC-003-1 Requirement 2.

32. TID submitted a mitigation plan to address this violation on September 4, 2007 (six days after the event). WECC accepted this mitigation plan and verified completion on September 29, 2007.

33. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation was sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant, TID performed the following actions:

34. On August 29, 2007, TID patrolled and re-patrolled a portion of the 230 kV line in the vicinity of the fault and generated “blue tags” (tags) per written procedures. Specifically, after the 230 kV line relayed open, TID had three troubleshooters patrol the line. The problem tree was found and the troubleshooter cut the tree back to allow the line to be re-energized. The Line Department Manager re-inspected the line in the immediate vicinity of the fault and made arrangements for the tree crews to work at the site the next day. TID filed, and WECC reviewed, the maintenance tag for this trouble call where the Troubleshooter ultimately removed the almond tree.

35. Subsequently, on August 30, 2007, TID initiated a troubleshooter patrol for the entire 31 miles of its 230 kV line; this was a “tree only” patrol rather than a full inspection, which allowed the inspection to be completed in two days. The patrol was to note all areas with vegetation close to Clearance 2 distance (10 feet) as well as other areas of potential vegetation problems. TID filed, and WECC reviewed, this document.

36. This patrol identified four different areas along the line route that had vegetation estimated to be close to TID's Clearance 2 distance. Tags were generated for four areas and several tree crews worked simultaneously to trim the trees in these areas. The last tag was completed on September 1, 2007. The work was inspected and confirmed complete by TID's Line Department Manager. TID filed, and WECC reviewed, the documents that demonstrated this work.

37. Additionally, after the incident, the TID Line Department Manager initiated discussions with land owners and orchards notifying them of its intent to trim their trees to gain additional clearance. In addition, tags were generated on September 12, 2007 to provide additional clearance; the tree crews completed this work on September 14, 2007. TID filed, and WECC reviewed, the additional tree trimming orders and related documents.

38. To raise the awareness of field personnel to assist in identifying potential problem vegetation, TID Line Department Manager conducted a training session on its TVMP with the Line Department personnel on September 12, 2007. The main focus of the training was on Clearance 1 and Clearance 2 as well as the Imminent Threat Procedure. WECC reviewed the training and attendance list.

39. As a result of its internal investigation, TID determined that the Line Department Manager had inspected the line in April 2007 as required, but failed to note any tree clearance issues in the area of the August 29, 2007 incident. TID has noted that this employee had no history of disciplinary problems and made an error in judgment at the time of the last inspection. As part of its Positive Disciplinary Program, TID issued a written reminder for this incident which is the second level (of three levels) of formal discipline. The discipline manual was reviewed by WECC.

40. While the NAVAPS dated January 23, 2009 and the attached Table A identified this violation as an Alleged Violation of FAC-003-1 R1, WECC found, and noted in the Table A, that the facts supported an Alleged Violation of FAC-003-1 R2. This Agreement reflects this change.

41. WECC determined that TID became compliant with this Standard on September 2, 2007 when TID contract tree trimming crews completed work orders to remove or trim tall growing vegetation to TID TVMP Clearance 1 (12 feet) requirements at all identified locations on the Walnut - Westley 230 kV transmission line ROW.

TPL-001-0 R1 System Performance Under Normal Conditions

R1: The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that, with all transmission facilities in service and with normal (pre-contingency)

operating procedures in effect, the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services at all Demand levels over the range of forecast system demands, under the conditions defined in Category A of Table I. To be considered valid, the Planning Authority and Transmission Planner assessments shall:

R1.1 Be made annually.

R1.2 Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.

R1.3 Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category A of Table 1 (no contingencies). The specific elements selected (from each of the following categories) shall be acceptable to the associated Regional Reliability Organization(s).

R1.3.1 Cover critical system conditions and study years as deemed appropriate by the entity performing the study.

R1.3.2 Be conducted annually unless changes to system conditions do not warrant such analyses.

R1.3.3 Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.

R1.3.4 Have established normal (pre-contingency) operating procedures in place.

R1.3.5 Have all projected firm transfers modeled.

R1.3.6 Be performed for selected demand levels over the range of forecast system demands.

R1.3.7 Demonstrate that system performance meets Table 1 for Category A (no contingencies).

R1.3.8 Include existing and planned facilities.

R1.3.9 Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.

R1.4 Address any planned upgrades needed to meet the performance requirements of Category A.

42. On June 1, 2007, TID submitted a Self-Report form alleging it was in violation of TPL-001-0 Requirement 1. This noncompliance was discovered as a result of TID's self-evaluation process. Information from TID's Self-Report provided WECC with sufficient information to confirm TID was in violation of this Standard. TID self-reported that all necessary studies had been completed, but that an assessment had not been completed and distributed to neighboring entities.

43. TID subsequently submitted a mitigation plan that included its 2007 assessment. Upon review of TID's mitigation plan, WECC determined that TID had not run all necessary studies following Category A conditions. It was determined that TID studied

two import levels in its 2007 assessment, but studied only one demand level for each year (1 in 10 summer peak load level). The 1 in 10 summer peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Requirement 1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the Standard. Based on the determination that TID had not run all necessary studies, the original mitigation plan was rejected. Although this violation was self-reported prior to June 18, 2007, the Standard's enforceable date, this violation became sanctionable because TID's original mitigation plan was rejected by WECC.

44. TID submitted a completed mitigation plan on December 19, 2008. WECC accepted this mitigation plan on January 13, 2009 and confirmed that the mitigation plan was completed on October 25, 2008. This mitigation plan was approved by NERC on February 20, 2009 and submitted to FERC on February 25, 2009..

45. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant, TID completed its assessment and provided this assessment to neighboring entities. WECC reviewed the TID Bulk Electric System Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS. This document was filed as part of TID's completed mitigation plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category A (no contingencies) for various demand levels for 2008. WECC also reviewed an e-mail sent by TID on July 31, 2007 that showed TID distributed the assessment to neighboring Transmission Owners and Balancing Authorities.

