
**UNITED STATES OF AMERICA
BEFORE THE
FEDERAL ENERGY REGULATORY COMMISSION**

**NORTH AMERICAN) Docket No. RR07-9-____
ELECTRIC RELIABILITY CORPORATION) Docket No. RR07-10-____
)**

**COMPLIANCE FILING OF THE
NORTH AMERICAN ELECTRIC RELIABILITY CORPORATION
IN RESPONSE TO PARAGRAPHS 42, 44 AND 45 OF MAY 18, 2007 ORDER –
SUBMISSION OF REVISED VIOLATION RISK FACTORS
FOR APPROVED RELIABILITY STANDARDS**

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June 1, 2007

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I. INTRODUCTION

The North American Electric Reliability Corporation (“NERC”), in compliance with the directives in paragraphs 42, 44 and 45 of the Commission’s May 18, 2007 Order in Docket Nos. RR07-9 and RR07-10,¹ hereby submits modifications to Violation Risk Factors for certain Requirements in Reliability Standards that have been approved by the Commission. **Exhibit A** to this filing lists the Violation Risk Factors that are being modified, added or deleted, and the associated Reliability Standard and Requirement for each revised Violation Risk Factor.

II. NOTICES AND COMMUNICATIONS

Notices and communications with respect to this filing may be addressed to the following:

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III. REVISIONS TO VIOLATION RISK FACTORS

NERC submitted proposed Violation Risk Factors for its Version 0 and Version 1 Reliability Standards on February 23, 2007 and March 23, 2007. In the May 18 Order, the Commission approved over 700 Violation Risk Factors. However, the Commission also directed NERC, in a compliance filing to be submitted within 15 days, to:

¹ *Order On Violation Risk Factors*, 119 FERC ¶ 61,145 (2007) (“May 18 Order”).

- modify the risk categories of the Violation Risk Factors for 28 Requirements of Reliability Standards, as set forth in Appendix A to the May 18 Order;²
- submit Violation Risk Factors for Requirements R2, R2.1, R3 and R3.1 of Reliability Standard MOD-016-1, for which NERC had not submitted proposed Violation Risk Factors;³ and
- remove Violation Risk Factors that had been inappropriately assigned to provisions of certain Reliability Standards for which Violation Risk Factors were not necessary, such as explanatory statements, phrases and/or text.⁴

NERC has made the revisions to Violation Risk Factors as directed in paragraphs 42, 44 and 45 of the May 18 Order, and is hereby submitting the revised Violation Risk Factors to the Commission. **Exhibit A** to this filing lists the revised Violation Risk Factors that are being submitted in this filing, and the associated Reliability Standard and Requirement for each revised Violation Risk Factor.

In paragraph 42 of the May 18 Order, the Commission directed NERC to modify the risk categories for the Violation Risk Factors assigned to 28 Requirements of Reliability Standards. **Exhibit A** lists these 28 Requirements, the previous Violation Risk Factor assignment and the current Violation Risk Factor as specified per the May 18 Order. These 28 revised Violation Risk Factor assignments are denoted by “FERC Directed Change” in the “Comment” column.

In paragraph 44 of the May 18 Order, the Commission directed NERC to assign Violation Risk Factors to Requirements R2, R2.1, R3 and R3.1 of Reliability Standard MOD-016-1. The Violation Risk Factors NERC has assigned to each of these Requirements is shown on **Exhibit A**.⁵

² *Id.* at P 42.

³ *Id.* at P 44.

⁴ *Id.* at P 45.

⁵ NERC had previously assigned a “Lower” Violation Risk Factor to requirement R2 of Reliability Standard MOD-016-1, but had not separated out Requirements R2.1, R3 and R3.1 and separately stated the Violation Risk Factor for each of these three Requirements.

In paragraph 45 of the May 18 Order, the Commission directed NERC to delete Violation Risk Factors that were inappropriately assigned to portions of Reliability Standards such as explanatory statements, phrases and/or text. In response to this directive, NERC has identified a total of 12 Violation Risk Factors that were inappropriately assigned and are being deleted. The Violation Risk Factors being deleted, and the associated Requirements and Reliability Standards, are shown on **Exhibit A** denoted by “VRF Not Needed – Explanatory Text” or “VRF Not Needed – Duplicative Requirement” in the “Comment” column.

The revisions to Violation Risk Factors shown on **Exhibit A** were approved by the NERC Board of Trustees through action without a meeting, in accordance with Article V, Section 6 of the NERC Bylaws, on May 31, 2007.

Finally, in paragraph 46 of the May 18 Order, the Commission directed NERC “to submit a complete Violation Risk Factor matrix encompassing each Commission approved Reliability Standard. The matrix should include the correct corresponding version number for each Requirement and its associated Violation Risk Factor.” Paragraph 46 did not specify if the complete Violation Risk Factor matrix was to be submitted with this compliance filing within 15 days following the May 18 Order. However, for completeness, NERC is submitting the complete Violation Risk Factor matrix required by paragraph 46, as **Exhibit B** to this filing. **Exhibit B** incorporates the revised Violation Risk Factor assignments submitted with this filing as shown on **Exhibit A**.

IV. CONCLUSION

The North American Electric Reliability Corporation respectfully requests that the Commission accept this filing as compliance with paragraphs 42, 44 and 45 of the May 18 Order, and approve the revised Violation Risk Factor assignments shown on **Exhibit A** to this filing.

Respectfully submitted,

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Exhibit A

Revisions to Violation Risk Factors For Approved Reliability Standards

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
BAL-002-0	R1.1.	A Balancing Authority may elect to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group. In such cases, the Reserve Sharing Group shall have the same responsibilities and obligations as each Balancing Authority with respect to monitoring and meeting the requirements of Standard BAL-002.	LOWER	HIGH	FERC Directed Change
BAL-002-0	R2.1.	The minimum reserve requirement for the group.	LOWER	HIGH	FERC Directed Change
BAL-002-0	R3.1.	As a minimum, the Balancing Authority or Reserve Sharing Group shall carry at least enough Contingency Reserve to cover the most severe single contingency. All Balancing Authorities and Reserve Sharing Groups shall review, no less frequently than annually, their probable contingencies to determine their prospective most severe single contingencies.	LOWER	HIGH	FERC Directed Change
BAL-002-0	R4.2.	The default Disturbance Recovery Period is 15 minutes after the start of a Reportable Disturbance. This period may be adjusted to better suit the needs of an Interconnection based on analysis approved by the NERC Operating Committee.	LOWER	<blank>	VRF Not Needed - Explanatory Text
BAL-002-0	R5.1.	The Reserve Sharing Group reviews group ACE (or equivalent) and demonstrates compliance to the DCS. To be in compliance, the group ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	LOWER	<blank>	VRF Not Needed - Explanatory Text
BAL-002-0	R5.2.	The Reserve Sharing Group reviews each member's ACE in response to the activation of reserves. To be in compliance, a member's ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	LOWER	<blank>	VRF Not Needed - Explanatory Text
BAL-002-0	R6.1.	The Contingency Reserve Restoration Period begins at the end of the Disturbance Recovery Period.	LOWER	<blank>	VRF Not Needed - Explanatory Text
BAL-002-0	R6.2.	The default Contingency Reserve Restoration Period is 90 minutes. This period may be adjusted to better suit the reliability targets of the Interconnection based on analysis approved by the NERC Operating Committee.	LOWER	<blank>	VRF Not Needed - Explanatory Text

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
BAL-005-0	R1.	All generation, transmission, and load operating within an Interconnection must be included within the metered boundaries of a Balancing Authority Area.	MEDIUM	<blank>	VRF Not Needed - Explanatory Text
COM-001-1	R1.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information:	MEDIUM	HIGH	FERC Directed Change
COM-001-1	R1.1.	Internally.	MEDIUM	HIGH	FERC Directed Change
COM-001-1	R1.2.	Between the Reliability Coordinator and its Transmission Operators and Balancing Authorities.	MEDIUM	HIGH	FERC Directed Change
COM-001-1	R1.3.	With other Reliability Coordinators, Transmission Operators, and Balancing Authorities as necessary to maintain reliability.	MEDIUM	HIGH	FERC Directed Change
COM-001-1	R1.4.	Where applicable, these facilities shall be redundant and diversely routed.	MEDIUM	HIGH	FERC Directed Change
EOP-004-1	R3.2.	Applicable reporting forms are provided in Attachments 022-1 and 022-2.	LOWER	<blank>	VRF Not Needed - Explanatory Text
IRO-002-1	R4.	Each Reliability Coordinator shall have multi-directional communications capabilities with its Transmission Operators and Balancing Authorities, and with neighboring Reliability Coordinators, for both voice and data exchange as required to meet reliability needs of the Interconnection.	MEDIUM	HIGH	FERC Directed Change
IRO-006-3	R2.1.	The Interconnection-wide Transmission Loading Relief (TLR) procedure for use in the Eastern Interconnection is provided in Attachment 1-IRO-006-0.	HIGH	<blank>	VRF Not Needed - Explanatory Text
IRO-006-3	R2.2.	The equivalent Interconnection-wide transmission loading relief procedure for use in the Western Interconnection is the "WSCC Unscheduled Flow Mitigation Plan," provided at: http://www.wecc.biz/documents/library/UFAS/UFAS_mitigation_plan_rev_2001-clean_8-8-03.pdf .	HIGH	<blank>	VRF Not Needed - Explanatory Text

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
IRO-006-3	R2.3.	The Interconnection-wide transmission loading relief procedure for use in ERCOT is provided as Section 7 of the ERCOT Protocols, posted at: http://www.ercot.com/tac/retailisoadhoccommittee/protocols/keydocs/draftercotprotocols.htm	HIGH	<blank>	VRF Not Needed - Explanatory Text
MOD-010-0	R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R 1.	LOWER	MEDIUM	FERC Directed Change
MOD-010-0	R2.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide this steady-state modeling and simulation data to the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. If no schedule exists, then these entities shall provide the data on request (30 calendar days).	LOWER	MEDIUM	FERC Directed Change
MOD-016-1	R2.	The Regional Reliability Organization shall distribute its documentation required in Requirement 1 and any changes to that documentation, to all Planning Authorities that work within its Region.	LOWER	LOWER	R2 previously balloted as a group with R2.1, R3, and R3.1. Is now properly separated.
MOD-016-1	R2.1	The Regional Reliability Organization shall make this distribution within 30 calendar days of approval.	<blank>	LOWER	R2.1.; R3.; and R3.1. previously balloted as a group with R2, needed separation.
MOD-016-1	R3.	The Planning Authority shall distribute its documentation required in R1 for reporting customer data and any changes to that documentation, to its Transmission Planners and Load-Serving Entities that work within its Planning Authority Area.	<blank>	LOWER	R2.1.; R3.; and R3.1. previously balloted as a group with R2, needed separation.
MOD-016-1	R3.1	The Planning Authority shall make this distribution within 30 calendar days of approval.	<blank>	LOWER	R2.1.; R3.; and R3.1. previously balloted as a group with R2, needed separation.

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
MOD-017-0	R1.	The Load-Serving Entity, Planning Authority, and Resource Planner shall each provide the following information annually on an aggregated Regional, subregional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Reliability Organizations, and any other entities specified by the documentation in Standard MOD-016-1_R 1.	LOWER	MEDIUM	FERC Directed Change
MOD-017-0	R1.1.	Integrated hourly demands in megawatts (MW) for the prior year.	LOWER	MEDIUM	FERC Directed Change
MOD-017-0	R1.2.	Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.	LOWER	MEDIUM	FERC Directed Change
MOD-017-0	R1.3.	Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.	LOWER	MEDIUM	FERC Directed Change
MOD-017-0	R1.4.	Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.	LOWER	MEDIUM	FERC Directed Change
MOD-018-0	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:	LOWER	MEDIUM	FERC Directed Change
MOD-018-0	R1.1.	Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and	LOWER	MEDIUM	FERC Directed Change
MOD-019-0	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each provide annually its forecasts of interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard MOD-016-0_R 1.	LOWER	MEDIUM	FERC Directed Change

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
PER-004-1	R5.	Reliability Coordinator operating personnel shall place particular attention on SOLs and IROLs and inter-tie facility limits. The Reliability Coordinator shall ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.	MEDIUM	HIGH	FERC Directed Change
PRC-001-1	R1.	Each Transmission Operator, Balancing Authority, and Generator Operator shall be familiar with the purpose and limitations of protection system schemes applied in its area.	MEDIUM	HIGH	FERC Directed Change
PRC-001-1	R2.	Each Generator Operator and Transmission Operator shall notify reliability entities of relay or equipment failures as follows:	MEDIUM	HIGH	FERC Directed Change
PRC-001-1	R3.	A Generator Operator or Transmission Operator shall coordinate new protective systems and changes as follows.	HIGH	<blank>	VRF Not Needed - Duplicative Requirement to R3.1 and R3.2
PRC-001-1	R6.	Each Transmission Operator and Balancing Authority shall monitor the status of each Special Protection System in their area, and shall notify affected Transmission Operators and Balancing Authorities of each change in status.	MEDIUM	HIGH	FERC Directed Change
PRC-005-1	R1.	Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall have a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES. The program shall include:	MEDIUM	HIGH	FERC Directed Change
PRC-021-1	R1.2.	Corresponding voltage set points and overall scheme clearing times.	LOWER	MEDIUM	FERC Directed Change
PRC-022-1	R1.2.	A review of the UVLS set points and tripping times.	LOWER	MEDIUM	FERC Directed Change
TOP-003-0	R1.	Generator Operators and Transmission Operators shall provide planned outage information.	MEDIUM	<blank>	VRF Not Needed - Duplicative Requirement to R1.1 and R1.2

Revisions to Violation Risk Factors for Approved Reliability Standards

Standard Number	Requirement Number	Text of Requirement	Previous Violation Risk Factor Assignment	Revised Violation Risk Factor Assignment	Comment
TPL-002-0	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:	MEDIUM	HIGH	FERC Directed Change
TPL-003-0	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	LOWER	MEDIUM	FERC Directed Change

Exhibit B

**Complete Violation Risk Factor Matrix
Encompassing Each Commission-Approved
Reliability Standard**

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-001-0	R1.	Each Balancing Authority shall operate such that, on a rolling 12-month basis, the average of the clock-minute averages of the Balancing Authority's Area Control Error (ACE) divided by 10B (B is the clock-minute average of the Balancing Authority Area's Frequency Bias) times the corresponding clock-minute averages of the Interconnection's Frequency Error is less than a specific limit. This limit is a constant derived from a targeted frequency bound (separately calculated for each Interconnection) that is reviewed and set as necessary by the NERC Operating Committee. <i>See Standard for Formula.</i>	LOWER
BAL-001-0	R2.	Each Balancing Authority shall operate such that its average ACE for at least 90% of clock-ten-minute periods (6 non-overlapping periods per hour) during a calendar month is within a specific limit, referred to as L_{10} . <i>See Standard for Formula.</i>	LOWER
BAL-001-0	R3.	Each Balancing Authority providing Overlap Regulation Service shall evaluate Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of the combined ACE and combined Frequency Bias Settings.	LOWER
BAL-001-0	R4.	Any Balancing Authority receiving Overlap Regulation Service shall not have its control performance evaluated (i.e. from a control performance perspective, the Balancing Authority has shifted all control requirements to the Balancing Authority providing Overlap Regulation Service).	LOWER
BAL-002-0	R1.	Each Balancing Authority shall have access to and/or operate Contingency Reserve to respond to Disturbances. Contingency Reserve may be supplied from generation, controllable load resources, or coordinated adjustments to Interchange Schedules.	HIGH
BAL-002-0	R1.1.	A Balancing Authority may elect to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group. In such cases, the Reserve Sharing Group shall have the same responsibilities and obligations as each Balancing Authority with respect to monitoring and meeting the requirements of Standard BAL-002.	HIGH
BAL-002-0	R2.	Each Regional Reliability Organization, sub-Regional Reliability Organization or Reserve Sharing Group shall specify its Contingency Reserve policies, including:	LOWER
BAL-002-0	R2.1.	The minimum reserve requirement for the group.	HIGH
BAL-002-0	R2.2.	Its allocation among members.	LOWER
BAL-002-0	R2.3.	The permissible mix of Operating Reserve – Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.	LOWER
BAL-002-0	R2.4.	The procedure for applying Contingency Reserve in practice.	LOWER
BAL-002-0	R2.5.	The limitations, if any, upon the amount of interruptible load that may be included.	LOWER
BAL-002-0	R2.6.	The same portion of resource capacity (e.g., reserves from jointly owned generation) shall not be counted more than once as Contingency Reserve by multiple Balancing Authorities.	MEDIUM
BAL-002-0	R3.	Each Balancing Authority or Reserve Sharing Group shall activate sufficient Contingency Reserve to comply with the DCS.	HIGH

