Finding Record - Violation ID:

General information

|  |  |
| --- | --- |
| **Compliance Enforcement Authority:** |  |
| **Registration:** |  |
| **Applicable Requirement:** |  |
| **Applicable Part(s):** |  |
| **Applicable Reliability Function(s):** |  |
| **Region - Jurisdiction in which the Potential Noncompliance Occurred:** |  |
| **Other Region - Jurisdiction(s) where you are reporting this Potential Noncompliance:** |  |
| **Entity in Coordinated Oversight:** |  |
| **Associated Registrations Impacted:** |  |
| **If Finding from Audit, related Audit Finding ID:** |  |
| **Finding Created by CEA:** |  |

Discovery and Description

|  |  |
| --- | --- |
| **Monitoring Method:** |  |
| **When was the Potential Noncompliance discovered?:** |  |
| **When did the Potential Noncompliance start?:** |  |
| **Is the Potential Noncompliance still occurring?:** |  |
| **When did you return to compliance?:** |  |
| **What is the basis for selecting the start date?:** |  |
| **How was the Potential Noncompliance Discovered?:** |  |
| **Please describe the Potential Noncompliance in detail:** |  |

Extent of Condition and Root Cause

|  |  |
| --- | --- |
| **Has an Extent of Condition Review been performed?:** |  |
| **If yes, what was/is the Extent of Condition?:** |  |
| **What cause(s) led to the Potential Noncompliance?:** |  |

Risk and Impact

|  |  |
| --- | --- |
| **What do you think the Potential Impact to the BPS was/is from this Potential Noncompliance?:** |  |
| **Why do you believe that to be the correct Potential Impact?:** |  |
|  |  |
| **How likely is it that Impact could have occurred?:** |  |
| **Was there any actual impact to the BPS?:** |  |
| **If yes, what was the Actual Impact to the BPS?** |  |

Additional Comments

**Please provide any additional comments**

Mitigation Information

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Milestone ID** | **Type of Milestone Task** | **Milestone Name** | **Planned Completion Date** | **Actual Completion Date** |
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**Milestone Description**

**Milestone ID**

Submission Details

**Finding Entity Contact Information**

**Primary Compliance Contact**

**Finding Submission Status**

**If Finding has been submitted, it was submitted to the CEA on:**

**Was mitigation submitted for review with the Finding Submission?**

**Draft Mitigation Milestone ID(s)**