TPL-002-0 R1 System Performance Following Loss of a Single Bulk Electric System ("BES") Element

R1: The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand levels over the range of forecast system demands, under the contingency conditions as defined in Category B of Table I. To be valid, the Planning Authority and Transmission Planner assessments shall:

R1.1 Be made annually.

R1.2 Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.

R1.3 *Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category B of Table 1 (single contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).*

R1.3.1 *Be performed and evaluated only for those Category B contingencies that would produce the more severe System results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.*

R1.3.2 *Cover critical system conditions and study years as deemed appropriate by the responsible entity.*

R1.3.3 *Be conducted annually unless changes to system conditions do not warrant such analyses.*

R1.3.4 *Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.*

R1.3.5 *Have all projected firm transfers modeled.*

R1.3.6 *Be performed and evaluated for selected demand levels over the range of forecast system Demands.*

R1.3.7 *Demonstrate that system performance meets Category B contingencies.*

R1.3.8 *Include existing and planned facilities.*

R1.3.9 *Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.*

R1.3.10 *Include the effects of existing and planned protection systems, including any backup or redundant systems.*

R1.3.11 *Include the effects of existing and planned control devices.*

R1.3.12 *Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at those demand levels for which planned (including maintenance) outages are performed.*

R1.4 *Address any planned upgrades needed to meet the performance requirements of Category B of Table I.*

R1.5 *Consider all contingencies applicable to Category B.*

46. On June 1, 2007, TID submitted a Self-Report form alleging it was in violation of TPL-002-0 Requirement 1. This noncompliance was discovered as a result of TID's self-evaluation process. Information from TID's Self-Report provided WECC with sufficient information to confirm TID was in violation of this Standard. TID self-reported

that all necessary studies had been completed, but that an assessment had not been completed and distributed to neighboring entities.

47. TID subsequently submitted a mitigation plan that included its 2007 assessment. Upon review of TID's mitigation plan, WECC determined that TID had not run all necessary studies following Category B contingencies. It was determined that TID studied two import levels in its 2007 assessment, but studied only one demand level for each year (1 in 10 summer peak load level). The 1 in 10 peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Requirement 1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the Standard.

48. Requirement 1.3.7 requires a demonstration that system performance meets Category B contingencies. TID did not conduct any transient stability studies beyond 2008 to demonstrate system performance. Based on the determination that TID had not run all necessary studies, the original mitigation plan was rejected. Thus, although this violation was self-reported prior to June 18, 2007, the Standard's enforceable date, this violation became sanctionable because TID's original mitigation plan was rejected by WECC.

49. TID submitted a completed mitigation plan on December 19, 2008. WECC accepted this mitigation plan on January 13, 2009 and confirmed that the mitigation plan was completed on October 25, 2008. This mitigation plan was approved by NERC on February 23, 2009 and submitted to FERC on February 26, 2009..

50. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant, TID completed its assessment and provided this assessment to neighboring entities. WECC reviewed the TID BES Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have a Reliability Impact on the BPS. This document was filed as part of TID's completed mitigation plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category B contingencies for various demand levels for 2008. WECC also reviewed an e-mail sent by TID on July 31, 2007 proving TID distributed the assessment to neighboring Transmission Owners and Balancing Authorities.

TPL-003-0 R1 System Performance Following Loss of Two or More BES Elements

R1: The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission systems is

planned such that the network can be operated to supply projected customer demands and projected Firm (nonrecallable reserved) Transmission Services, at all demand Levels over the range of forecast system demands, under the contingency conditions as defined in Category C of Table I (attached). The controlled interruption of customer Demand, the planned removal of generators, or the Curtailment of firm (non-recallable reserved) power transfers may be necessary to meet this standard. To be valid, the Planning Authority and Transmission Planner assessments shall:

R1.1 Be made annually.

R1.2 Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.

R1.3 Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category C of Table 1 (multiple contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).

R1.3.1 Be performed and evaluated only for those Category C contingencies that would produce the more severe system results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.

R1.3.2 Cover critical system conditions and study years as deemed appropriate by the responsible entity.

R1.3.3 Be conducted annually unless changes to system conditions do not warrant such analyses.

R1.3.4 Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.

R1.3.5 Have all projected firm transfers modeled.

R1.3.6 Be performed and evaluated for selected demand levels over the range of forecast system demands.

R1.3.7 Demonstrate that System performance meets Table 1 for Category C contingencies.

R1.3.8 Include existing and planned facilities.

R1.3.9 Include Reactive Power resources to ensure that adequate reactive resources are available to meet System performance.

R1.3.10 Include the effects of existing and planned protection systems, including any backup or redundant systems.

R1.3.11 Include the effects of existing and planned control devices.

R1.3.12 Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at

those Demand levels for which planned (including maintenance) outages are performed.

R1.4 Address any planned upgrades needed to meet the performance requirements of Category C.

R1.5 Consider all contingencies applicable to Category C.

51. On June 1, 2007, TID submitted a Self-Report form alleging it was in violation of TPL-003-0 Requirement 1. This noncompliance was discovered as a result of its self-evaluation process. Information from TID's Self-Report provided WECC with sufficient information to confirm TID was in violation of this Standard. TID self-reported that all necessary studies had been completed, but that an assessment had not been completed and distributed to neighboring entities.

52. TID submitted a mitigation plan that included its 2007 assessment. Upon review of TID's mitigation plan, WECC determined that TID had not run all necessary studies following Category C contingencies. TID studied two import levels but performed power flow analysis on only one demand level for each year studied (1 in 10 summer peak load level). The 1 in 10 peak load refers to the load that TID would experience based on the highest temperature that would be statistically expected in a ten-year period. Requirement 1.3.6 specifies that more than one demand level be studied. In this case, TID only studied adverse peak load conditions; it did not study a range of system demands as required by the Standard.