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-002-0	R3.1.	As a minimum, the Balancing Authority or Reserve Sharing Group shall carry at least enough Contingency Reserve to cover the most severe single contingency. All Balancing Authorities and Reserve Sharing Groups shall review, no less frequently than annually, their probable contingencies to determine their prospective most severe single contingencies.	HIGH
BAL-002-0	R4.	A Balancing Authority or Reserve Sharing Group shall meet the Disturbance Recovery Criterion within the Disturbance Recovery Period for 100% of Reportable Disturbances. The Disturbance Recovery Criterion is:	LOWER
BAL-002-0	R4.1.	A Balancing Authority shall return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero. For negative initial ACE values just prior to the Disturbance, the Balancing Authority shall return ACE to its pre-Disturbance value.	MEDIUM
BAL-002-0	R4.2.	The default Disturbance Recovery Period is 15 minutes after the start of a Reportable Disturbance. This period may be adjusted to better suit the needs of an Interconnection based on analysis approved by the NERC Operating Committee.	<blank>
BAL-002-0	R5.	Each Reserve Sharing Group shall comply with the DCS. A Reserve Sharing Group shall be considered in a Reportable Disturbance condition whenever a group member has experienced a Reportable Disturbance and calls for the activation of Contingency Reserves from one or more other group members. (If a group member has experienced a Reportable Disturbance but does not call for reserve activation from other members of the Reserve Sharing Group, then that member shall report as a single Balancing Authority.) Compliance may be demonstrated by either of the following two methods:	LOWER
BAL-002-0	R5.1.	The Reserve Sharing Group reviews group ACE (or equivalent) and demonstrates compliance to the DCS. To be in compliance, the group ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	<blank>
BAL-002-0	R5.2.	The Reserve Sharing Group reviews each member's ACE in response to the activation of reserves. To be in compliance, a member's ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	<blank>
BAL-002-0	R6.	A Balancing Authority or Reserve Sharing Group shall fully restore its Contingency Reserves within the Contingency Reserve Restoration Period for its Interconnection.	MEDIUM
BAL-002-0	R6.1.	The Contingency Reserve Restoration Period begins at the end of the Disturbance Recovery Period.	<blank>
BAL-002-0	R6.2.	The default Contingency Reserve Restoration Period is 90 minutes. This period may be adjusted to better suit the reliability targets of the Interconnection based on analysis approved by the NERC Operating Committee.	<blank>
BAL-003-0	R1.	Each Balancing Authority shall review its Frequency Bias Settings by January 1 of each year and recalculate its setting to reflect any change in the Frequency Response of the Balancing Authority Area.	LOWER
BAL-003-0	R1.1.	The Balancing Authority may change its Frequency Bias Setting, and the method used to determine the setting, whenever any of the factors used to determine the current bias value change.	LOWER

Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-003-0	R1.2.	Each Balancing Authority shall report its Frequency Bias Setting, and method for determining that setting, to the NERC Operating Committee.	LOWER
BAL-003-0	R2.	Each Balancing Authority shall establish and maintain a Frequency Bias Setting that is as close as practical to, or greater than, the Balancing Authority's Frequency Response. Frequency Bias may be calculated several ways:	LOWER
BAL-003-0	R2.1.	The Balancing Authority may use a fixed Frequency Bias value which is based on a fixed, straight-line function of Tie Line deviation versus Frequency Deviation. The Balancing Authority shall determine the fixed value by observing and averaging the Frequency Response for several Disturbances during on-peak hours.	LOWER
BAL-003-0	R2.2.	The Balancing Authority may use a variable (linear or non-linear) bias value, which is based on a variable function of Tie Line deviation to Frequency Deviation. The Balancing Authority shall determine the variable frequency bias value by analyzing Frequency Response as it varies with factors such as load, generation, governor characteristics, and frequency.	LOWER
BAL-003-0	R3.	Each Balancing Authority shall operate its Automatic Generation Control (AGC) on Tie Line Frequency Bias, unless such operation is adverse to system or Interconnection reliability.	LOWER
BAL-003-0	R4.	Balancing Authorities that use Dynamic Scheduling or Pseudo-ties for jointly owned units shall reflect their respective share of the unit governor droop response in their respective Frequency Bias Setting.	LOWER
BAL-003-0	R4.1.	Fixed schedules for Jointly Owned Units mandate that Balancing Authority (A) that contains the Jointly Owned Unit must incorporate the respective share of the unit governor droop response for any Balancing Authorities that have fixed schedules (B and C). See the diagram below.	LOWER
BAL-003-0	R4.2.	The Balancing Authorities that have a fixed schedule (B and C) but do not contain the Jointly Owned Unit shall not include their share of the governor droop response in their Frequency Bias Setting. <i>See Standard for Graphic</i>	LOWER
BAL-003-0	R5.	Balancing Authorities that serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of the Balancing Authority's estimated yearly peak demand per 0.1 Hz change.	LOWER
BAL-003-0	R5.1.	Balancing Authorities that do not serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of its estimated maximum generation level in the coming year per 0.1 Hz change.	LOWER
BAL-003-0	R6.	A Balancing Authority that is performing Overlap Regulation Service shall increase its Frequency Bias Setting to match the frequency response of the entire area being controlled. A Balancing Authority shall not change its Frequency Bias Setting when performing Supplemental Regulation Service.	MEDIUM
BAL-004-0	R1.	Only a Reliability Coordinator shall be eligible to act as Interconnection Time Monitor. A single Reliability Coordinator in each Interconnection shall be designated by the NERC Operating Committee to serve as Interconnection Time Monitor.	LOWER
BAL-004-0	R2.	The Interconnection Time Monitor shall monitor Time Error and shall initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.	LOWER

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-004-0	R3.	Each Balancing Authority, when requested, shall participate in a Time Error Correction by one of the following methods:	LOWER
BAL-004-0	R3.1.	The Balancing Authority shall offset its frequency schedule by 0.02 Hertz, leaving the Frequency Bias Setting normal; or	LOWER
BAL-004-0	R.3.2.	The Balancing Authority shall offset its Net Interchange Schedule (MW) by an amount equal to the computed bias contribution during a 0.02 Hertz Frequency Deviation (i.e. 20% of the Frequency Bias Setting).	LOWER
BAL-004-0	R4.	Any Reliability Coordinator in an Interconnection shall have the authority to request the Interconnection Time Monitor to terminate a Time Error Correction in progress, or a scheduled Time Error Correction that has not begun, for reliability considerations.	LOWER
BAL-004-0	R4.1.	Balancing Authorities that have reliability concerns with the execution of a Time Error Correction shall notify their Reliability Coordinator and request the termination of a Time Error Correction in progress.	LOWER
BAL-005-0	R1.	All generation, transmission, and load operating within an Interconnection must be included within the metered boundaries of a Balancing Authority Area.	<blank>
BAL-005-0	R1.1.	Each Generator Operator with generation facilities operating in an Interconnection shall ensure that those generation facilities are included within the metered boundaries of a Balancing Authority Area.	LOWER
BAL-005-0	R1.2.	Each Transmission Operator with transmission facilities operating in an Interconnection shall ensure that those transmission facilities are included within the metered boundaries of a Balancing Authority Area.	LOWER
BAL-005-0	R1.3.	Each Load-Serving Entity with load operating in an Interconnection shall ensure that those loads are included within the metered boundaries of a Balancing Authority Area.	LOWER
BAL-005-0	R2.	Each Balancing Authority shall maintain Regulating Reserve that can be controlled by AGC to meet the Control Performance Standard.	LOWER
BAL-005-0	R3.	A Balancing Authority providing Regulation Service shall ensure that adequate metering, communications and control equipment are employed to prevent such service from becoming a Burden on the Interconnection or other Balancing Authority Areas.	MEDIUM
BAL-005-0	R4.	A Balancing Authority providing Regulation Service shall notify the Host Balancing Authority for whom it is controlling if it is unable to provide the service, as well as any Intermediate Balancing Authorities.	MEDIUM
BAL-005-0	R5.	A Balancing Authority receiving Regulation Service shall ensure that backup plans are in place to provide replacement Regulation Service should the supplying Balancing Authority no longer be able to provide this service.	MEDIUM

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-005-0	R6.	The Balancing Authority's AGC shall compare total Net Actual Interchange to total Net Scheduled Interchange plus Frequency Bias obligation to determine the Balancing Authority's ACE. Single Balancing Authorities operating asynchronously may employ alternative ACE calculations such as (but not limited to) flat frequency control. If a Balancing Authority is unable to calculate ACE for more than 30 minutes it shall notify its Reliability Coordinator.	MEDIUM
BAL-005-0	R7.	The Balancing Authority shall operate AGC continuously unless such operation adversely impacts the reliability of the Interconnection. If AGC has become inoperative, the Balancing Authority shall use manual control to adjust generation to maintain the Net Scheduled Interchange.	LOWER
BAL-005-0	R8.	The Balancing Authority shall ensure that data acquisition for and calculation of ACE occur at least every six seconds.	MEDIUM
BAL-005-0	R8.1.	Each Balancing Authority shall provide redundant and independent frequency metering equipment that shall automatically activate upon detection of failure of the primary source. This overall installation shall provide a minimum availability of 99.95%.	MEDIUM
BAL-005-0	R9.	The Balancing Authority shall include all Interchange Schedules with Adjacent Balancing Authorities in the calculation of Net Scheduled Interchange for the ACE equation.	LOWER
BAL-005-0	R9.1.	Balancing Authorities with a high voltage direct current (HVDC) link to another Balancing Authority connected asynchronously to their Interconnection may choose to omit the Interchange Schedule related to the HVDC link from the ACE equation if it is modeled as internal generation or load.	LOWER
BAL-005-0	R10.	The Balancing Authority shall include all Dynamic Schedules in the calculation of Net Scheduled Interchange for the ACE equation.	HIGH
BAL-005-0	R11.	Balancing Authorities shall include the effect of Ramp rates, which shall be identical and agreed to between affected Balancing Authorities, in the Scheduled Interchange values to calculate ACE.	MEDIUM
BAL-005-0	R12.	Each Balancing Authority shall include all Tie Line flows with Adjacent Balancing Authority Areas in the ACE calculation.	MEDIUM
BAL-005-0	R12.1.	Balancing Authorities that share a tie shall ensure Tie Line MW metering is telemetered to both control centers, and emanates from a common, agreed-upon source using common primary metering equipment. Balancing Authorities shall ensure that megawatt-hour data is telemetered or reported at the end of each hour.	LOWER
BAL-005-0	R12.2.	Balancing Authorities shall ensure the power flow and ACE signals that are utilized for calculating Balancing Authority performance or that are transmitted for Regulation Service are not filtered prior to transmission, except for the Anti-aliasing Filters of Tie Lines.	MEDIUM
BAL-005-0	R12.3.	Balancing Authorities shall install common metering equipment where Dynamic Schedules or Pseudo-Ties are implemented between two or more Balancing Authorities to deliver the output of Jointly Owned Units or to serve remote load.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-005-0	R13.	Each Balancing Authority shall perform hourly error checks using Tie Line megawatt-hour meters with common time synchronization to determine the accuracy of its control equipment. The Balancing Authority shall adjust the component (e.g., Tie Line meter) of ACE that is in error (if known) or use the interchange meter error (IME) term of the ACE equation to compensate for any equipment error until repairs can be made.	LOWER
BAL-005-0	R14.	The Balancing Authority shall provide its operating personnel with sufficient instrumentation and data recording equipment to facilitate monitoring of control performance, generation response, and after-the-fact analysis of area performance. As a minimum, the Balancing Authority shall provide its operating personnel with real-time values for ACE, Interconnection frequency and Net Actual Interchange with each Adjacent Balancing Authority Area.	LOWER
BAL-005-0	R15.	The Balancing Authority shall provide adequate and reliable backup power supplies and shall periodically test these supplies at the Balancing Authority's control center and other critical locations to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.	LOWER
BAL-005-0	R16.	The Balancing Authority shall sample data at least at the same periodicity with which ACE is calculated. The Balancing Authority shall flag missing or bad data for operator display and archival purposes. The Balancing Authority shall collect coincident data to the greatest practical extent, i.e., ACE, Interconnection frequency, Net Actual Interchange, and other data shall all be sampled at the same time.	MEDIUM
BAL-005-0	R17.	Each Balancing Authority shall at least annually check and calibrate its time error and frequency devices against a common reference. The Balancing Authority shall adhere to the minimum values for measuring devices as listed below: <i>See Standard for Values</i>	LOWER
BAL-006-1	R1.	Each Balancing Authority shall calculate and record hourly Inadvertent Interchange.	LOWER
BAL-006-1	R2.	Each Balancing Authority shall include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account. The Balancing Authority shall take into account interchange served by jointly owned generators.	LOWER
BAL-006-1	R3.	Each Balancing Authority shall ensure all of its Balancing Authority Area interconnection points are equipped with common megawatt-hour meters, with readings provided hourly to the control centers of Adjacent Balancing Authorities.	LOWER
BAL-006-1	R4.	Adjacent Balancing Authority Areas shall operate to a common Net Interchange Schedule and Actual Net Interchange value and shall record these hourly quantities, with like values but opposite sign. Each Balancing Authority shall compute its Inadvertent Interchange based on the following:	LOWER
BAL-006-1	R4.1.	Each Balancing Authority, by the end of the next business day, shall agree with its Adjacent Balancing Authorities to:	LOWER
BAL-006-1	R4.1.1.	The hourly values of Net Interchange Schedule.	LOWER
BAL-006-1	R4.1.2.	The hourly integrated megawatt-hour values of Net Actual Interchange.	LOWER
BAL-006-1	R4.2.	Each Balancing Authority shall use the agreed-to daily and monthly accounting data to compile its monthly accumulated Inadvertent Interchange for the On-Peak and Off-Peak hours of the month.	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
BAL-006-1	R4.3.	A Balancing Authority shall make after-the-fact corrections to the agreed-to daily and monthly accounting data only as needed to reflect actual operating conditions (e.g. a meter being used for control was sending bad data). Changes or corrections based on non-reliability considerations shall not be reflected in the Balancing Authority's Inadvertent Interchange. After-the-fact corrections to scheduled or actual values will not be accepted without agreement of the Adjacent Balancing Authority(ies).	LOWER
BAL-006-1	R5.	Adjacent Balancing Authorities that cannot mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities by the 15th calendar day of the following month shall, for the purposes of dispute resolution, submit a report to their respective Regional Reliability Organization Survey Contact. The report shall describe the nature and the cause of the dispute as well as a process for correcting the discrepancy.	LOWER
CIP-001-1	R1.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall have procedures for the recognition of and for making their operating personnel aware of sabotage events on its facilities and multi site sabotage affecting larger portions of the Interconnection.	MEDIUM
CIP-001-1	R2.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall have procedures for the communication of information concerning sabotage events to appropriate parties in the Interconnection.	MEDIUM
CIP-001-1	R3.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall provide its operating personnel with sabotage response guidelines, including personnel to contact, for reporting disturbances due to sabotage events.	MEDIUM
CIP-001-1	R4.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load-Serving Entity shall establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) officials and develop reporting procedures as appropriate to their circumstances.	MEDIUM
COM-001-1	R1.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information:	HIGH
COM-001-1	R1.1.	Internally.	HIGH
COM-001-1	R1.2.	Between the Reliability Coordinator and its Transmission Operators and Balancing Authorities.	HIGH
COM-001-1	R1.3.	With other Reliability Coordinators, Transmission Operators, and Balancing Authorities as necessary to maintain reliability.	HIGH
COM-001-1	R1.4.	Where applicable, these facilities shall be redundant and diversely routed.	HIGH
COM-001-1	R2.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall manage, alarm, test and/or actively monitor vital telecommunications facilities. Special attention shall be given to emergency telecommunications facilities and equipment not used for routine communications.	MEDIUM

