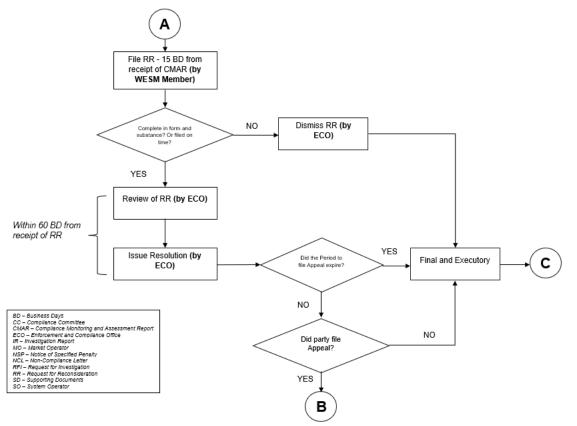
APPENDIX I-A: CMA - MONITORING, VALIDATION, AND REPORTING PROCESS FLOWCHART Flagging of Probable Breach (by WESM Governance Arm) BD – Business Days CC – Compliance Committee CCAMER – Compliance Admittee CAMER – Compliance Monitoring and Assessment Report ECO – Enforcement and Compliance Office IR – Investigation Report MO – Market Operator NSP – Notice of Sectified Penalty NCL – Non-Compliance Letter RFI – Request for Investigation RR – Request for Investigation RR – Request for Investigation SD – Supporting Documents SO – System Operator Respond to flagging - 5BD (by WESM Member) NO Was response submitted? Within 45 BD from YES the end of calendar month covered in NO Request complete the monitoring Response/ SD explanation / SD (ECO) YES С Validate and assess (by ECO) YES Did the Period to file RR expire? Issue CMAR (by ECO) Final and Executory NO NO Did WESM

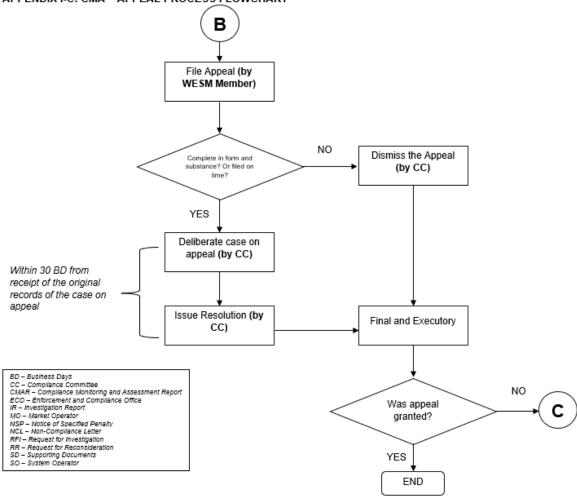
YES

Α

APPENDIX I-B: CMA - RECONSIDERATION PROCESS FLOWCHART



APPENDIX I-C: CMA - APPEAL PROCESS FLOWCHART



APPENDIX I-D: CMA - IMPLEMENTATION OF ENFORCEMENT ACTION PROCESS FLOWCHART