53. TID did not demonstrate that its system performance meets Table 1 for Category C contingencies, as required in R1.3.7 for the longer-term planning horizon. TID did run transient stability studies for 2008 summer peak and 2007/2008 heavy winter conditions. R1.3.4 states that the assessment "be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions." The audit team found that a 2008 simulation that results in very stable performance is an insufficient basis to conclude that stability studies in the longer-term (years six through ten) planning horizon are not required. TID did perform power flow analysis for both the near-term and longer-term planning horizons for summer peak conditions.

54. Based on the determination that TID had not run all necessary studies, the original mitigation plan was rejected. Thus, although this violation was self-reported prior to June 18, 2007, the Standard's enforceable date, this violation became sanctionable because TID's original mitigation plan was rejected by WECC.

55. TID submitted a completed mitigation plan on December 19, 2008. WECC accepted this mitigation plan on January 13, 2009 and confirmed that the mitigation plan was completed on October 25, 2008. This mitigation plan was approved by NERC on February 23, 2009 and submitted to FERC on February 26, 2009..

56. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant, TID completed its assessment and provided this assessment to neighboring entities. WECC reviewed the TID BES Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS. This document was filed as part of TID's completed mitigation plan. Based on its review of the abovementioned assessment, WECC determined that TID demonstrated that its system performance meets Table 1 for Category C contingencies for various demand levels for 2008. WECC also reviewed an e-mail sent by TID on July 31, 2007 that showed TID distributed the assessment to neighboring Transmission Owners and Balancing Authorities.

TPL-004-0 R1 System Performance Following Extreme BES Events

R1: The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission system is evaluated for the risks and consequences of a number of each of the extreme contingencies that are listed under Category D of Table I. To be valid, the Planning Authority's and Transmission Planner's assessment shall:

R1.1 Be made annually.

R1.2 Be conducted for near-term (years one through five).

R1.3 Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category D contingencies of Table I. The specific elements selected (from within each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).

R1.3.1 Be performed and evaluated only for those Category D contingencies that would produce the more severe system results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.

R1.3.2 Cover critical system conditions and study years as deemed appropriate by the responsible entity.

R1.3.3 Be conducted annually unless changes to system conditions do not warrant such analyses.

R1.3.4 Have all projected firm transfers modeled.

R1.3.5 Include existing and planned facilities.

R1.3.6 Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.

R1.3.7 Include the effects of existing and planned protection systems, including any backup or redundant systems.

R1.3.8 Include the effects of existing and planned control devices.

R1.3.9 Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at those demand levels for which planned (including maintenance) outages are performed.

R1.4 Consider all contingencies applicable to Category D.

57. On June 1, 2007, TID submitted a Self-Report form alleging it was in violation of TPL-004-0 Requirement 1. This noncompliance was discovered as a result of its self-evaluation process. Information from TID's Self-Report provided WECC with sufficient information to confirm TID was in violation of this Standard. TID self-reported that all necessary studies had been completed, but that an assessment had not been completed and distributed to neighboring entities.

58. TID submitted a mitigation plan that included its 2007 assessment. Upon review of TID's mitigation plan, WECC determined that TID had not run all necessary studies following Category D contingencies. Requirement 1.3 requires that the assessment be supported by system simulation testing that shows system performance following Category D contingencies of Table 1. TID did not conduct any transient stability studies to demonstrate system performance. Based on the determination that TID had not run all necessary studies, the original mitigation plan was rejected. Thus, although this violation was self-reported prior to June 18, 2007, the Standard's enforceable date, this violation became sanctionable because TID's original mitigation plan was rejected by WECC.

59. TID submitted a completed mitigation plan on December 19, 2008. WECC accepted this mitigation plan on January 13, 2009 and confirmed that the mitigation plan was completed on October 25, 2008. This mitigation plan was approved by NERC on February 23, 2009 and submitted to FERC on February 26, 2009..

60. WECC reviewed the completed mitigation plan, and supporting evidence provided by TID and determined that this information and documentation were sufficient to demonstrate successful completion of the mitigation plan. In order to become compliant, TID completed its assessment and provided this assessment to neighboring entities. WECC reviewed the TID BES Transmission Assessment for 2008: Evidence to Show Alleged Violations of NERC Transmission Planning Reliability Standards Did Not Have Reliability Impact on the BPS. This document was filed as part of TID's completed mitigation plan. Based on its review of the abovementioned assessment, WECC determined that the TID system was evaluated for the risks and consequences of Category D contingencies utilizing transient stability studies for a 2008 system representation. WECC also reviewed an e-mail sent by TID on July 31, 2007 that

showed TID distributed the assessment to neighboring Transmission Owners and Balancing Authorities.

IV. PARTIES SEPARATE REPRESENTATIONS

A. Statement of WECC and Summary of Findings

61. As a result of WECC's October 10, 2008 Compliance Audit and TID's five (5) Self-Reports, WECC has established sufficient facts to reasonably support that Alleged Violations of the following Reliability Standards did occur: COM-002-2 R2, FAC-003-1 R2, PER-002-0 R3, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1, TPL-004-0 R1, VAR-001-1 R3. WECC has determined that TID has completed a Mitigation Plan for each of these Alleged Violations.

B. Statement of TID

62. For purposes of this Agreement, TID does not contest the facts set forth above. As agreed to by and between the Parties, these findings constitute a stipulation to the Alleged Violations of the following Standards: COM-002-2 R2, FAC-003-1 R2, PER-002-0 R3, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1, TPL-004-0 R1, VAR-001-1 R3. TID does not admit to, nor does it deny, these Alleged Violations.

63. Throughout the audit process, TID management and staff cooperated fully and completely with WECC staff, conformed to WECC staff's directives and provided WECC staff with any and all information that they needed to complete the audit. In addition, after the audit, TID quickly responded to WECC's directives and implemented plans, processes or programs to correct the circumstances, actions or conduct that caused the Alleged Violations, which included the submission of mitigation plans for each Alleged Violation.