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COM-001-1	R3.	Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate telecommunications among their respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas.	LOWER
COM-001-1	R4.	Unless agreed to otherwise, each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use English as the language for all communications between and among operating personnel responsible for the real-time generation control and operation of the interconnected Bulk Electric System. Transmission Operators and Balancing Authorities may use an alternate language for internal operations.	MEDIUM
COM-001-1	R5.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.	LOWER
COM-001-1	R6.	Each NERCNet User Organization shall adhere to the requirements in Attachment 1-COM-0010, "NERCNet Security Policy."	LOWER
COM-002-2	R1.	Each Transmission Operator, Balancing Authority, and Generator Operator shall have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. Such communications shall be staffed and available for addressing a real-time emergency condition.	HIGH
COM-002-2	R1.1.	Each Balancing Authority and Transmission Operator shall notify its Reliability Coordinator, and all other potentially affected Balancing Authorities and Transmission Operators through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding is anticipated.	HIGH
COM-002-2	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.	MEDIUM
EOP-001-0	R1.	Balancing Authorities shall have operating agreements with adjacent Balancing Authorities that shall, at a minimum, contain provisions for emergency assistance, including provisions to obtain emergency assistance from remote Balancing Authorities.	HIGH
EOP-001-0	R2.	The Transmission Operator shall have an emergency load reduction plan for all identified IROLs. The plan shall include the details on how the Transmission Operator will implement load reduction in sufficient amount and time to mitigate the IROL violation before system separation or collapse would occur. The load reduction plan must be capable of being implemented within 30 minutes.	MEDIUM
EOP-001-0	R3.	Each Transmission Operator and Balancing Authority shall:	MEDIUM
EOP-001-0	R3.1.	Develop, maintain, and implement a set of plans to mitigate operating emergencies for insufficient generating capacity.	MEDIUM
EOP-001-0	R3.2.	Develop, maintain, and implement a set of plans to mitigate operating emergencies on the transmission system.	MEDIUM
EOP-001-0	R3.3.	Develop, maintain, and implement a set of plans for load shedding.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
EOP-001-0	R3.4.	Develop, maintain, and implement a set of plans for system restoration.	MEDIUM
EOP-001-0	R4.	Each Transmission Operator and Balancing Authority shall have emergency plans that will enable it to mitigate operating emergencies. At a minimum, Transmission Operator and Balancing Authority emergency plans shall include:	MEDIUM
EOP-001-0	R4.1.	Communications protocols to be used during emergencies.	MEDIUM
EOP-001-0	R4.2.	A list of controlling actions to resolve the emergency. Load reduction, in sufficient quantity to resolve the emergency within NERC-established timelines, shall be one of the controlling actions.	MEDIUM
EOP-001-0	R4.3.	The tasks to be coordinated with and among adjacent Transmission Operators and Balancing Authorities.	MEDIUM
EOP-001-0	R4.4.	Staffing levels for the emergency.	MEDIUM
EOP-001-0	R5.	Each Transmission Operator and Balancing Authority shall include the applicable elements in Attachment 1-EOP-001-0 when developing an emergency plan.	MEDIUM
EOP-001-0	R6.	The Transmission Operator and Balancing Authority shall annually review and update each emergency plan. The Transmission Operator and Balancing Authority shall provide a copy of its updated emergency plans to its Reliability Coordinator and to neighboring Transmission Operators and Balancing Authorities.	MEDIUM
EOP-001-0	R7.	The Transmission Operator and Balancing Authority shall coordinate its emergency plans with other Transmission Operators and Balancing Authorities as appropriate. This coordination includes the following steps, as applicable:	MEDIUM
EOP-001-0	R7.1.	The Transmission Operator and Balancing Authority shall establish and maintain reliable communications between interconnected systems.	MEDIUM
EOP-001-0	R7.2.	The Transmission Operator and Balancing Authority shall arrange new interchange agreements to provide for emergency capacity or energy transfers if existing agreements cannot be used.	MEDIUM
EOP-001-0	R7.3.	The Transmission Operator and Balancing Authority shall coordinate transmission and generator maintenance schedules to maximize capacity or conserve the fuel in short supply. (This includes water for hydro generators.)	MEDIUM
EOP-001-0	R7.4.	The Transmission Operator and Balancing Authority shall arrange deliveries of electrical energy or fuel from remote systems through normal operating channels.	MEDIUM
EOP-002-2	R1.	Each Balancing Authority and Reliability Coordinator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its respective area and shall exercise specific authority to alleviate capacity and energy emergencies.	HIGH
EOP-002-2	R2.	Each Balancing Authority shall implement its capacity and energy emergency plan, when required and as appropriate, to reduce risks to the interconnected system.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
EOP-002-2	R3.	A Balancing Authority that is experiencing an operating capacity or energy emergency shall communicate its current and future system conditions to its Reliability Coordinator and neighboring Balancing Authorities.	MEDIUM
EOP-002-2	R4.	A Balancing Authority anticipating an operating capacity or energy emergency shall perform all actions necessary including bringing on all available generation, postponing equipment maintenance, scheduling interchange purchases in advance, and being prepared to reduce firm load.	MEDIUM
EOP-002-2	R5.	A deficient Balancing Authority shall only use the assistance provided by the Interconnection's frequency bias for the time needed to implement corrective actions. The Balancing Authority shall not unilaterally adjust generation in an attempt to return Interconnection frequency to normal beyond that supplied through frequency bias action and Interchange Schedule changes. Such unilateral adjustment may overload transmission facilities.	MEDIUM
EOP-002-2	R6.	If the Balancing Authority cannot comply with the Control Performance and Disturbance Control Standards, then it shall immediately implement remedies to do so. These remedies include, but are not limited to:	HIGH
EOP-002-2	R6.1.	Loading all available generating capacity.	HIGH
EOP-002-2	R6.2.	Deploying all available operating reserve	HIGH
EOP-002-2	R6.3.	Interrupting interruptible load and exports.	HIGH
EOP-002-2	R6.4.	Requesting emergency assistance from other Balancing Authorities.	HIGH
EOP-002-2	R6.5.	Declaring an Energy Emergency through its Reliability Coordinator; and	HIGH
EOP-002-2	R6.6.	Reducing load, through procedures such as public appeals, voltage reductions, curtailing interruptible loads and firm loads.	HIGH
EOP-002-2	R7.	Once the Balancing Authority has exhausted the steps listed in Requirement 7, or if these steps cannot be completed in sufficient time to resolve the emergency condition, the Balancing Authority shall:	HIGH
EOP-002-2	R7.1.	Manually shed firm load without delay to return its ACE to zero; and	HIGH
EOP-002-2	R7.2.	Request the Reliability Coordinator to declare an Energy Emergency Alert in accordance with Attachment 1-EOP-002-0 "Energy Emergency Alert Levels."	HIGH
EOP-002-2	R8.	A Reliability Coordinator that has any Balancing Authority within its Reliability Coordinator area experiencing a potential or actual Energy Emergency shall initiate an Energy Emergency Alert as detailed in Attachment 1-EOP-002-0 "Energy Emergency Alert Levels." The Reliability Coordinator shall act to mitigate the emergency condition, including a request for emergency assistance if required.	HIGH
EOP-002-2	R9.	When a Transmission Service Provider expects to elevate the transmission service priority of an Interchange Transaction from Priority 6 (Network Integration Transmission Service from Non-designated Resources) to Priority 7 (Network Integration Transmission Service from designated Network Resources) as permitted in its transmission tariff (See Attachment 1-IRO-006-0 "Transmission Loading Relief Procedure" for explanation of Transmission Service Priorities):	HIGH
EOP-002-2	R9.1.	The deficient Load-Serving Entity shall request its Reliability Coordinator to initiate an Energy Emergency Alert in accordance with Attachment 1-EOP-002-0.	HIGH

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EOP-002-2	R9.2.	The Reliability Coordinator shall submit the report to NERC for posting on the NERC Website noting the expected total MW that may have its transmission service priority changed.	HIGH
EOP-002-2	R9.3.	The Reliability Coordinator shall use EEA 1 to forecast the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to Priority 7.	LOWER
EOP-002-2	R9.4.	The Reliability Coordinator shall use EEA 2 to announce the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to Priority 7.	LOWER
EOP-003-1	R1.	After taking all other remedial steps, a Transmission Operator or Balancing Authority operating with insufficient generation or transmission capacity shall shed customer load rather than risk an uncontrolled failure of components or cascading outages of the Interconnection.	HIGH
EOP-003-1	R2.	Each Transmission Operator and Balancing Authority shall establish plans for automatic load shedding for underfrequency or undervoltage conditions.	HIGH
EOP-003-1	R3.	Each Transmission Operator and Balancing Authority shall coordinate load shedding plans among other interconnected Transmission Operators and Balancing Authorities.	HIGH
EOP-003-1	R4.	A Transmission Operator or Balancing Authority shall consider one or more of these factors in designing an automatic load shedding scheme: frequency, rate of frequency decay, voltage level, rate of voltage decay, or power flow levels.	HIGH
EOP-003-1	R5.	A Transmission Operator or Balancing Authority shall implement load shedding in steps established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.	HIGH
EOP-003-1	R6.	After a Transmission Operator or Balancing Authority Area separates from the Interconnection if there is insufficient generating capacity to restore system frequency following automatic underfrequency load shedding, the Transmission Operator or Balancing Authority shall shed additional load.	HIGH
EOP-003-1	R7.	The Transmission Operator and Balancing Authority shall coordinate automatic load shedding throughout their areas with underfrequency isolation of generating units, tripping of shunt capacitors, and other automatic actions that will occur under abnormal frequency, voltage, or power flow conditions.	HIGH
EOP-003-1	R8.	Each Transmission Operator or Balancing Authority shall have plans for operator-controlled manual load shedding to respond to real-time emergencies. The Transmission Operator or Balancing Authority shall be capable of implementing the load shedding in a timeframe adequate for responding to the emergency.	HIGH
EOP-004-1	R1.	Each Regional Reliability Organization shall establish and maintain a Regional reporting procedure to facilitate preparation of preliminary and final disturbance reports.	LOWER
EOP-004-1	R2.	A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall promptly analyze Bulk Electric System disturbances on its system or facilities.	MEDIUM

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EOP-004-1	R3.	A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity experiencing a reportable incident shall provide a preliminary written report to its Regional Reliability Organization and NERC.	LOWER
EOP-004-1	R3.1.	The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall submit within 24 hours of the disturbance or unusual occurrence either a copy of the report submitted to DOE, or, if no DOE report is required, a copy of the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report form. Events that are not identified until some time after they occur shall be reported within 24 hours of being recognized.	LOWER
EOP-004-1	R3.2.	Applicable reporting forms are provided in Attachments 022-1 and 022-2.	<blank>
EOP-004-1	R3.3.	Under certain adverse conditions, e.g., severe weather, it may not be possible to assess the damage caused by a disturbance and issue a written Interconnection Reliability Operating Limit and Preliminary Disturbance Report within 24 hours. In such cases, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall promptly notify its Regional Reliability Organization(s) and NERC, and verbally provide as much information as is available at that time. The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall then provide timely, periodic verbal updates until adequate information is available to issue a written Preliminary Disturbance Report.	LOWER
EOP-004-1	R3.4.	If, in the judgment of the Regional Reliability Organization, after consultation with the Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity in which a disturbance occurred, a final report is required, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall prepare this report within 60 days. As a minimum, the final report shall have a discussion of the events and its cause, the conclusions reached, and recommendations to prevent recurrence of this type of event. The report shall be subject to Regional Reliability Organization approval.	LOWER
EOP-004-1	R4.	When a Bulk Electric System disturbance occurs, the Regional Reliability Organization shall make its representatives on the NERC Operating Committee and Disturbance Analysis Working Group available to the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity immediately affected by the disturbance for the purpose of providing any needed assistance in the investigation and to assist in the preparation of a final report.	LOWER
EOP-004-1	R5.	The Regional Reliability Organization shall track and review the status of all final report recommendations at least twice each year to ensure they are being acted upon in a timely manner. If any recommendation has not been acted on within two years, or if Regional Reliability Organization tracking and review indicates at any time that any recommendation is not being acted on with sufficient diligence, the Regional Reliability Organization shall notify the NERC Planning Committee and Operating Committee of the status of the recommendation(s) and the steps the Regional Reliability Organization has taken to accelerate implementation.	LOWER
EOP-005-1	R1.	Each Transmission Operator shall have a restoration plan to reestablish its electric system in a stable and orderly manner in the event of a partial or total shutdown of its system, including necessary operating instructions and procedures to cover emergency conditions, and the loss of vital telecommunications channels. Each Transmission Operator shall include the applicable elements listed in Attachment 1-EOP-005 in developing a restoration plan.	MEDIUM
EOP-005-1	R2.	Each Transmission Operator shall review and update its restoration plan at least annually and whenever it makes changes in the power system network, and shall correct deficiencies found during the simulated restoration exercises.	MEDIUM