V. MITIGATING ACTIONS, REMEDIES AND SANCTIONS

64. In settlement of the Parties' dispute, the Parties agree TID shall pay a total penalty of eighty thousand dollars (\$80,000) to WECC via wire transfer or cashier's check to a WECC account that will be outlined in a Notice of Payment sent to TID upon approval of this Agreement by both NERC and FERC, or by operation of law. Payment to WECC shall be made twenty days after the receipt of the Notice of Payment. WECC shall inform NERC if the payment is not timely received. If TID does not make the monetary penalty payment above, at the time agreed by the parties, then interest payable to WECC will begin to accrue pursuant to FERC's regulations at 18 C.F.R. § 35.19(a)(2)(iii) from the date that payment is due, in addition to the penalty specified above.

65. Failure to make a timely penalty payment or to comply with any of the terms and conditions agreed to herein, or any other conditions of this Agreement, shall be deemed a violation of the same Alleged Violations that initiated this settlement, and/or additional violation(s), and may subject TID to new or additional enforcement, penalty, or sanction actions in accordance with the NERC Rules of Procedure. If TID fails to complete the actions described above, WECC reserves the right to assess and collect a monetary penalty, to impose a sanction or otherwise to impose enforcement actions.

66. WECC's determination of penalties, as well as its decision to accept certain penalty amounts in settlement, 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 the [Registered Entity] to remedy the violation in a timely manner." In addition, WECC considers the direction of the Commission provided in Order No. 693, the NERC Sanction Guidelines, and the Commission's July 3, 2008 Guidance Order. Specifically, WECC considers the following factors: (1) the relation of the penalty to the seriousness of the violation, including consideration of the applicable Violation Risk Factors as well as the actual and foreseen risk to the reliability of the BPS as determined by WECC subject matter experts; (2) the violation duration; (3) the Registered Entity's compliance history; (4) the Registered Entity's self-disclosure 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 directed; (6) the presence and quality of the Registered Entity's compliance program; (7) the violation time horizon; (8) the failure of the Registered Entity to comply with compliance directives, (9) any attempt by the Registered Entity to conceal the violation or information needed to investigate the violation, (10) intentional violation, (11) any other extenuating circumstances, and (12) the Registered Entity's ability to pay a penalty.

67. WECC assessed the VRF and reliability impact for each of the violations covered by this Agreement and determined that FAC-003-1 R2 was the only violation that resulted in a high impact to the reliability of the BPS. Specifically, given TID's failure to adequately implement the 2007 Vegetation Management Work Plan as identified in its TVMP, and given that this failure resulted in a vegetation-caused outage that caused 13,000 customers to lose service, WECC considers the FAC-003-1 R2 violation to be a significant event that warrants a commensurate penalty. It was determined that the remaining violations resulted in a minimal to moderate impact to the reliability of the BPS; penalties were assessed accordingly.

68. In agreeing to this penalty amount, WECC considered several mitigating factors. First, WECC recognizes that TID is a small irrigation district that has comparatively limited financial resources. WECC also recognizes that each violation in this Agreement is TID's first violation of the applicable Standard. In addition, FAC-003-1 R2, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1 and TPL-004-0 R1 violations were promptly self-

reported. With respect to the FAC-003-1 R2 violation, TID management acted swiftly and with substantial disciplinary action after investigating all facets of this serious BPS event. In addition, based on the Compliance Program Audit Worksheet (“CPAW”), WECC determined that TID excels in several categories that indicate a high-quality Internal Compliance Program (“ICP”). In particular, TID has a well-documented ICP that receives a quarterly review; a dedicated ICP position that reports to the General Manager and has direct access to the Board; a General Manager that is involved in monthly meetings and a Board that is informed of changes to the ICP; and sufficient resources to run its ICP. Furthermore, TID funds and conducts an ongoing compliance training program for its employees and performs regular internal compliance audits of all its departments. TID also takes disciplinary action for employees involved in violations of the Reliability Standards as illustrated by actions that were taken for its FAC-003-1 R2 violation. Lastly, TID management and staff fully cooperated with the WECC audit team during the audit and investigation of the Alleged Violations.

69. WECC reviewed and considered all applicable mitigation plans pertaining to this Agreement. At the time the NAVAPS was sent to TID, all violations had been completely mitigated as verified by WECC auditors. WECC further notes that for all violations, TID undertook the appropriate measures to mitigate in a timely manner.

70. WECC determined that there were no aggravating factors; specifically, there was no repeated violation, no relevant negative compliance history, no applicable compliance directives, no evidence of any attempt by TID to conceal the violation or that the violation was intentional, and no other aggravating circumstances warranting a higher penalty.

VI. ADDITIONAL TERMS

71. The signatories to this Agreement affirm that they enter into this Agreement voluntarily and that, other than the recitations set forth herein, no tender, offer or promise of any kind by any member, employee, officer, director, agent or representative of WECC or TID has been made to induce the signatories or any other party to enter into the Agreement.

72. WECC shall report the terms of all settlements of compliance matters to NERC. NERC will review the settlement for the purpose of evaluating its consistency with other settlements entered into for similar violations or under other, similar circumstances. Based on this review, NERC will either approve the settlement or reject the settlement and notify WECC and TID of their acceptance or rejection. If NERC does not approve the settlement, NERC will provide specific written reasons for such rejection and changes to the settlement that could result in its approval. If a settlement cannot be reached, the enforcement process shall continue to conclusion. If NERC approves the

settlement, NERC will (i) report the approved settlement to FERC for FERC's review and approval by order or operation of law and (ii) publicly post the Alleged Violation and the terms provided for in the settlement.

73. This Agreement shall become effective upon FERC's approval of this Agreement by order or operation of law as submitted to it or as modified in a manner acceptable to the parties.