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EOP-005-1	R3.	Each Transmission Operator shall develop restoration plans with a priority of restoring the integrity of the Interconnection.	MEDIUM
EOP-005-1	R4.	Each Transmission Operator shall coordinate its restoration plans with the Generator Owners and Balancing Authorities within its area, its Reliability Coordinator, and neighboring Transmission Operators and Balancing Authorities.	MEDIUM
EOP-005-1	R5.	Each Transmission Operator and Balancing Authority shall periodically test its telecommunication facilities needed to implement the restoration plan.	MEDIUM
EOP-005-1	R6.	Each Transmission Operator and Balancing Authority shall train its operating personnel in the implementation of the restoration plan. Such training shall include simulated exercises, if practicable.	MEDIUM
EOP-005-1	R7.	Each Transmission Operator and Balancing Authority shall verify the restoration procedure by actual testing or by simulation.	MEDIUM
EOP-005-1	R8.	Each Transmission Operator shall verify that the number, size, availability, and location of system blackstart generating units are sufficient to meet Regional Reliability Organization restoration plan requirements for the Transmission Operator's area.	MEDIUM
EOP-005-1	R9.	The Transmission Operator shall document the Cranking Paths, including initial switching requirements, between each blackstart generating unit and the unit(s) to be started and shall provide this documentation for review by the Regional Reliability Organization upon request. Such documentation may include Cranking Path diagrams.	MEDIUM
EOP-005-1	R10.	The Transmission Operator shall demonstrate, through simulation or testing, that the blackstart generating units in its restoration plan can perform their intended functions as required in the regional restoration plan.	MEDIUM
EOP-005-1	R10.1.	The Transmission Operator shall perform this simulation or testing at least once every five years.	MEDIUM
EOP-005-1	R11.	Following a disturbance in which one or more areas of the Bulk Electric System become isolated or blacked out, the affected Transmission Operators and Balancing Authorities shall begin immediately to return the Bulk Electric System to normal.	HIGH
EOP-005-1	R11.1.	The affected Transmission Operators and Balancing Authorities shall work in conjunction with their Reliability Coordinator(s) to determine the extent and condition of the isolated area(s).	MEDIUM
EOP-005-1	R11.2.	The affected Transmission Operators and Balancing Authorities shall take the necessary actions to restore Bulk Electric System frequency to normal, including adjusting generation, placing additional generators on line, or load shedding.	HIGH
EOP-005-1	R11.3.	The affected Balancing Authorities, working with their Reliability Coordinator(s), shall immediately review the Interchange Schedules between those Balancing Authority Areas or fragments of those Balancing Authority Areas within the separated area and make adjustments as needed to facilitate the restoration. The affected Balancing Authorities shall make all attempts to maintain the adjusted Interchange Schedules, whether generation control is manual or automatic.	HIGH

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EOP-005-1	R11.4.	The affected Transmission Operators shall give high priority to restoration of off-site power to nuclear stations.	HIGH
EOP-005-1	R11.5.	The affected Transmission Operators may resynchronize the isolated area(s) with the surrounding area(s) when the following conditions are met:	MEDIUM
EOP-005-1	R11.5.1.	Voltage, frequency, and phase angle permit.	HIGH
EOP-005-1	R11.5.2.	The size of the area being reconnected and the capacity of the transmission lines effecting the reconnection and the number of synchronizing points across the system are considered.	HIGH
EOP-005-1	R11.5.3.	Reliability Coordinator(s) and adjacent areas are notified and Reliability Coordinator approval is given.	MEDIUM
EOP-005-1	R11.5.4.	Load is shed in neighboring areas, if required, to permit successful interconnected system restoration.	HIGH
EOP-006-1	R1.	Each Reliability Coordinator shall be aware of the restoration plan of each Transmission Operator in its Reliability Coordinator Area in accordance with NERC and regional requirements.	MEDIUM
EOP-006-1	R2.	The Reliability Coordinator shall monitor restoration progress and coordinate any needed assistance.	HIGH
EOP-006-1	R3.	The Reliability Coordinator shall have a Reliability Coordinator Area restoration plan that provides coordination between individual Transmission Operator restoration plans and that ensures reliability is maintained during system restoration events.	MEDIUM
EOP-006-1	R4.	The Reliability Coordinator shall serve as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators and Transmission Operators or Balancing Authorities not immediately involved in restoration.	MEDIUM
EOP-006-1	R5.	Reliability Coordinators shall approve, communicate, and coordinate the re-synchronizing of major system islands or synchronizing points so as not to cause a Burden on adjacent Transmission Operator, Balancing Authority, or Reliability Coordinator Areas.	HIGH
EOP-006-1	R6.	The Reliability Coordinator shall take actions to restore normal operations once an operating emergency has been mitigated in accordance with its restoration plan.	MEDIUM
EOP-008-0	R1.	Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have a plan to continue reliability operations in the event its control center becomes inoperable. The contingency plan must meet the following requirements:	MEDIUM
EOP-008-0	R1.1.	The contingency plan shall not rely on data or voice communication from the primary control facility to be viable.	MEDIUM
EOP-008-0	R1.2.	The plan shall include procedures and responsibilities for providing basic tie line control and procedures and for maintaining the status of all inter-area schedules, such that there is an hourly accounting of all schedules.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
EOP-008-0	R1.3.	The contingency plan must address monitoring and control of critical transmission facilities, generation control, voltage control, time and frequency control, control of critical substation devices, and logging of significant power system events. The plan shall list the critical facilities.	MEDIUM
EOP-008-0	R1.4.	The plan shall include procedures and responsibilities for maintaining basic voice communication capabilities with other areas.	MEDIUM
EOP-008-0	R1.5.	The plan shall include procedures and responsibilities for conducting periodic tests, at least annually, to ensure viability of the plan.	MEDIUM
EOP-008-0	R1.6.	The plan shall include procedures and responsibilities for providing annual training to ensure that operating personnel are able to implement the contingency plans.	MEDIUM
EOP-008-0	R1.7.	The plan shall be reviewed and updated annually.	MEDIUM
EOP-008-0	R1.8.	Interim provisions must be included if it is expected to take more than one hour to implement the contingency plan for loss of primary control facility.	MEDIUM
EOP-009-0	R1.	The Generator Operator of each blackstart generating unit shall test the startup and operation of each system blackstart generating unit identified in the BCP as required in the Regional BCP (Reliability Standard EOP-007-0_R1). Testing records shall include the dates of the tests, the duration of the tests, and an indication of whether the tests met Regional BCP requirements.	MEDIUM
EOP-009-0	R2.	The Generator Owner or Generator Operator shall provide documentation of the test results of the startup and operation of each blackstart generating unit to the Regional Reliability Organizations and upon request to NERC.	LOWER
FAC-001-0	R1.	The Transmission Owner shall document, maintain, and publish facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Reliability Organization, subregional, Power Pool, and individual Transmission Owner planning criteria and facility connection requirements. The Transmission Owner's facility connection requirements shall address connection requirements for:	MEDIUM
FAC-001-0	R1.1.	Generation facilities,	MEDIUM
FAC-001-0	R1.2.	Transmission facilities, and	MEDIUM
FAC-001-0	R 1.3.	End-user facilities	MEDIUM
FAC-001-0	R 2.	The Transmission Owner's facility connection requirements shall address, but are not limited to, the following items:	MEDIUM
FAC-001-0	R 2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	MEDIUM
FAC-001-0	R 2.1.1.	Procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems.	MEDIUM
FAC-001-0	R 2.1.2.	Procedures for notification of new or modified facilities to others (those responsible for the reliability of the interconnected transmission systems) as soon as feasible.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
FAC-001-0	R 2.1.3.	Voltage level and MW and MVAR capacity or demand at point of connection.	MEDIUM
FAC-001-0	R 2.1.4.	Breaker duty and surge protection.	MEDIUM
FAC-001-0	R 2.1.5.	System protection and coordination.	MEDIUM
FAC-001-0	R 2.1.6.	Metering and telecommunications.	MEDIUM
FAC-001-0	R 2.1.7.	Grounding and safety issues.	MEDIUM
FAC-001-0	R2.1.8.	Insulation and insulation coordination.	MEDIUM
FAC-001-0	R2.1.9.	Voltage, Reactive Power, and power factor control.	MEDIUM
FAC-001-0	R 2.1.10.	Power quality impacts.	MEDIUM
FAC-001-0	R 2.1.11.	Equipment Ratings.	MEDIUM
FAC-001-0	R 2.1.12.	Synchronizing of facilities.	MEDIUM
FAC-001-0	R 2.1.13.	Maintenance coordination.	MEDIUM
FAC-001-0	R 2.1.14.	Operational issues (abnormal frequency and voltages).	MEDIUM
FAC-001-0	R 2.1.15.	Inspection requirements for existing or new facilities.	MEDIUM
FAC-001-0	R 2.1.16.	Communications and procedures during normal and emergency operating conditions.	MEDIUM
FAC-001-0	R3.	The Transmission Owner shall maintain and update its facility connection requirements as required. The Transmission Owner shall make documentation of these requirements available to the users of the transmission system, the Regional Reliability Organization, and NERC on request (five business days).	MEDIUM
FAC-002-0	R1.	The Generator Owner, Transmission Owner, Distribution Provider, and Load-Serving Entity seeking to integrate generation facilities, transmission facilities, and electricity end-user facilities shall each coordinate and cooperate on its assessments with its Transmission Planner and Planning Authority. The assessment shall include:	MEDIUM
FAC-002-0	R1.1.	Evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems.	MEDIUM
FAC-002-0	R1.2.	Ensurance of compliance with NERC Reliability Standards and applicable Regional, subregional, Power Pool, and individual system planning criteria and facility connection requirements.	MEDIUM
FAC-002-0	R1.3.	Evidence that the parties involved in the assessment have coordinated and cooperated on the assessment of the reliability impacts of new facilities on the interconnected transmission systems. While these studies may be performed independently, the results shall be jointly evaluated and coordinated by the entities involved.	MEDIUM
FAC-002-0	R1.4.	Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to evaluate system performance in accordance with Reliability Standard TPL-001-0.	MEDIUM
FAC-002-0	R1.5.	Documentation that the assessment included study assumptions, system performance, alternatives considered, and jointly coordinated recommendations.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
FAC-002-0	R2.	The Planning Authority, Transmission Planner, Generator Owner, Transmission Owner, Load-Serving Entity, and Distribution Provider shall each retain its documentation (of its evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems) for three years and shall provide the documentation to the Regional Reliability Organization(s) Regional Reliability Organization(s) and NERC on request (within 30 calendar days).	LOWER
FAC-003-1	R1.	The Transmission owner shall prepare, and keep current, a formal transmission vegetation management (TVM). The TVMP shall include the Transmission Owner's objectives, practices, approved procedures, and work Specifications. 1. ANSI A300, Tree Care Operations – Tree, Shrub, and Other Woody Plant Maintenance – Standard Practices, while not a requirement of this standard, is considered to be an industry best practice.	HIGH
FAC-003-1	R1.1.	The TVMP shall define a schedule for and the type (aerial, ground) of ROW vegetation inspections. This schedule should be flexible enough to adjust for changing conditions. The inspection schedule shall be based on the anticipated growth of vegetation and any other environmental or operational factors that could impact the relationship of vegetation to the Transmission Owner's transmission lines.	HIGH
FAC-003-1	R1.2.	The Transmission Owner, in the TVMP, shall identify and document clearances between vegetation and any overhead, ungrounded supply conductors, taking into consideration transmission line voltage, the effects of ambient temperature on conductor sag under maximum design loading, and the effects of wind velocities on conductor sway. Specifically, the Transmission Owner shall establish clearances to be achieved at the time of vegetation management work identified herein as Clearance 1, and shall also establish and maintain a set of clearances identified herein as Clearance 2 to prevent flashover between vegetation and overhead ungrounded supply conductors.	HIGH
FAC-003-1	R1.2.1.	Clearance 1 — The Transmission Owner shall determine and document appropriate clearance distances to be achieved at the time of transmission vegetation management work based upon local conditions and the expected time frame in which the Transmission Owner plans to return for future vegetation management work. Local conditions may include, but are not limited to: operating voltage, appropriate vegetation management techniques, fire risk, reasonably anticipated tree and conductor movement, species types and growth rates, species failure characteristics, local climate and rainfall patterns, line terrain and elevation, location of the vegetation within the span, and worker approach distance requirements. Clearance 1 distances shall be greater than those defined by Clearance 2 below.	HIGH
FAC-003-1	R1.2.2.	Clearance 2 — The Transmission Owner shall determine and document specific radial clearances to be maintained between vegetation and conductors under all rated electrical operating conditions. These minimum clearance distances are necessary to prevent flashover between vegetation and conductors and will vary due to such factors as altitude and operating voltage. These Transmission Owner-specific minimum clearance distances shall be no less than those set forth in the Institute of Electrical and Electronics Engineers (IEEE) Standard 516-2003 (<i>Guide for Maintenance Methods on Energized Power Lines</i>) and as specified in its Section 4.2.2.3, Minimum Air Insulation Distances without Tools in the Air Gap.	HIGH
FAC-003-1	R1.2.2.1.	Where transmission system transient overvoltage factors are not known, clearances shall be derived from Table 5, IEEE 516-2003, phase-to-ground distances, with appropriate altitude correction factors applied.	HIGH
FAC-003-1	R1.2.2.2.	Where transmission system transient overvoltage factors are known, clearances shall be derived from Table 7, IEEE 516-2003, phase-to-phase voltages, with appropriate altitude correction factors applied.	HIGH
FAC-003-1	R1.3	All personnel directly involved in the design and implementation of the TVMP shall hold appropriate qualifications and training, as defined by the Transmission Owner, to perform their duties.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
FAC-003-1	R1.4	Each Transmission Owner shall develop mitigation measures to achieve sufficient clearances for the protection of the transmission facilities when it identifies locations on the ROW where the Transmission Owner is restricted from attaining the clearances specified in Requirement 1.2.1.	HIGH
FAC-003-1	R1.5	Each Transmission Owner shall establish and document a process for the immediate communication of vegetation conditions that present an imminent threat of a transmission line outage. This is so that action (temporary reduction in line rating, switching line out of service, etc.) may be taken until the threat is relieved.	HIGH
FAC-003-1	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.	HIGH
FAC-003-1	R3.	The Transmission Owner shall report quarterly to its RRO, or the RRO's designee, sustained transmission line outages determined by the Transmission Owner to have been caused by vegetation.	LOWER
FAC-003-1	R3.1.	Multiple sustained outages on an individual line, if caused by the same vegetation, shall be reported as one outage regardless of the actual number of outages within a 24-hour period.	LOWER
FAC-003-1	R3.2.	The Transmission Owner is not required to report to the RRO, or the RRO's designee, certain sustained transmission line outages caused by vegetation: (1) Vegetation-related outages that result from vegetation falling into lines from outside the ROW that result from natural disasters shall not be considered reportable (examples of disasters that could create non-reportable outages include, but are not limited to, earthquakes, fires, tornados, hurricanes, landslides, wind shear, major storms as defined either by the Transmission Owner or an applicable regulatory body, ice storms, and floods), and (2) Vegetation-related outages due to human or animal activity shall not be considered reportable (examples of human or animal activity that could cause a non-reportable outage include, but are not limited to, logging, animal severing tree, vehicle contact with tree, arboricultural activities or horticultural or agricultural activities, or removal or digging of vegetation).	LOWER
FAC-003-1	R3.3.	The outage information provided by the Transmission Owner to the RRO, or the RRO's designee, shall include at a minimum: the name of the circuit(s) outaged, the date, time and duration of the outage; a description of the cause of the outage; other pertinent comments; and any countermeasures taken by the Transmission Owner.	LOWER
FAC-003-1	R3.4.	An outage shall be categorized as one of the following:	LOWER
FAC-003-1	R3.4.1.	Category 1 — Grow-ins: Outages caused by vegetation growing into lines from vegetation inside and/or outside of the ROW;	LOWER
FAC-003-1	R3.4.2.	Category 2 — Fall-ins: Outages caused by vegetation falling into lines from inside the ROW;	LOWER
FAC-003-1	R3.4.3.	Category 3 — Fall-ins: Outages caused by vegetation falling into lines from outside the ROW.	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
FAC-003-1	R4.	The RRO shall report the outage information provided to it by Transmission Owner's, as required by Requirement 3, quarterly to NERC, as well as any actions taken by the RRO as a result of any of the reported outages.	LOWER
FAC-008-1	R1.	The Transmission Owner and Generator Owner shall each document its current methodology used for developing Facility Ratings (Facility Ratings Methodology) of its solely and jointly owned Facilities. The methodology shall include all of the following:	LOWER
FAC-008-1	R1.1.	A statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.	LOWER
FAC-008-1	R1.2.	The method by which the Rating (of major BES equipment that comprises a Facility) is determined.	LOWER
FAC-008-1	R1.2.1.	The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.	LOWER
FAC-008-1	R1.2.2.	The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.	LOWER
FAC-008-1	R1.3.	Consideration of the following:	LOWER
FAC-008-1	R1.3.1.	Ratings provided by equipment manufacturers.	MEDIUM
FAC-008-1	R1.3.2.	Design criteria (e.g., including applicable references to industry Rating practices such as manufacturer's warranty, IEEE, ANSI or other standards).	MEDIUM
FAC-008-1	R1.3.3.	Ambient conditions.	MEDIUM
FAC-008-1	R1.3.4.	Operating limitations.	MEDIUM
FAC-008-1	R1.3.5.	Other assumptions.	LOWER
FAC-008-1	R2.	The Transmission Owner and Generator Owner shall each make its Facility Ratings Methodology available for inspection and technical review by those Reliability Coordinators, Transmission Operators, Transmission Planners, and Planning Authorities that have responsibility for the area in which the associated Facilities are located, within 15 business days of receipt of a request.	LOWER
FAC-008-1	R3.	If a Reliability Coordinator, Transmission Operator, Transmission Planner, or Planning Authority provides written comments on its technical review of a Transmission Owner's or Generator Owner's Facility Ratings Methodology, the Transmission Owner or Generator Owner shall provide a written response to that commenting entity within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Facility Ratings Methodology and, if no change will be made to that Facility Ratings Methodology, the reason why.	LOWER
FAC-009-1	R1.	The Transmission Owner and Generator Owner shall each establish Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology.	MEDIUM
FAC-009-1	R2.	The Transmission Owner and Generator Owner shall each provide Facility Ratings for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities to its associated Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission Operator(s) as scheduled by such requesting entities.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
FAC-013-1	R1.	The Reliability Coordinator and Planning Authority shall each establish a set of inter-regional and intra-regional Transfer Capabilities that is consistent with its current Transfer Capability Methodology.	MEDIUM
FAC-013-1	R2.	The Reliability Coordinator and Planning Authority shall each provide its inter-regional and intra-regional Transfer Capabilities to those entities that have a reliability-related need for such Transfer Capabilities and make a written request that includes a schedule for delivery of such Transfer Capabilities as follows:	MEDIUM
FAC-013-1	R2.1.	The Reliability Coordinator shall provide its Transfer Capabilities to its associated Regional Reliability Organization(s), to its adjacent Reliability Coordinators, and to the Transmission Operators, Transmission Service Providers and Planning Authorities that work in its Reliability Coordinator Area.	MEDIUM
FAC-013-1	R2.2.	The Planning Authority shall provide its Transfer Capabilities to its associated Reliability Coordinator(s) and Regional Reliability Organization(s), and to the Transmission Planners and Transmission Service Provider(s) that work in its Planning Authority Area.	MEDIUM
INT-001-2	R1.	The Load-Serving, Purchasing-Selling Entity shall ensure that Arranged Interchange is submitted to the Interchange Authority for:	LOWER
INT-001-2	R1.1.	All Dynamic Schedules at the expected average MW profile for each hour.	LOWER
INT-001-2	R2.	The Sink Balancing Authority shall ensure that Arranged Interchange is submitted to the Interchange Authority:	LOWER
INT-001-2	R2.1.	If a Purchasing-Selling Entity is not involved in the Interchange, such as delivery from a jointly owned generator.	LOWER
INT-001-2	R2.2.	For each bilateral Inadvertent Interchange payback.	LOWER
INT-003-2	R1.	Each Receiving Balancing Authority shall confirm Interchange Schedules with the Sending Balancing Authority prior to implementation in the Balancing Authority's ACE equation.	MEDIUM
INT-003-2	R1.1.	The Sending Balancing Authority and Receiving Balancing Authority shall agree on Interchange as received from the Interchange Authority, including:	LOWER
INT-003-2	R1.1.1.	Interchange Schedule start and end time.	LOWER
INT-003-2	R1.1.2.	Energy profile.	LOWER
INT-003-2	R1.2.	If a high voltage direct current (HVDC) tie is on the Scheduling Path, then the Sending Balancing Authorities and Receiving Balancing Authorities shall coordinate the Interchange Schedule with the Transmission Operator of the HVDC tie.	MEDIUM
INT-004-1	R1.	At such time as the reliability event allows for the reloading of the transaction, the entity that initiated the curtailment shall release the limit on the Interchange Transaction tag to allow reloading the transaction and shall communicate the release of the limit to the Sink Balancing Authority.	LOWER
INT-004-1	R2.	The Purchasing-Selling Entity responsible for tagging a Dynamic Interchange Schedule shall ensure the tag is updated for the next available scheduling hour and future hours when any one of the following occurs:	LOWER

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INT-004-1	R2.1.	The average energy profile in an hour is greater than 250 MW and in that hour the actual hourly integrated energy deviates from the hourly average energy profile indicated on the tag by more than +10%.	LOWER
INT-004-1	R2.2.	The average energy profile in an hour is less than or equal to 250 MW and in that hour the actual hourly integrated energy deviates from the hourly average energy profile indicated on the tag by more than +25 megawatt-hours.	LOWER
INT-004-1	R2.3.	A Reliability Coordinator or Transmission Operator determines the deviation, regardless of magnitude, to be a reliability concern and notifies the Purchasing-Selling Entity of that determination and the reasons.	LOWER
INT-005-1	R1.	Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority shall distribute the Arranged Interchange information for reliability assessment to all reliability entities involved in the Interchange.	MEDIUM
INT-005-1	R1.1.	When a Balancing Authority or Reliability Coordinator initiates a Curtailment to Confirmed or Implemented Interchange for reliability, the Interchange Authority shall distribute the Arranged Interchange information for reliability assessment only to the Source Balancing Authority and the Sink Balancing Authority.	MEDIUM
INT-006-1	R1.	Prior to the expiration of the reliability assessment period defined in the Timing Table, Column B, the Balancing Authority and Transmission Service Provider shall respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.	LOWER
INT-006-1	R1.1.	Each involved Balancing Authority shall evaluate the Arranged Interchange with respect to:	LOWER
INT-006-1	R1.1.1.	Energy profile (ability to support the magnitude of the Interchange).	LOWER
INT-006-1	R1.1.2.	Ramp (ability of generation maneuverability to accommodate).	LOWER
INT-006-1	R1.1.3.	Scheduling path (proper connectivity of Adjacent Balancing Authorities).	LOWER
INT-006-1	R1.2.	Each involved Transmission Service Provider shall confirm that the transmission service arrangements associated with the Arranged Interchange have adjacent Transmission Service Provider connectivity, are valid and prevailing transmission system limits will not be violated.	LOWER
INT-007-1	R1.	The Interchange Authority shall verify that Arranged Interchange is balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange by verifying the following:	LOWER
INT-007-1	R1.1.	Source Balancing Authority megawatts equal sink Balancing Authority megawatts (adjusted for losses, if appropriate).	LOWER
INT-007-1	R1.2.	All reliability entities involved in the Arranged Interchange are currently in the NERC registry.	LOWER
INT-007-1	R1.3.	The following are defined:	LOWER
INT-007-1	R1.3.1.	Generation source and load sink.	LOWER
INT-007-1	R1.3.2.	Megawatt profile.	LOWER

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INT-007-1	R1.3.3.	Ramp start and stop times.	LOWER
INT-007-1	R1.3.4.	Interchange duration.	LOWER
INT-007-1	R1.4.	Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment has provided approval.	LOWER
INT-008-1	R1.	Prior to the expiration of the time period defined in the Timing Table, Column C, the Interchange Authority shall distribute to all Balancing Authorities (including Balancing Authorities on both sides of a direct current tie), Transmission Service Providers and Purchasing-Selling Entities involved in the Arranged Interchange whether or not the Arranged Interchange has transitioned to a Confirmed Interchange.	LOWER
INT-008-1	R1.1.	For Confirmed Interchange, the Interchange Authority shall also communicate:	LOWER
INT-008-1	R1.1.1.	Start and stop times, ramps, and megawatt profile to Balancing Authorities.	LOWER
INT-008-1	R1.1.2.	Necessary Interchange information to NERC-identified reliability analysis services.	LOWER
INT-009-1	R1.	The Balancing Authority shall implement Confirmed Interchange as received from the Interchange Authority.	MEDIUM
INT-010-1	R1.	The Balancing Authority that experiences a loss of resources covered by an energy sharing agreement shall ensure that a request for an Arranged Interchange is submitted with a start time no more than 60 minutes beyond the resource loss. If the use of the energy sharing agreement does not exceed 60 minutes from the time of the resource loss, no request for Arranged Interchange is required.	LOWER
INT-010-1	R2.	For a modification to an existing Interchange schedule that is directed by a Reliability Coordinator for current or imminent reliability-related reasons, the Reliability Coordinator shall direct a Balancing Authority to submit the modified Arranged Interchange reflecting that modification within 60 minutes of the initiation of the event.	LOWER
INT-010-1	R3.	For a new Interchange schedule that is directed by a Reliability Coordinator for current or imminent reliability-related reasons, the Reliability Coordinator shall direct a Balancing Authority to submit an Arranged Interchange reflecting that Interchange schedule within 60 minutes of the initiation of the event.	LOWER
IRO-001-1	R1.	Each Regional Reliability Organization, subregion, or interregional coordinating group shall establish one or more Reliability Coordinators to continuously assess transmission reliability and coordinate emergency operations among the operating entities within the region and across the regional boundaries.	HIGH
IRO-001-1	R2.	The Reliability Coordinator shall comply with a regional reliability plan approved by the NERC Operating Committee.	HIGH
IRO-001-1	R3.	The Reliability Coordinator shall have clear decision-making authority to act and to direct actions to be taken by Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities within its Reliability Coordinator Area to preserve the integrity and reliability of the Bulk Electric System. These actions shall be taken without delay, but no longer than 30 minutes.	HIGH

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IRO-001-1	R4.	Reliability Coordinators that delegate tasks to other entities shall have formal operating agreements with each entity to which tasks are delegated. The Reliability Coordinator shall verify that all delegated tasks are understood, communicated, and addressed within its Reliability Coordinator Area. All responsibilities for complying with NERC and regional standards applicable to Reliability Coordinators shall remain with the Reliability Coordinator.	MEDIUM
IRO-001-1	R5.	The Reliability Coordinator shall list within its reliability plan all entities to which the Reliability Coordinator has delegated required tasks.	LOWER
IRO-001-1	R6.	The Reliability Coordinator shall verify that all delegated tasks are carried out by NERC-certified Reliability Coordinator operating personnel.	MEDIUM
IRO-001-1	R7.	The Reliability Coordinator shall have clear, comprehensive coordination agreements with adjacent Reliability Coordinators to ensure that System Operating Limit or Interconnection Reliability Operating Limit violation mitigation requiring actions in adjacent Reliability Coordinator Areas are coordinated.	HIGH
IRO-001-1	R8.	Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall comply with Reliability Coordinator directives unless such actions would violate safety, equipment, or regulatory or statutory requirements. Under these circumstances, the Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall immediately inform the Reliability Coordinator of the inability to perform the directive so that the Reliability Coordinator may implement alternate remedial actions.	HIGH
IRO-001-1	R9.	The Reliability Coordinator shall act in the interests of reliability for the overall Reliability Coordinator Area and the Interconnection before the interests of any other entity.	HIGH
IRO-002-1	R1.	Each Reliability Coordinator shall have adequate communications facilities (voice and data links) to appropriate entities within its Reliability Coordinator Area. These communications facilities shall be staffed and available to act in addressing a real-time emergency condition.	HIGH
IRO-002-1	R2.	Each Reliability Coordinator shall determine the data requirements to support its reliability coordination tasks and shall request such data from its Transmission Operators, Balancing Authorities, Transmission Owners, Generation Owners, Generation Operators, and Load-Serving Entities, or adjacent Reliability Coordinators.	MEDIUM
IRO-002-1	R3.	Each Reliability Coordinator – or its Transmission Operators and Balancing Authorities – shall provide, or arrange provisions for, data exchange to other Reliability Coordinators or Transmission Operators and Balancing Authorities via a secure network.	MEDIUM
IRO-002-1	R4.	Each Reliability Coordinator shall have multi-directional communications capabilities with its Transmission Operators and Balancing Authorities, and with neighboring Reliability Coordinators, for both voice and data exchange as required to meet reliability needs of the Interconnection.	HIGH
IRO-002-1	R5.	Each Reliability Coordinator shall have detailed real-time monitoring capability of its Reliability Coordinator Area and sufficient monitoring capability of its surrounding Reliability Coordinator Areas to ensure that potential or actual System Operating Limit or Interconnection Reliability Operating Limit violations are identified. Each Reliability Coordinator shall have monitoring systems that provide information that can be easily understood and interpreted by the Reliability Coordinator’s operating personnel, giving particular emphasis to alarm management and awareness systems, automated data transfers, and synchronized information systems, over a redundant and highly reliable infrastructure.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
IRO-002-1	R6.	Each Reliability Coordinator shall monitor Bulk Electric System elements (generators, transmission lines, buses, transformers, breakers, etc.) that could result in SOL or IROL violations within its Reliability Coordinator Area. Each Reliability Coordinator shall monitor both real and reactive power system flows, and operating reserves, and the status of Bulk Electric System elements that are or could be critical to SOLs and IROLs and system restoration requirements within its Reliability Coordinator Area.	HIGH
IRO-002-1	R7.	Each Reliability Coordinator shall have adequate analysis tools such as state estimation, pre- and post-contingency analysis capabilities (thermal, stability, and voltage), and wide-area overview displays.	HIGH
IRO-002-1	R8.	Each Reliability Coordinator shall continuously monitor its Reliability Coordinator Area. Each Reliability Coordinator shall have provisions for backup facilities that shall be exercised if the main monitoring system is unavailable. Each Reliability Coordinator shall ensure SOL and IROL monitoring and derivations continue if the main monitoring system is unavailable.	HIGH
IRO-002-1	R9.	Each Reliability Coordinator shall control its Reliability Coordinator analysis tools, including approvals for planned maintenance. Each Reliability Coordinator shall have procedures in place to mitigate the effects of analysis tool outages.	MEDIUM
IRO-003-2	R1.	Each Reliability Coordinator shall monitor all Bulk Electric System facilities, which may include sub-transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.	HIGH
IRO-003-2	R2.	Each Reliability Coordinator shall know the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation. Reliability Coordinators shall also know the status of any facilities that may be required to assist area restoration objectives.	HIGH
IRO-004-1	R1.	Each Reliability Coordinator shall conduct next-day reliability analyses for its Reliability Coordinator Area to ensure that the Bulk Electric System can be operated reliably in anticipated normal and Contingency event conditions. The Reliability Coordinator shall conduct Contingency analysis studies to identify potential interface and other SOL and IROL violations including overloaded transmission lines and transformers, voltage and stability limits, etc.	HIGH
IRO-004-1	R2.	Each Reliability Coordinator shall pay particular attention to parallel flows to ensure one Reliability Coordinator Area does not place an unacceptable or undue Burden on an adjacent Reliability Coordinator Area.	HIGH
IRO-004-1	R3.	Each Reliability Coordinator shall, in conjunction with its Transmission Operators and Balancing Authorities, develop action plans that may be required, including reconfiguration of the transmission system, re-dispatching of generation, reduction or curtailment of Interchange Transactions, or reducing load to return transmission loading to within acceptable SOLs or IROLs.	HIGH
IRO-004-1	R4.	Each Transmission Operator, Balancing Authority, Transmission Owner, Generator Owner, Generator Operator, and Load-Serving Entity in the Reliability Coordinator Area shall provide information required for system studies, such as critical facility status, Load, generation, operating reserve projections, and known Interchange Transactions. This information shall be available by 1200 Central Standard Time for the Eastern Interconnection and 1200 Pacific Standard Time for the Western Interconnection.	HIGH