74. TID agrees that this Agreement, when approved by NERC and FERC, shall represent a final settlement of all matters set forth herein, and TID waives its right to further hearings and appeals for these Alleged Violations. WECC reserves all rights to initiate enforcement, penalty or sanction actions against TID in accordance with the NERC Rules of Procedure in the event that TID fails to comply with any Mitigation Plan and/or compliance program agreed to in this Agreement. In the event TID fails to comply with any of the stipulations, remedies, sanctions or additional terms, as set forth in this Agreement, WECC will initiate enforcement, penalty, or sanction actions against TID to the maximum extent allowed by the NERC Rules of Procedure, up to the maximum statutorily allowed penalty. TID shall retain all rights to defend against such enforcement actions, also according to the NERC Rules of Procedure.

75. Each of the undersigned warrants that he or she is an authorized representative of the entity designated, is authorized to execute and deliver the Agreement on such entity's behalf and does so intending that such entity shall be bound by the terms hereof.

76. The undersigned representative of each Party affirms that he or she has read this Agreement, that all of the matters set forth in this Agreement are true and correct to the best of his or her knowledge, information and belief, and that he or she understands that this Agreement is entered into by such Party in express reliance on those representations, provided, however, that such affirmation by each party's representative shall not apply to the other Party's statements of position set forth in Section III of this Agreement.

77. This Agreement may be signed in counterparts.


78. This Agreement is executed in duplicate, each of which so executed shall be deemed to be an original.

***Remainder of page intentionally left blank.
Signatures to be affixed to the following page.***


This Agreement may be signed in counterparts.

This Agreement is executed in duplicate, each of which so executed shall be deemed to be an original.


Agreed to and accepted:



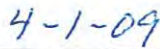
Constance B. White
Vice President of Compliance
WECC



Date



Casey Hashimoto
Assistant General Manager
Engineering & Operations
Turlock Irrigation District



Date

Attachment c

**Mitigation Plans, submitted June 1, 2007,
September 4, 2007 and December 19, 2008**



Mitigation Plan Submittal Form

New or Revised

Date this Mitigation Plan is being submitted: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: December 1, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: 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 Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R2	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that on one occasion communications between the Balancing Authority (BA) Operator did not use clear and concise communication with the Generator Operator (GO).

[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:

During our WECC Audit, an auditor requested a recording of a conversation between the BA Operator and a GO. It was alleged that



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during this conversation, TID Power Control Center Operators Manual document OH2310.003 was not followed. The specific issue being that the BA Operator did not "ensure the GO repeated the information back correctly; and did not acknowledge the response as correct or repeat the original statement to resolve any misunderstandings". There was no impact to the operation of the bulk electric system because the instructions were clearly understood and executed.

[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:

TID provided additional training, emphasizing the proper communication protocols as per TID Power Control Center Operators Manual document OH2310.003 All Power Control Center Operators received this training and have demonstrated their learned skills. The training of all our Power Control Center Operators was completed on December 1, 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 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:



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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.

[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 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 mitigation plan essentially emphasized that the documented communication protocols shall be followed for all directives given by the BA Operator and the BA Operator shall ensure that the proper communication protocols are followed by the GO. Further violations of this type will not occur because the operators have been trained to use proper communication protocols at all times, not just when directives are issued.

[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



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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:

Since TID is a vertically integrated utility, we also provided training for the Generator Operators. They have been trained on the proper communication protocols and have been instructed that proper communication protocol shall be followed for all BA Operator directives issued to the GO. The training of our Generator Operators was completed on December 1, 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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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: _____

Casey Hashimoto

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Casey Hashimoto

Title: Assistant General Manager - Engineering and Operations

Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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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NERC
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RELIABILITY CORPORATION

- 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: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: December 5, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: PER-002-0
[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)
		R3.1	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that TID Document OH1130.003 (Power Control Center Operator Training Program) was insufficient in providing a detailed list of Power Control Center (PCC) Operator training program objectives.
 [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:

The Compliance Audit Report states that "TID did not demonstrate a set of defined training program objectives based on NERC and WECC



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standards. The objectives portion of the training program was insufficient in detail".

[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:

TID has completed taking the following actions to address this violation:

1. On November 1, 2008, additional labor resources were allocated to the Power Operations Department in the form of one additional full-time employee. This employee has been with TID for 24 years and has extensive knowledge and experience in PCC Operations, EMS Operations, Communication Systems and Critical Infrastructure Protection. This employee has been directed to devote a majority of his time toward improving the PCC Operator Training Program.
2. An analysis of the entire training program was conducted which determined that the program provided sufficient PCC Operator knowledge and competencies in the required categories of NERC Standards, WECC Standards, TID operating procedures, and applicable regulatory requirements however, the training program documentation may have been insufficient by listing only a limited number of training program objectives for a PCC Operator performing Balancing Authority and Transmission Operator functions.
3. As part of the training program analysis, all PCC Operator training materials, courses, lesson plans, exercises, and drills were reviewed and a comprehensive list of training program objectives was compiled.
4. The compiled list of training program objectives was then compared to a list of PCC Operator tasks, further refined, and divided into three separate lists depending on whether the objective was based on normal, emergency, or restoration operating conditions.
5. The final step was to revise the PCC Operator Training Program Objectives section of TID document OH1130.003 to include the three



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lists of training objectives. The revised TID document (OH1130.004) is included with the submittal of this Mitigation Plan.

[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.

[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:



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[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 will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Additional labor resources which have been allocated to the Power Operations Department and dedicated to enhancing the PCC Operator Training Program will help prevent or minimize the probability of future violations of this requirement and similar reliability requirements. The detailed training objectives which have been incorporated into the PCC Operator Training Program will improve the quality and effectiveness of the training 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



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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:

As part of the analysis of the current TID PCC Operator training program, version 5 of PER-005 was reviewed in light of the fact that it is intended to result in the retirement of PER-002-0. This review pointed out the differences between the two Standards and the changes to the TID PCC Operator Training Program which would be required by the new Standard.

PER-005 requires a systematic approach to training based on a list of company-specific reliability-related tasks performed by System Operators. As we go forward toward improving our PCC Operator Training Program, we plan to incorporate the concepts of the systematic approach into our training program documentation and into development of our lesson plans.