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IRO-004-1	R5.	Each Reliability Coordinator shall share the results of its system studies, when conditions warrant or upon request, with other Reliability Coordinators and with Transmission Operators, Balancing Authorities, and Transmission Service Providers within its Reliability Coordinator Area. The Reliability Coordinator shall make study results available no later than 1500 Central Standard Time for the Eastern Interconnection and 1500 Pacific Standard Time for the Western Interconnection, unless circumstances warrant otherwise.	HIGH
IRO-004-1	R6.	If the results of these studies indicate potential SOL or IROL violations, the Reliability Coordinator shall direct its Transmission Operators, Balancing Authorities and Transmission Service Providers to take any necessary action the Reliability Coordinator deems appropriate to address the potential SOL or IROL violation.	HIGH
IRO-004-1	R7.	Each Transmission Operator, Balancing Authority, and Transmission Service Provider shall comply with the directives of its Reliability Coordinator based on the next day assessments in the same manner in which it would comply during real time operating events.	HIGH
IRO-005-1	R1.	Each Reliability Coordinator shall monitor its Reliability Coordinator Area parameters, including but not limited to the following:	HIGH
IRO-005-1	R1.1.	Current status of Bulk Electric System elements (transmission or generation including critical auxiliaries such as Automatic Voltage Regulators and Special Protection Systems) and system loading.	HIGH
IRO-005-1	R1.2.	Current pre-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.	HIGH
IRO-005-1	R1.3.	Current post-contingency element conditions (voltage, thermal, or stability), including any applicable mitigation plans to alleviate SOL or IROL violations, including the plan's viability and scope.	HIGH
IRO-005-1	R1.4.	System real and reactive reserves (actual versus required).	HIGH
IRO-005-1	R1.5.	Capacity and energy adequacy conditions.	HIGH
IRO-005-1	R1.6.	Current ACE for all its Balancing Authorities.	HIGH
IRO-005-1	R1.7.	Current local or Transmission Loading Relief procedures in effect.	HIGH
IRO-005-1	R1.8.	Planned generation dispatches.	HIGH
IRO-005-1	R1.9.	Planned transmission or generation outages.	HIGH
IRO-005-1	R1.10.	Contingency events.	HIGH
IRO-005-1	R2.	Each Reliability Coordinator shall be aware of all Interchange Transactions that wheel through, source, or sink in its Reliability Coordinator Area, and make that Interchange Transaction information available to all Reliability Coordinators in the Interconnection.	HIGH
IRO-005-1	R3.	As portions of the transmission system approach or exceed SOLs or IROLs, the Reliability Coordinator shall work with its Transmission Operators and Balancing Authorities to evaluate and assess any additional Interchange Schedules that would violate those limits. If a potential or actual IROL violation cannot be avoided through proactive intervention, the Reliability Coordinator shall initiate control actions or emergency procedures to relieve the violation without delay, and no longer than 30 minutes. The Reliability Coordinator shall ensure all resources, including load shedding, are available to address a potential or actual IROL violation.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
IRO-005-1	R4.	Each Reliability Coordinator shall monitor its Balancing Authorities' parameters to ensure that the required amount of operating reserves is provided and available as required to meet the Control Performance Standard and Disturbance Control Standard requirements. If necessary, the Reliability Coordinator shall direct the Balancing Authorities in the Reliability Coordinator Area to arrange for assistance from neighboring Balancing Authorities. The Reliability Coordinator shall issue Energy Emergency Alerts as needed and at the request of its Balancing Authorities and Load-Serving Entities.	HIGH
IRO-005-1	R5.	Each Reliability Coordinator shall identify the cause of any potential or actual SOL or IROL violations. The Reliability Coordinator shall initiate the control action or emergency procedure to relieve the potential or actual IROL violation without delay, and no longer than 30 minutes. The Reliability Coordinator shall be able to utilize all resources, including load shedding, to address an IROL violation.	HIGH
IRO-005-1	R6.	Each Reliability Coordinator shall ensure its Transmission Operators and Balancing Authorities are aware of Geo-Magnetic Disturbance (GMD) forecast information and assist as needed in the development of any required response plans.	HIGH
IRO-005-1	R7.	The Reliability Coordinator shall disseminate information within its Reliability Coordinator Area, as required.	HIGH
IRO-005-1	R8.	Each Reliability Coordinator shall monitor system frequency and its Balancing Authorities' performance and direct any necessary rebalancing to return to CPS and DCS compliance. The Transmission Operators and Balancing Authorities shall utilize all resources, including firm load shedding, as directed by its Reliability Coordinator to relieve the emergent condition.	HIGH
IRO-005-1	R9.	The Reliability Coordinator shall coordinate with Transmission Operators, Balancing Authorities, and Generator Operators as needed to develop and implement action plans to mitigate potential or actual SOL, IROL, CPS, or DCS violations. The Reliability Coordinator shall coordinate pending generation and transmission maintenance outages with Transmission Operators, Balancing Authorities, and Generator Operators as needed in both the real-time and next-day reliability analysis timeframes.	HIGH
IRO-005-1	R10.	As necessary, the Reliability Coordinator shall assist the Balancing Authorities in its Reliability Coordinator Area in arranging for assistance from neighboring Reliability Coordinator Areas or Balancing Authorities.	HIGH
IRO-005-1	R11.	The Reliability Coordinator shall identify sources of large Area Control Errors that may be contributing to Frequency Error, Time Error, or Inadvertent Interchange and shall discuss corrective actions with the appropriate Balancing Authority. The Reliability Coordinator shall direct its Balancing Authority to comply with CPS and DCS.	HIGH
IRO-005-1	R12.	Whenever a Special Protection System that may have an inter-Balancing Authority, or inter-Transmission Operator impact (e.g., could potentially affect transmission flows resulting in a SOL or IROL violation) is armed, the Reliability Coordinators shall be aware of the impact of the operation of that Special Protection System on inter-area flows. The Transmission Operator shall immediately inform the Reliability Coordinator of the status of the Special Protection System including any degradation or potential failure to operate as expected.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
IRO-005-1	R13.	Each Reliability Coordinator shall ensure that all Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities operate to prevent the likelihood that a disturbance, action, or non-action in its Reliability Coordinator Area will result in a SOL or IROL violation in another area of the Interconnection. In instances where there is a difference in derived limits, the Reliability Coordinator and its Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall always operate the Bulk Electric System to the most limiting parameter.	HIGH
IRO-005-1	R14.	Each Reliability Coordinator shall make known to Transmission Service Providers within its Reliability Coordinator Area, SOLs or IROLs within its wide-area view. The Transmission Service Providers shall respect these SOLs or IROLs in accordance with filed tariffs and regional Total Transfer Calculation and Available Transfer Calculation processes.	MEDIUM
IRO-005-1	R15.	Each Reliability Coordinator who foresees a transmission problem (such as an SOL or IROL violation, loss of reactive reserves, etc.) within its Reliability Coordinator Area shall issue an alert to all impacted Transmission Operators and Balancing Authorities in its Reliability Coordinator Area without delay. The receiving Reliability Coordinator shall disseminate this information to its impacted Transmission Operators and Balancing Authorities. The Reliability Coordinator shall notify all impacted Transmission Operators, Balancing Authorities, when the transmission problem has been mitigated.	HIGH
IRO-005-1	R16.	Each Reliability Coordinator shall confirm reliability assessment results and determine the effects within its own and adjacent Reliability Coordinator Areas. The Reliability Coordinator shall discuss options to mitigate potential or actual SOL or IROL violations and take actions as necessary to always act in the best interests of the Interconnection at all times.	HIGH
IRO-005-1	R17.	When an IROL or SOL is exceeded, the Reliability Coordinator shall evaluate the local and wide-area impacts, both real-time and post-contingency, and determine if the actions being taken are appropriate and sufficient to return the system to within IROL in thirty minutes. If the actions being taken are not appropriate or sufficient, the Reliability Coordinator shall direct the Transmission Operator, Balancing Authority, Generator Operator, or Load-Serving Entity to return the system to within IROL or SOL.	HIGH
IRO-006-3	R1.	A Reliability Coordinator shall take appropriate actions in accordance with established policies procedures, authority, and expectations to relieve transmission loading.	HIGH
IRO-006-3	R2.	A Reliability Coordinator experiencing a potential or actual SOL or IROL violation within its Reliability Coordinator Area shall, at its discretion, select from either a "local" (Regional, Interregional, or subregional) transmission loading relief procedure or an Interconnection-wide procedure.	HIGH
IRO-006-3	R2.1.	The Interconnection-wide Transmission Loading Relief (TLR) procedure for use in the Eastern Interconnection is provided in Attachment 1-IRO-006-0.	<blank>
IRO-006-3	R2.2.	The equivalent Interconnection-wide transmission loading relief procedure for use in the Western Interconnection is the "WSCC Unscheduled Flow Mitigation Plan," provided at: http://www.wecc.biz/documents/library/UFAS/UFAS_mitigation_plan_rev_2001-clean_8-8-03.pdf .	<blank>
IRO-006-3	R2.3.	The Interconnection-wide transmission loading relief procedure for use in ERCOT is provided as Section 7 of the ERCOT Protocols, posted at: http://www.ercot.com/tac/retailisoadhoccommittee/protocols/keydocs/draftercotprotocols.htm .	<blank>

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IRO-006-3	R3.	The Reliability Coordinator may use local transmission loading relief or congestion management procedures, provided the Transmission Operator experiencing the potential or actual SOL or IROL violation is a party to those procedures.	HIGH
IRO-006-3	R4.	A Reliability Coordinator may implement a local transmission loading relief or congestion management procedure simultaneously with an Interconnection-wide procedure. However, the Reliability Coordinator shall follow the curtailments as directed by the Interconnection-wide procedure. A Reliability Coordinator desiring to use a local procedure as a substitute for curtailments as directed by the Interconnection-wide procedure shall have such use approved by the NERC Operating Committee.	HIGH
IRO-006-3	R5.	When implemented, all Reliability Coordinators shall comply with the provisions of the Interconnection-wide procedure including, for example, action by Reliability Coordinators in other Interconnections to curtail an Interchange Transaction that crosses an Interconnection boundary.	HIGH
IRO-006-3	R6.	During the implementation of relief procedures, and up to the point that emergency action is necessary, Reliability Coordinators and Balancing Authorities shall comply with interchange scheduling standards INT-001 through INT-004.	HIGH
IRO-014-1	R1.	The Reliability Coordinator shall have Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability. These Operating Procedures, Processes, or Plans shall address Scenarios that affect other Reliability Coordinator Areas as well as those developed in coordination with other Reliability Coordinators.	MEDIUM
IRO-014-1	R1.1.	These Operating Procedures, Processes, or Plans shall collectively address, as a minimum, the following:	LOWER
IRO-014-1	R1.1.1.	Communications and notifications, including the conditions under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators	MEDIUM
IRO-014-1	R1.1.2.	Energy and capacity shortages.	MEDIUM
IRO-014-1	R1.1.3.	Planned or unplanned outage information.	MEDIUM
IRO-014-1	R1.1.4.	Voltage control, including the coordination of reactive resources for voltage control.	MEDIUM
IRO-014-1	R1.1.5.	Coordination of information exchange to support reliability assessments.	LOWER
IRO-014-1	R1.1.6.	Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas.	LOWER
IRO-014-1	R2.	Each Reliability Coordinator's Operating Procedure, Process, or Plan that requires one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) shall be:	LOWER
IRO-014-1	R2.1.	Agreed to by all the Reliability Coordinators required to take the indicated action(s).	LOWER
IRO-014-1	R2.2.	Distributed to all Reliability Coordinators that are required to take the indicated action(s).	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
IRO-014-1	R3.	A Reliability Coordinator's Operating Procedures, Processes, or Plans developed to support a Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan shall include:	MEDIUM
IRO-014-1	R3.1.	A reference to the associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.	MEDIUM
IRO-014-1	R3.2.	The agreed-upon actions from the associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.	LOWER
IRO-014-1	R4.	Each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO-014 Requirement 1 and Requirement 3 shall:	LOWER
IRO-014-1	R4.1.	Include version control number or date	LOWER
IRO-014-1	R4.2.	Include a distribution list.	LOWER
IRO-014-1	R4.3.	Be reviewed, at least once every three years, and updated if needed.	LOWER
IRO-015-1	R1.	The Reliability Coordinator shall follow its Operating Procedures, Processes, or Plans for making notifications and exchanging reliability-related information with other Reliability Coordinators.	MEDIUM
IRO-015-1	R1.1.	The Reliability Coordinator shall make notifications to other Reliability Coordinators of conditions in its Reliability Coordinator Area that may impact other Reliability Coordinator Areas.	MEDIUM
IRO-015-1	R2.	The Reliability Coordinator shall participate in agreed upon conference calls and other communication forums with adjacent Reliability Coordinators.	LOWER
IRO-015-1	R2.1.	The frequency of these conference calls shall be agreed upon by all involved Reliability Coordinators and shall be at least weekly.	LOWER
IRO-015-1	R3.	The Reliability Coordinator shall provide reliability-related information as requested by other Reliability Coordinators.	MEDIUM
IRO-016-1	R1.	The Reliability Coordinator that identifies a potential, expected, or actual problem that requires the actions of one or more other Reliability Coordinators shall contact the other Reliability Coordinator(s) to confirm that there is a problem and then discuss options and decide upon a solution to prevent or resolve the identified problem.	MEDIUM
IRO-016-1	R1.1.	If the involved Reliability Coordinators agree on the problem and the actions to take to prevent or mitigate the system condition, each involved Reliability Coordinator shall implement the agreed-upon solution, and notify the involved Reliability Coordinators of the action(s) taken.	MEDIUM
IRO-016-1	R1.2.	If the involved Reliability Coordinators cannot agree on the problem(s) each Reliability Coordinator shall re-evaluate the causes of the disagreement (bad data, status, study results, tools, etc.).	MEDIUM
IRO-016-1	R1.2.1.	If time permits, this re-evaluation shall be done before taking corrective actions.	MEDIUM

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IRO-016-1	R1.2.2.	If time does not permit, then each Reliability Coordinator shall operate as though the problem(s) exist(s) until the conflicting system status is resolved.	MEDIUM
IRO-016-1	R1.3.	If the involved Reliability Coordinators cannot agree on the solution, the more conservative solution shall be implemented.	MEDIUM
IRO-016-1	R2.	The Reliability Coordinator shall document (via operator logs or other data sources) its actions taken for either the event or for the disagreement on the problem(s) or for both.	LOWER
MOD-006-0	R1.	Each Transmission Service Provider shall document its procedure on the use of Capacity Benefit Margin (CBM) (scheduling of energy against a CBM preservation). The procedure shall include the following three components:	LOWER
MOD-006-0	R1.1.	Require that CBM be used only after the following steps have been taken (as time permits): all non-firm sales have been terminated, Direct-Control Load Management has been implemented, and customer interruptible demands have been interrupted. CBM may be used to reestablish Operating Reserves.	LOWER
MOD-006-0	R1.2.	Require that CBM shall only be used if the Load-Serving Entity calling for its use is experiencing a generation deficiency and its Transmission Service Provider is also experiencing Transmission Constraints relative to imports of energy on its transmission system.	LOWER
MOD-006-0	R1.3.	Describe the conditions under which CBM may be available as Non-Firm Transmission Service.	LOWER
MOD-006-0	R2.	Each Transmission Service Provider shall make its CBM use procedure available on a web site accessible by the Regional Reliability Organizations, NERC, and transmission users.	LOWER
MOD-007-0	R1.	Each Transmission Service Provider that uses CBM shall report (to the Regional Reliability Organization, NERC and the transmission users) the use of CBM by the Load-Serving Entities' Loads on its system, except for CBM sales as Non-Firm Transmission Service. (This use of CBM shall be consistent with the Transmission Service Provider's procedure for use of CBM.)	LOWER
MOD-007-0	R2.	The Transmission Service Provider shall post the following three items within 15 calendar days after the use of CBM for an Energy Emergency. This posting shall be on a web site accessible by the Regional Reliability Organizations, NERC, and transmission users.	LOWER
MOD-007-0	R2.1.	Circumstances.	LOWER
MOD-007-0	R2.2.	Duration.	LOWER
MOD-007-0	R2.3.	Amount of CBM used.	LOWER
MOD-010-0	R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R 1.	MEDIUM

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MOD-010-0	R2.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide this steady-state modeling and simulation data to the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. If no schedule exists, then these entities shall provide the data on request (30 calendar days).	MEDIUM
MOD-012-0	R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-013-0_R1) shall provide appropriate equipment characteristics and system data in compliance with the respective Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1.	MEDIUM
MOD-012-0	R2.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-013-0_R4) shall provide dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1. If no schedule exists, then these entities shall provide data on request (30 calendar days).	MEDIUM
MOD-016-1	R1.	The Planning Authority and Regional Reliability Organization shall have documentation identifying the scope and details of the actual and forecast (a) Demand data, (b) Net Energy for Load data, and (c) controllable DSM data to be reported for system modeling and reliability analyses.	LOWER
MOD-016-1	R1.1.	The aggregated and dispersed data submittal requirements shall ensure that consistent data is supplied for Reliability Standards TPL-005, TPL-006, MOD-010, MOD-011, MOD-012, MOD-013, MOD-014, MOD-015, MOD-016, MOD-017, MOD-018, MOD-019, MOD-020, and MOD-021. The data submittal requirements shall stipulate that each Load-Serving Entity count its customer Demand once and only once, on an aggregated and dispersed basis, in developing its actual and forecast customer Demand values.	LOWER
MOD-016-1	R2.	The Regional Reliability Organization shall distribute its documentation required in Requirement 1 and any changes to that documentation, to all Planning Authorities that work within its Region.	LOWER
MOD-016-1	R2.1	The Regional Reliability Organization shall make this distribution within 30 calendar days of approval.	LOWER
MOD-016-1	R3.	The Planning Authority shall distribute its documentation required in R1 for reporting customer data and any changes to that documentation, to its Transmission Planners and Load-Serving Entities that work within its Planning Authority Area.	LOWER
MOD-016-1	R3.1	The Planning Authority shall make this distribution within 30 calendar days of approval.	LOWER
MOD-017-0	R1.	The Load-Serving Entity, Planning Authority, and Resource Planner shall each provide the following information annually on an aggregated Regional, subregional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Reliability Organizations, and any other entities specified by the documentation in Standard MOD-016-1_R 1.	MEDIUM
MOD-017-0	R1.1.	Integrated hourly demands in megawatts (MW) for the prior year.	MEDIUM
MOD-017-0	R1.2.	Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.	MEDIUM

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MOD-017-0	R1.3.	Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.	MEDIUM
MOD-017-0	R1.4.	Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.	MEDIUM
MOD-018-0	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:	MEDIUM
MOD-018-0	R1.1.	Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and	MEDIUM
MOD-018-0	R1.2.	Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.	LOWER
MOD-018-0	R1.3.	Items (MOD-018-0_R 1.1) and (MOD-018-0_R 1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1_R 1.	LOWER
MOD-018-0	R2.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each report data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner on request (within 30 calendar days).	LOWER
MOD-019-0	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each provide annually its forecasts of interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard MOD-016-0_R 1.	MEDIUM
MOD-020-0	R1.	The Load-Serving Entity, Transmission Planner, and Resource Planner shall each make known its amount of interruptible demands and Direct Control Load Management (DCLM) to Transmission Operators, Balancing Authorities, and Reliability Coordinators on request within 30 calendar days.	LOWER
MOD-021-0	R1.	The Load-Serving Entity, Transmission Planner, and Resource Planner's forecasts shall each clearly document how the Demand and energy effects of DSM programs (such as conservation, time-of-use rates, interruptible Demands, and Direct Control Load Management) are addressed.	LOWER
MOD-021-0	R2.	The Load-Serving Entity, Transmission Planner, and Resource Planner shall each include information detailing how Demand-Side Management measures are addressed in the forecasts of its Peak Demand and annual Net Energy for Load in the data reporting procedures of Standard MOD-016-0_R 1.	LOWER
MOD-021-0	R3.	The Load-Serving Entity, Transmission Planner, and Resource Planner shall each make documentation on the treatment of its DSM programs available to NERC on request (within 30 calendar days).	LOWER
PER-001-0	R1.	Each Transmission Operator and Balancing Authority shall provide operating personnel with the responsibility and authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.	HIGH

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PER-002-0	R1.	Each Transmission Operator and Balancing Authority shall be staffed with adequately trained operating personnel.	HIGH
PER-002-0	R2.	Each Transmission Operator and Balancing Authority shall have a training program for all operating personnel that are in:	HIGH
PER-002-0	R2.1.	Positions that have the primary responsibility, either directly or through communications with others, for the real-time operation of the interconnected Bulk Electric System.	HIGH
PER-002-0	R2.2.	Positions directly responsible for complying with NERC standards.	HIGH
PER-002-0	R3.	For personnel identified in Requirement R2, the Transmission Operator and Balancing Authority shall provide a training program meeting the following criteria:	HIGH
PER-002-0	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.	MEDIUM
PER-002-0	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.	MEDIUM
PER-002-0	R3.3.	The training program must include training time for all Transmission Operator and Balancing Authority operating personnel to ensure their operating proficiency.	LOWER
PER-002-0	R3.4.	Training staff must be identified, and the staff must be competent in both knowledge of system operations and instructional capabilities.	LOWER
PER-002-0	R4.	For personnel identified in Requirement R2, each Transmission Operator and Balancing Authority shall provide its operating personnel at least five days per year of training and drills using realistic simulations of system emergencies, in addition to other training required to maintain qualified operating personnel.	HIGH
PER-003-0	R1.	Each Transmission Operator, Balancing Authority, and Reliability Coordinator shall staff all operating positions that meet both of the following criteria with personnel that are NERC-certified for the applicable functions:	HIGH
PER-003-0	R1.1.	Positions that have the primary responsibility, either directly or through communications with others, for the real-time operation of the interconnected Bulk Electric System.	HIGH
PER-003-0	R1.2.	Positions directly responsible for complying with NERC standards.	HIGH
PER-004-1	R1.	Each Reliability Coordinator shall be staffed with adequately trained and NERC-certified Reliability Coordinator operators, 24 hours per day, seven days per week.	HIGH
PER-004-1	R2.	All Reliability Coordinator operating personnel shall each complete a minimum of five days per year of training and drills using realistic simulations of system emergencies, in addition to other training required to maintain qualified operating personnel.	HIGH