Specific milestones and completion dates will depend on the final content of PER-005 and its date of adoption.

[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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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:

Casey Hashimoto

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Casey Hashimoto

Title: Assistant General Manager - Engineering and Operations

Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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 Submittal Form

New or Revised

Date this Mitigation Plan is being submitted: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: October 25, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: TPL-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 Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R1.3.6	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that a previous transmission assessment (TID's 2007 Transmission Assessment), which spanned study years 2008 through 2013, did not adequately address different demand levels for each year studied. The Audit Report states that Requirement R1.3.6 specifies that more than one demand level be studied.

[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 WECC Audit Team determined that TID was compliant at audit time with our current transmission assessment titled "Turlock Irrigation District 2008 Bulk Electric System Transmission Assessment for Years 2009-2018" dated September 4, 2008. Since the current transmission assessment was compliant, it would negate the need for a re-assessment of much of the 2007 Transmission Assessment study years since the study years of the two transmission assessments overlap. The difference would be the year 2008. 2008 was not included in the 2008 Transmission Assessment.

To correct the alleged violation, TID will use the same approach and methodology that was used in the fully-compliant 2008 Transmission Assessment for the study year 2008 to 1) demonstrate that the TID system meets all system performance requirements and NERC Transmission Planning Reliability standards for the 2008 study year and 2) show there was no impact to the Bulk Electric System that resulted from the alleged violations.

[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



Western Electricity Coordinating Council



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.

[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 will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Since our current transmission assessment was found to be compliant, TID will continue to use the same approach and methodology with all future transmission assessments to prevent the probability that we will incur violations of this reliability standard 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:



No additional actions are planned.

[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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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:

Casey Hashimoto

(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Casey Hashimoto

Title: Assistant General Manager - Engineering and Operations

Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: October 25, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: TPL-002-0
[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)
		R1.3.6	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that a previous transmission assessment (TID's 2007 Transmission Assessment), which spanned study years 2008 through 2013, did not adequately address different demand levels for each year studied. The Audit Report states that Requirement R1.3.6 specifies that more than one demand level be studied.

[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 WECC Audit Team determined that TID was compliant at audit time with our current transmission assessment titled "Turlock Irrigation District 2008 Bulk Electric System Transmission Assessment for Years 2009-2018" dated September 4, 2008. Since the current transmission assessment was compliant, it would negate the need for a re-assessment of much of the 2007 Transmission Assessment study years since the study years of the two transmission assessments overlap. The difference would be the year 2008. 2008 was not included in the 2008 Transmission Assessment.

To correct the alleged violation, TID will use the same approach and methodology that was used in the fully-compliant 2008 Transmission Assessment for the study year 2008 to 1) demonstrate that the TID system meets all system performance requirements and NERC Transmission Planning Reliability standards for the 2008 study year and 2) show there was no impact to the Bulk Electric System that resulted from the alleged violations.

[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



Western Electricity Coordinating Council



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.

[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 will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Since our current transmission assessment was found to be compliant, TID will continue to use the same approach and methodology with all future transmission assessments to prevent the probability that we will incur violations of this reliability standard 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:



No additional actions are planned.

[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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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: Casey Hashimoto
(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: October 25, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: TPL-003-0
[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)
		R1.3.6	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that a previous transmission assessment (TID's 2007 Transmission Assessment), which spanned study years 2008 through 2013, did not adequately address different demand levels for each year studied. The Audit Report states that Requirement R1.3.6 specifies that more than one demand level be studied.

[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 WECC Audit Team determined that TID was compliant at audit time with our current transmission assessment titled "Turlock Irrigation District 2008 Bulk Electric System Transmission Assessment for Years 2009-2018" dated September 4, 2008. Since the current transmission assessment was compliant, it would negate the need for a re-assessment of much of the 2007 Transmission Assessment study years since the study years of the two transmission assessments overlap. The difference would be the year 2008. 2008 was not included in the 2008 Transmission Assessment.

To correct the alleged violation, TID will use the same approach and methodology that was used in the fully-compliant 2008 Transmission Assessment for the study year 2008 to 1) demonstrate that the TID system meets all system performance requirements and NERC Transmission Planning Reliability standards for the 2008 study year and 2) show there was no impact to the Bulk Electric System that resulted from the alleged violations.

[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



Western Electricity Coordinating Council



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.

[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 will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Since our current transmission assessment was found to be compliant, TID will continue to use the same approach and methodology with all future transmission assessments to prevent the probability that we will incur violations of this reliability standard 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:



No additional actions are planned.

[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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 - 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 - 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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: Casey Hashimoto
(Electronic signatures are acceptable; see CMEP Section 3.0)

Name (Print): Casey Hashimoto
Title: Assistant General Manager - Engineering and Operations
Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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 Submittal Form

New or Revised

Date this Mitigation Plan is being submitted: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: October 25, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: TPL-004-0
[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)
		R1.3	Medium	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that a previous transmission assessment (TID's 2007 Transmission Assessment), which spanned study years 2008 through 2013, did not have transient stability studies that would demonstrate system performance. The Audit Report states that Requirement R1.3 specifies that the assessment be supported by system simulation testing that shows system performance following Category D contingencies of Table 1.

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



Western Electricity Coordinating Council



- 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 WECC Audit Team determined that TID was compliant at audit time with our current transmission assessment titled "Turlock Irrigation District 2008 Bulk Electric System Transmission Assessment for Years 2009-2018" dated September 4, 2008. Since the current transmission assessment was compliant, it would negate the need for a re-assessment of much of the 2007 Transmission Assessment study years since the study years of the two transmission assessments overlap. The difference would be the year 2008. 2008 was not included in the 2008 Transmission Assessment.

To correct the alleged violation, TID will use the same approach and methodology that was used in the fully-compliant 2008 Transmission Assessment for the study year 2008 to 1) demonstrate that the TID system meets all system performance requirements and NERC Transmission Planning Reliability standards for the 2008 study year and 2) show there was no impact to the Bulk Electric System that resulted from the alleged violations.

[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.



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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.

[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 will prevent or minimize the probability that your organization will incur further violations of the same or similar reliability standards requirements in the future:

Since our current transmission assessment was found to be compliant, TID will continue to use the same approach and methodology with all future transmission assessments to prevent the probability that we will incur violations of this reliability standard 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:



No additional actions are planned.

[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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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): Casey Hashimoto

Title: Assistant General Manager - Engineering and Operations

Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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 Submittal Form

New or Revised

Date this Mitigation Plan is being submitted: December 19, 2008

If this Mitigation Plan has already been completed:

- Check this box and
- Provide the Date of Completion of the Mitigation Plan: November 21, 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: Turlock Irrigation District
Registered Entity Address: 333 E. Canal Drive, Turlock, CA 95380
NERC Compliance Registry ID: NCR05435

- 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: Casey Hashimoto
Title: Assistant General Manager - Engineering And Operations
Email: cjhashimoto@tid.org
Phone: (209) 883-8242

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: VAR-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 Risk Factor	Alleged or confirmed Violation Date ^(*) (MM/DD/YY)	Method of Detection (e.g. audit, self-report, investigation)
		R3	Lower	10-10-08	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:

During TID's October 6-10, 2008 WECC Compliance Audit, it was alleged that TID has not specified criteria for exempting generators from compliance with the requirements in R4 and R6.1 of NERC Reliability Standard VAR-001-1.

[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 TID Power Operations Department, working with the TID Power & Communications Engineering Department, Hydro Electric Department, and Combustion Turbine Department, developed performance criteria for exempting TID generators from compliance with the requirements in R4 and R6.1 of NERC Reliability Standard VAR-001-1. Ther criteria is now specified in the TID Power Control Center Operators Manual under document OH5000.006 - "Voltage and MVAR Control".

[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.

[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 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 TID criteria for exempting generators from compliance with Requirements R4 and R6.1 of NERC Reliability Standard VAR-001-1 have been developed and are specified in the TID Power Control Center Operators Manual document OH5000.006 per Requirement R3 of NERC Reliability Standard VAR-001-1. While the criteria may be revised due to system changes, they will always exist in the manual. Therefore there is little to no risk of TID incurring further violations of Requirement R3.

[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



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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 criteria for exempting generators from compliance with Requirements R4 and R6.1 of NERC Reliability Standard VAR-001-1 will be reviewed annually by the TID Power Operations Department, Power & Communications Engineering Department, Hydro Electric Department, and Combustion Turbine Department and updated as necessary. [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 the Assistant General Manager - Engineering and Operations of Turlock Irrigation District.
 2. I am an officer, employee, attorney or other person authorized to sign this Mitigation Plan on behalf of Turlock Irrigation District.
 3. I understand Turlock Irrigation District's 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. Turlock Irrigation District 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): Casey Hashimoto

Title: Assistant General Manager - Engineering and Operations

Date: December 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.

As of the date of this mitigation plan submittal to WECC (December 19, 2008), TID has not yet received the Preliminary Notice of Alleged Violations from our October 6-10, 2008 WECC Compliance Audit. Although TID may not necessarily agree with the Audit Team findings, TID immediately proceeded to address and mitigate the possible violations identified by the Audit Team.

[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://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.

Attachment d

TID's Certification of Completion of the Mitigation Plan for the FAC-003-1 R2 violation

(The Certification of Completion of the Mitigation Plan is included in Attachment d for the following violations: COM-002-2 R2, PER-002-0 R3, TPL-001-0 R1, TPL-001-0 R1, TPL-002-0 R1, TPL-003-0 R1, TPL-004-0 R1 and VAR-001-1 R3)



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: Turlock Irrigation District

Standard Title: Transmission Vegetation Management Program

Standard Number: FAC-003-1

Requirement Number(s)¹: **R1.2.2**

Actual completion date of Mitigation Plan: September 14, 2007

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.

Tab "August 29 Patrol": After the 230 kV line relayed open, we had three Troubleshooters patrol the line. The problem tree was found and the Troubleshooter cut the tree back to allow the line to be re-energized. The Line Department Manager who oversees the tree trimming crews was notified. He re-inspected the line in the immediate vicinity of the fault and made arrangements for the tree crews to work at the site the next day. He generated the "Blue Tag" for this work. The document in this section is the maintenance tag for this trouble call where the Troubleshooter removed the almond tree.

Tab "August 30 Patrol": We had a Troubleshooter patrol the entire 31 miles of our 230 kV line. This was a "tree only" patrol rather than the full inspection which is normally scheduled in October. This allowed the inspection to be completed in two days. He was to note all areas with vegetation close to our Clearance 2 distance (10 feet). He also noted other areas of potential vegetation problems. The document in this section is the Line Patrol Report.

Tab "August 30 Patrol Blue Tags": The August 30 line patrol identified 4 different areas (highlighted) along the line route that had vegetation estimated to be close to our Clearance 2 distance. In our maintenance tag system the tag itself is colored blue so we refer to our maintenance tag as "Blue Tag". "Blue Tags" were generated for the 4 areas and several tree crews worked simultaneously to trim the trees in these areas. The last tag was completed on 9-1-07. Our Line Department Manager inspected the tree crew work for Clearance 1 (12 feet) and signed the "Blue Tag". As of 9-1-07 we believe we have achieved Clearance 1 throughout the 31

¹ Violations are reported at the level of requirements, sub requirements are not necessary.
WECC Compliance Monitoring and Enforcement Program
Mitigation Plan Completion Form

miles of 230 kV line. The documents in this section are the "Blue Tags" for the August 30 Line Patrol.

Tab "Additional Blue Tags": Immediately after the August 29, 2007 incident, our Line Department Manager initiated discussions with land owners with orchards. These discussions were to notify them of our intent to trim their trees back to gain additional clearance. "Blue Tags" were generated by the Line Department Manager and the tree crews worked on Saturday, September 1 to complete these tags. Our Line Department Manager inspected the tree crew work and signed the "Blue Tag". In addition, "Blue Tags" were generated on 9-12-07 to provide additional clearance where the line crosses a river. The tree crews completed this work on 9-14-07. The Line Department Manager inspected the tree crew work and signed the "Blue Tag". The documents in this section are the "Blue Tags" for the additional trimming ordered by the Line Department Manager.

Tab "Training": To raise the awareness of our field personnel to assist in identifying potential problem vegetation, our Line Department Manager conducted a training session on our Transmission Vegetation Management Program. On September 13, 2007, the Line Department personnel (Line Supervisors, Electrical Lineworkers, Electrical Troubleshooters, Meter Technicians, Transformer Technicians) were trained by the Line Department Manager. The main topics of this training were Clearance 1 and Clearance 2 as well as the Imminent Threat procedure. The document in this section is the attendance list for this training.

Tab "Disciplinary Action": An internal investigation was concluded on September 11, 2007. It was determined that the Line Department Manager had inspected the line in April 2007 as required but failed to note any tree clearance issues in the area of the August 29, 2007 incident. The employee is a well experienced, former Lineman (30 years at Turlock Irrigation District) with no past disciplinary problems. This was a good employee who made an error in judgment at the time of the last inspection in April 2007 and did not order the necessary tree trimming. Turlock Irrigation District has a Positive Discipline Program. The employee received a written reminder for this incident which is the second level (of three levels) of formal discipline. The District's Positive Discipline manual is included in this section.

Additional Notes or Comments pertaining to this violation:

A Self-Reporting Form and a Mitigation Plan was submitted to compliance@wecc.biz on September 4, 2007. As of the date we are submitting this Mitigation Plan Completion Form, we have not heard from WECC whether the mitigation plan submitted was approved. We proceeded with the work spelled out in our mitigation plan as if it were approved and have now completed our work. A compliance investigation by WECC is scheduled for October 2, 2007. The investigation team has requested our Transmission Vegetation Management Program documentation be sent to WECC by September 25, 2007. We are sending those documents separate from this mitigation completion documentation. However we can provide the TVMP and other materials upon request if it is needed by WECC to verify completion of our mitigation plan.

By endorsement of this document I attest that Turlock Irrigation District 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: Casey Hashimoto

Authorized Officer's Name: Casey Hashimoto

Authorized Officer's Title: Assistant General Manager - Engineering and Operations

Date: 9-20-2007

Attachment e

**WECC's Verification of Completion of the
Mitigation Plans, dated 12/14/2011;
"....." 12/14/2011;**

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID'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: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Patrick Miller, WECC Senior Compliance Engineer



Laura Scholl
Managing Director, Compliance

(801) 819-7619
lscholl@wecc.biz

November 11, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Completion of Mitigation Plan for FAC-003-1, Requirement 2

Dear Casey,

On September 20, 2007, the Western Electricity Coordinating Council ("WECC") received Turlock Irrigation District's ("TID") Certification of Completion and supporting evidence for TID's Alleged Violation of Reliability Standard FAC-003-1, Requirement 2.

On September 29, 2007, WECC subject matter experts ("SME") reviewed and accepted this Certification of Completion for FAC-003-1, Requirement 2. WECC SMEs found that this requirement had been fully mitigated. No further mitigation of these requirements will be required at this time.

If you have any questions or concerns, please contact Chris Luras at 801-891-7127 or at cluras@wecc.biz.

Thank you for your assistance in this effort.

Sincerely,



Laura Scholl
Managing Director of Compliance

cc: Larry Gilbertson, TID Electrical Engineering Manager
Rebecca Michael, NERC Assistant General Counsel
Sara Minges, NERC Legal Assistant
Constance White, WECC Vice President of Compliance
Chris Luras, WECC Manager of Compliance Enforcement
Lisa Milanese, WECC Manager of Compliance Program Administration

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard PER-002-0 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 PER-002-0 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 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: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Ed Riley, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard TPL-001-0 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 TPL-001-0 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: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Jay Look, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard TPL-002-0 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 TPL-002-0 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: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Jay Look, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard TPL-003-0 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 TPL-003-0 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 Lookk at jay@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Jay Lookk, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard TPL-004-0 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 TPL-004-0 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: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Jay Look, WECC Senior Compliance Engineer

CONFIDENTIAL



Bob Kiser
Manager of Compliance Audits and Investigations

360.567.4058
bkiser@wecc.biz

January 22, 2009

Casey Hashimoto
Assistant General Manager Engineering & Operations
Turlock Irrigation District
NCR05435
333 E. Canal Dr.
Turlock, California 95381-0949

Subject: Certification of Completion Response Letter

Dear Casey Hashimoto,

The Western Electricity Coordinating Council (WECC) has received Turlock Irrigation District TID's Certification of Completion and supporting evidence on 12/19/2008 for TID's alleged violation of Reliability Standard VAR-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 VAR-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 Mike Wells at mwells@wecc.biz. Thanks for your assistance in this effort.

Sincerely,

Bob Kiser

Bob Kiser
Manager of Audits and
Investigations

BK:cm

cc: Larry Gilbertson, TID Electrical Engineering Manager
Lisa Milanese, WECC Manager of Compliance Administration
Mike Wells, WECC Senior Compliance Engineer

NERC

NORTH AMERICAN ELECTRIC
RELIABILITY CORPORATION

Attachment f

Notice of Filing

UNITED STATES OF AMERICA
FEDERAL ENERGY REGULATORY COMMISSION

Turlock Irrigation District

Docket No. NP10-____-000

NOTICE OF FILING
November 13, 2009

Take notice that on November 13, 2009, the North American Electric Reliability Corporation (NERC) filed a Notice of Penalty regarding Turlock Irrigation District 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