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PER-004-1	R3.	Reliability Coordinator operating personnel shall have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.	HIGH
PER-004-1	R4.	Reliability Coordinator operating personnel shall have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation Operators within the Reliability Coordinator Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and operational restrictions.	HIGH
PER-004-1	R5.	Reliability Coordinator operating personnel shall place particular attention on SOLs and IROLs and inter-tie facility limits. The Reliability Coordinator shall ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.	HIGH
PRC-001-1	R1.	Each Transmission Operator, Balancing Authority, and Generator Operator shall be familiar with the purpose and limitations of protection system schemes applied in its area.	HIGH
PRC-001-1	R2.	Each Generator Operator and Transmission Operator shall notify reliability entities of relay or equipment failures as follows:	HIGH
PRC-001-1	R2.1.	If a protective relay or equipment failure reduces system reliability, the Generator Operator shall notify its Transmission Operator and Host Balancing Authority. The Generator Operator shall take corrective action as soon as possible.	HIGH
PRC-001-1	R2.2.	If a protective relay or equipment failure reduces system reliability, the Transmission Operator shall notify its Reliability Coordinator and affected Transmission Operators and Balancing Authorities. The Transmission Operator shall take corrective action as soon as possible.	HIGH
PRC-001-1	R3.	A Generator Operator or Transmission Operator shall coordinate new protective systems and changes as follows.	<blank>
PRC-001-1	R3.1.	Each Generator Operator shall coordinate all new protective systems and all protective system changes with its Transmission Operator and Host Balancing Authority.	HIGH
PRC-001-1	R3.2.	Each Transmission Operator shall coordinate all new protective systems and all protective system changes with neighboring Transmission Operators and Balancing Authorities.	HIGH
PRC-001-1	R4.	Each Transmission Operator shall coordinate protection systems on major transmission lines and interconnections with neighboring Generator Operators, Transmission Operators, and Balancing Authorities.	HIGH
PRC-001-1	R5.	A Generator Operator or Transmission Operator shall coordinate changes in generation, transmission, load or operating conditions that could require changes in the protection systems of others:	HIGH
PRC-001-1	R5.1.	Each Generator Operator shall notify its Transmission Operator in advance of changes in generation or operating conditions that could require changes in the Transmission Operator's protection systems.	HIGH
PRC-001-1	R5.2.	Each Transmission Operator shall notify neighboring Transmission Operators in advance of changes in generation, transmission, load, or operating conditions that could require changes in the other Transmission Operators' protection systems.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-001-1	R6.	Each Transmission Operator and Balancing Authority shall monitor the status of each Special Protection System in their area, and shall notify affected Transmission Operators and Balancing Authorities of each change in status.	HIGH
PRC-004-1	R1.	The Transmission Owner and any Distribution Provider that owns a transmission Protection System shall each analyze its transmission Protection System Misoperations and shall develop and implement a Corrective Action Plan to avoid future Misoperations of a similar nature according to the Regional Reliability Organization's procedures developed for Reliability Standard PRC-003 Requirement 1.	HIGH
PRC-004-1	R2.	The Generator Owner shall analyze its generator Protection System Misoperations, and shall develop and implement a Corrective Action Plan to avoid future Misoperations of a similar nature according to the Regional Reliability Organization's procedures developed for PRC-003 R1.	HIGH
PRC-004-1	R3.	The Transmission Owner, any Distribution Provider that owns a transmission Protection System, and the Generator Owner shall each provide to its Regional Reliability Organization, documentation of its Misoperations analyses and Corrective Action Plans according to the Regional Reliability Organization's procedures developed for PRC-003 R1.	LOWER
PRC-005-1	R1.	Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall have a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES. The program shall include:	HIGH
PRC-005-1	R1.1.	Maintenance and testing intervals and their basis.	HIGH
PRC-005-1	R1.2.	Summary of maintenance and testing procedures.	HIGH
PRC-005-1	R2.	Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Reliability Organization on request (within 30 calendar days). The documentation of the program implementation shall include:	LOWER
PRC-005-1	R2.1.	Evidence Protection System devices were maintained and tested within the defined intervals.	HIGH
PRC-005-1	R2.2.	Date each Protection System device was last tested/maintained.	HIGH
PRC-007-0	R1.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall ensure that its UFLS program is consistent with its Regional Reliability Organization's UFLS program requirements.	MEDIUM
PRC-007-0	R2.	The Transmission Owner, Transmission Operator, Distribution Provider, and Load-Serving Entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide, and annually update, its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database.	LOWER
PRC-007-0	R3.	The Transmission Owner and Distribution Provider that owns a UFLS program (as required by its Regional Reliability Organization) shall provide its documentation of that UFLS program to its Regional Reliability Organization on request (30 calendar days).	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-008-0	R1.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall have a UFLS equipment maintenance and testing program in place. This UFLS equipment maintenance and testing program shall include UFLS equipment identification, the schedule for UFLS equipment testing, and the schedule for UFLS equipment maintenance.	MEDIUM
PRC-008-0	R2.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall implement its UFLS equipment maintenance and testing program and shall provide UFLS maintenance and testing program results to its Regional Reliability Organization and NERC on request (within 30 calendar days).	MEDIUM
PRC-009-0	R1.	The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall analyze and document its UFLS program performance in accordance with its Regional Reliability Organization's UFLS program. The analysis shall address the performance of UFLS equipment and program effectiveness following system events resulting in system frequency excursions below the initializing set points of the UFLS program. The analysis shall include, but not be limited to:	MEDIUM
PRC-009-0	R1.1.	A description of the event including initiating conditions.	MEDIUM
PRC-009-0	R1.2.	A review of the UFLS set points and tripping times.	MEDIUM
PRC-009-0	R1.3.	A simulation of the event.	MEDIUM
PRC-009-0	R1.4.	A summary of the findings.	MEDIUM
PRC-009-0	R2.	The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide documentation of the analysis of the UFLS program to its Regional Reliability Organization and NERC on request 90 calendar days after the system event.	LOWER
PRC-010-0	R1.	The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall periodically (at least every five years or as required by changes in system conditions) conduct and document an assessment of the effectiveness of the UVLS program. This assessment shall be conducted with the associated Transmission Planner(s) and Planning Authority(ies).	MEDIUM
PRC-010-0	R1.1.	This assessment shall include, but is not limited to:	MEDIUM
PRC-010-0	R1.1.1.	Coordination of the UVLS programs with other protection and control systems in the Region and with other Regional Reliability Organizations, as appropriate.	MEDIUM
PRC-010-0	R1.1.2.	Simulations that demonstrate that the UVLS programs performance is consistent with Reliability Standards TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0.	MEDIUM
PRC-010-0	R1.1.3.	A review of the voltage set points and timing.	MEDIUM
PRC-010-0	R2.	The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall provide documentation of its current UVLS program assessment to its Regional Reliability Organization and NERC on request (30 calendar days).	LOWER
PRC-011-0	R1.	The Transmission Owner and Distribution Provider that owns a UVLS system shall have a UVLS equipment maintenance and testing program in place. This program shall include:	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-011-0	R1.1.	The UVLS system identification which shall include but is not limited to:	MEDIUM
PRC-011-0	R1.1.1.	Relays.	MEDIUM
PRC-011-0	R1.1.2.	Instrument transformers.	MEDIUM
PRC-011-0	R1.1.3.	Communications systems, where appropriate.	MEDIUM
PRC-011-0	R1.1.4.	Batteries.	MEDIUM
PRC-011-0	R1.2.	Documentation of maintenance and testing intervals and their basis.	MEDIUM
PRC-011-0	R1.3.	Summary of testing procedure.	MEDIUM
PRC-011-0	R1.4.	Schedule for system testing.	MEDIUM
PRC-011-0	R1.5.	Schedule for system maintenance.	MEDIUM
PRC-011-0	R1.6.	Date last tested/maintained.	MEDIUM
PRC-011-0	R2.	The Transmission Owner and Distribution Provider that owns a UVLS system shall provide documentation of its UVLS equipment maintenance and testing program and the implementation of that UVLS equipment maintenance and testing program to its Regional Reliability Organization and NERC on request (within 30 calendar days).	LOWER
PRC-015-0	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall maintain a list of and provide data for existing and proposed SPSs as specified in Reliability Standard PRC-013-0_R 1.	MEDIUM
PRC-015-0	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall have evidence it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures as defined in Reliability Standard PRC-012-0_R1 prior to being placed in service.	MEDIUM
PRC-015-0	R3.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of SPS data and the results of studies that show compliance of new or functionally modified SPSs with NERC Reliability Standards and Regional Reliability Organization criteria to affected Regional Reliability Organizations and NERC on request (within 30 calendar days).	LOWER
PRC-016-0	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall analyze its SPS operations and maintain a record of all misoperations in accordance with the Regional SPS review procedure specified in Reliability Standard PRC-012-0_R 1.	MEDIUM
PRC-016-0	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall take corrective actions to avoid future misoperations.	MEDIUM
PRC-016-0	R3.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of the misoperation analyses and the corrective action plans to its Regional Reliability Organization and NERC on request (within 90 calendar days).	LOWER
PRC-017-0	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall have a system maintenance and testing program(s) in place. The program(s) shall include:	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-017-0	R1.1.	SPS identification shall include but is not limited to:	HIGH
PRC-017-0	R1.1.1.	Relays.	HIGH
PRC-017-0	R1.1.2.	Instrument transformers.	HIGH
PRC-017-0	R1.1.3.	Communications systems, where appropriate.	HIGH
PRC-017-0	R1.1.4.	Batteries.	HIGH
PRC-017-0	R1.2.	Documentation of maintenance and testing intervals and their basis.	HIGH
PRC-017-0	R1.3.	Summary of testing procedure.	HIGH
PRC-017-0	R1.4.	Schedule for system testing.	HIGH
PRC-017-0	R1.5.	Schedule for system maintenance.	HIGH
PRC-017-0	R1.6.	Date last tested/maintained.	MEDIUM
PRC-017-0	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of the program and its implementation to the appropriate Regional Reliability Organizations and NERC on request (within 30 calendar days).	LOWER
PRC-018-1	R1.	Each Transmission Owner and Generator Owner required to install DMEs by its Regional Reliability Organization (reliability standard PRC-002 Requirements 1-3) shall have DMEs installed that meet the following requirements:	LOWER
PRC-018-1	R1.1.	Internal Clocks in DME devices shall be synchronized to within 2 milliseconds or less of Universal Coordinated Time scale (UTC)	LOWER
PRC-018-1	R1.2.	Recorded data from each Disturbance shall be retrievable for ten calendar days..	LOWER
PRC-018-1	R2.	The Transmission Owner and Generator Owner shall each install DMEs in accordance with its Regional Reliability Organization's installation requirements (reliability standard PRC-002 Requirements 1 through 3).	LOWER
PRC-018-1	R3.	The Transmission Owner and Generator Owner shall each maintain, and report to its Regional Reliability Organization on request, the following data on the DMEs installed to meet that region's installation requirements (reliability standard PRC-002 Requirements 1.1, 2.1 and 3.1):	LOWER
PRC-018-1	R3.1.	Type of DME (sequence of event recorder, fault recorder, or dynamic disturbance recorder).	LOWER
PRC-018-1	R3.2.	Make and model of equipment.	LOWER
PRC-018-1	R3.3.	Installation location.	LOWER
PRC-018-1	R3.4.	Operational status.	LOWER
PRC-018-1	R3.5.	Date last tested.	LOWER
PRC-018-1	R3.6.	Monitored elements, such as transmission circuit, bus section, etc.	LOWER
PRC-018-1	R3.7.	Monitored devices, such as circuit breaker, disconnect status, alarms, etc.	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-018-1	R3.8.	Monitored electrical quantities, such as voltage, current, etc.	LOWER
PRC-018-1	R4.	The Transmission Owner and Generator Owner shall each provide Disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements (reliability standard PRC-002 Requirement 4).	LOWER
PRC-018-1	R5.	The Transmission Owner and Generator Owner shall each archive all data recorded by DMEs for Regional Reliability Organization-identified events for at least three years.	LOWER
PRC-018-1	R6.	Each Transmission Owner and Generator Owner that is required by its Regional Reliability Organization to have DMEs shall have a maintenance and testing program for those DMEs that includes:	LOWER
PRC-018-1	R6.1.	Maintenance and testing intervals and their basis.	LOWER
PRC-018-1	R6.2.	Summary of maintenance and testing procedures.	LOWER
PRC-021-1	R1.	Each Transmission Owner and Distribution Provider that owns a UVLS program to mitigate the risk of voltage collapse or voltage instability in the BES shall annually update its UVLS data to support the Regional UVLS program database. The following data shall be provided to the Regional Reliability Organization for each installed UVLS system:	LOWER
PRC-021-1	R1.1.	Size and location of customer load, or percent of connected load, to be interrupted.	LOWER
PRC-021-1	R1.2.	Corresponding voltage set points and overall scheme clearing times.	MEDIUM
PRC-021-1	R1.3.	Time delay from initiation to trip signal.	LOWER
PRC-021-1	R1.4.	Breaker operating times.	LOWER
PRC-021-1	R1.5.	Any other schemes that are part of or impact the UVLS programs such as related generation protection, islanding schemes, automatic load restoration schemes, UFLS and Special Protection Systems.	LOWER
PRC-021-1	R2.	Each Transmission Owner and Distribution Provider that owns a UVLS program shall provide its UVLS program data to the Regional Reliability Organization within 30 calendar days of a request.	LOWER
PRC-022-1	R1.	Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program to mitigate the risk of voltage collapse or voltage instability in the BES shall analyze and document all UVLS operations and Misoperations. The analysis shall include:	LOWER
PRC-022-1	R1.1.	A description of the event including initiating conditions.	LOWER
PRC-022-1	R1.2.	A review of the UVLS set points and tripping times.	MEDIUM
PRC-022-1	R1.3.	A simulation of the event, if deemed appropriate by the Regional Reliability Organization. For most events, analysis of sequence of events may be sufficient and dynamic simulations may not be needed.	LOWER
PRC-022-1	R1.4.	A summary of the findings.	LOWER
PRC-022-1	R1.5.	For any Misoperation, a Corrective Action Plan to avoid future Misoperations of a similar nature.	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
PRC-022-1	R2.	Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program shall provide documentation of its analysis of UVLS program performance to its Regional Reliability Organization within 90 calendar days of a request.	LOWER
TOP-001-1	R1.	Each Transmission Operator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its area and shall exercise specific authority to alleviate operating emergencies.	HIGH
TOP-001-1	R2.	Each Transmission Operator shall take immediate actions to alleviate operating emergencies including curtailing transmission service or energy schedules, operating equipment (e.g., generators, phase shifters, breakers), shedding firm load, etc.	HIGH
TOP-001-1	R3.	Each Transmission Operator, Balancing Authority, and Generator Operator shall comply with reliability directives issued by the Reliability Coordinator, and each Balancing Authority and Generator Operator shall comply with reliability directives issued by the Transmission Operator, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances the Transmission Operator, Balancing Authority, or Generator Operator shall immediately inform the Reliability Coordinator or Transmission Operator of the inability to perform the directive so that the Reliability Coordinator or Transmission Operator can implement alternate remedial actions.	HIGH
TOP-001-1	R4.	Each Distribution Provider and Load-Serving Entity shall comply with all reliability directives issued by the Transmission Operator, including shedding firm load, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances, the Distribution Provider or Load-Serving Entity shall immediately inform the Transmission Operator of the inability to perform the directive so that the Transmission Operator can implement alternate remedial actions.	HIGH
TOP-001-1	R5.	Each Transmission Operator shall inform its Reliability Coordinator and any other potentially affected Transmission Operators of real-time or anticipated emergency conditions, and take actions to avoid, when possible, or mitigate the emergency.	HIGH
TOP-001-1	R6.	Each Transmission Operator, Balancing Authority, and Generator Operator shall render all available emergency assistance to others as requested, provided that the requesting entity has implemented its comparable emergency procedures, unless such actions would violate safety, equipment, or regulatory or statutory requirements.	HIGH
TOP-001-1	R7.	Each Transmission Operator and Generator Operator shall not remove Bulk Electric System facilities from service if removing those facilities would burden neighboring systems unless:	HIGH
TOP-001-1	R7.1.	For a generator outage, the Generator Operator shall notify and coordinate with the Transmission Operator. The Transmission Operator shall notify the Reliability Coordinator and other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.	HIGH
TOP-001-1	R7.2.	For a transmission facility, the Transmission Operator shall notify and coordinate with its Reliability Coordinator. The Transmission Operator shall notify other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.	HIGH
TOP-001-1	R7.3.	When time does not permit such notifications and coordination, or when immediate action is required to prevent a hazard to the public, lengthy customer service interruption, or damage to facilities, the Generator Operator shall notify the Transmission Operator, and the Transmission Operator shall notify its Reliability Coordinator and adjacent Transmission Operators, at the earliest possible time.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TOP-001-1	R8.	During a system emergency, the Balancing Authority and Transmission Operator shall immediately take action to restore the Real and Reactive Power Balance. If the Balancing Authority or Transmission Operator is unable to restore Real and Reactive Power Balance it shall request emergency assistance from the Reliability Coordinator. If corrective action or emergency assistance is not adequate to mitigate the Real and Reactive Power Balance, then the Reliability Coordinator, Balancing Authority, and Transmission Operator shall implement firm load shedding.	HIGH
TOP-002-2	R1.	Each Balancing Authority and Transmission Operator shall maintain a set of current plans that are designed to evaluate options and set procedures for reliable operation through a reasonable future time period. In addition, each Balancing Authority and Transmission Operator shall be responsible for using available personnel and system equipment to implement these plans to ensure that interconnected system reliability will be maintained.	MEDIUM
TOP-002-2	R2.	Each Balancing Authority and Transmission Operator shall ensure its operating personnel participate in the system planning and design study processes, so that these studies contain the operating personnel perspective and system operating personnel are aware of the planning purpose.	MEDIUM
TOP-002-2	R3.	Each Load-Serving Entity and Generator Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and Transmission Service Provider shall coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.	MEDIUM
TOP-002-2	R4.	Each Balancing Authority and Transmission Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.	MEDIUM
TOP-002-2	R5.	Each Balancing Authority and Transmission Operator shall plan to meet scheduled system configuration, generation dispatch, interchange scheduling and demand patterns.	MEDIUM
TOP-002-2	R6.	Each Balancing Authority and Transmission Operator shall plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1 Contingency planning) in accordance with NERC, Regional Reliability Organization, subregional, and local reliability requirements.	MEDIUM
TOP-002-2	R7.	Each Balancing Authority shall plan to meet capacity and energy reserve requirements, including the deliverability/capability for any single Contingency.	MEDIUM
TOP-002-2	R8.	Each Balancing Authority shall plan to meet voltage and/or reactive limits, including the deliverability/capability for any single contingency.	MEDIUM
TOP-002-2	R9.	Each Balancing Authority shall plan to meet Interchange Schedules and Ramps.	LOWER
TOP-002-2	R10.	Each Balancing Authority and Transmission Operator shall plan to meet all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs).	MEDIUM

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TOP-002-2	R11.	The Transmission Operator shall perform seasonal, next-day, and current-day Bulk Electric System studies to determine SOLs. Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update these Bulk Electric System studies as necessary to reflect current system conditions; and shall make the results of Bulk Electric System studies available to the Transmission Operators, Balancing Authorities (subject confidentiality requirements), and to its Reliability Coordinator.	MEDIUM
TOP-002-2	R12.	The Transmission Service Provider shall include known SOLs or IROLs within its area and neighboring areas in the determination of transfer capabilities, in accordance with filed tariffs and/or regional Total Transfer Capability and Available Transfer Capability calculation processes.	MEDIUM
TOP-002-2	R13.	At the request of the Balancing Authority or Transmission Operator, a Generator Operator shall perform generating real and reactive capability verification that shall include, among other variables, weather, ambient air and water conditions, and fuel quality and quantity, and provide the results to the Balancing Authority or Transmission Operator operating personnel as requested.	MEDIUM
TOP-002-2	R14.	Generator Operators shall, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including but not limited to:	MEDIUM
TOP-002-2	R14.1.	Changes in real output capabilities.	MEDIUM
TOP-002-2	R14.2.	Automatic Voltage Regulator status and mode setting. <i>(Retired August 1, 2007)</i>	LOWER
TOP-002-2	R15.	Generation Operators shall, at the request of the Balancing Authority or Transmission Operator provide a forecast of expected real power output to assist in operations planning (e.g., a seven-day forecast of real output).	LOWER
TOP-002-2	R16.	Subject to standards of conduct and confidentiality agreements, Transmission Operators shall, without any intentional time delay, notify their Reliability Coordinator and Balancing Authority of changes in capabilities and characteristics including but not limited to:	MEDIUM
TOP-002-2	R16.1.	Changes in transmission facility status.	HIGH
TOP-002-2	R16.2.	Changes in transmission facility rating.	HIGH
TOP-002-2	R17.	Balancing Authorities and Transmission Operators shall, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.	HIGH
TOP-002-2	R18.	Neighboring Balancing Authorities, Transmission Operators, Generator Operators, Transmission Service Providers, and Load-Serving Entities shall use uniform line identifiers when referring to transmission facilities of an interconnected network.	MEDIUM
TOP-002-2	R19.	Each Balancing Authority and Transmission Operator shall maintain accurate computer models utilized for analyzing and planning system operations.	MEDIUM
TOP-003-0	R1.	Generator Operators and Transmission Operators shall provide planned outage information.	<blank>

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TOP-003-0	R1.1.	Each Generator Operator shall provide outage information daily to its Transmission Operator for scheduled generator outages planned for the next day (any foreseen outage of a generator greater than 50 MW). The Transmission Operator shall establish the outage reporting requirements.	MEDIUM
TOP-003-0	R1.2.	Each Transmission Operator shall provide outage information daily to its Reliability Coordinator, and to affected Balancing Authorities and Transmission Operators for scheduled generator and bulk transmission outages planned for the next day (any foreseen outage of a transmission line or transformer greater than 100 kV or generator greater than 50 MW) that may collectively cause or contribute to an SOL or IROL violation or a regional operating area limitation. The Reliability Coordinator shall establish the outage reporting requirements.	MEDIUM
TOP-003-0	R1.3.	Such information shall be available by 1200 Central Standard Time for the Eastern Interconnection and 1200 Pacific Standard Time for the Western Interconnection.	MEDIUM
TOP-003-0	R2.	Each Transmission Operator, Balancing Authority, and Generator Operator shall plan and coordinate scheduled outages of system voltage regulating equipment, such as automatic voltage regulators on generators, supplementary excitation control, synchronous condensers, shunt and series capacitors, reactors, etc., among affected Balancing Authorities and Transmission Operators as required.	MEDIUM
TOP-003-0	R3.	Each Transmission Operator, Balancing Authority, and Generator Operator shall plan and coordinate scheduled outages of telemetering and control equipment and associated communication channels between the affected areas.	MEDIUM
TOP-003-0	R4.	Each Reliability Coordinator shall resolve any scheduling of potential reliability conflicts.	MEDIUM
TOP-004-1	R1.	Each Transmission Operator shall operate within the Interconnection Reliability Operating Limits (IROLs) and System Operating Limits (SOLs).	HIGH
TOP-004-1	R2.	Each Transmission Operator shall operate so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single contingency.	HIGH
TOP-004-1	R3.	Each Transmission Operator shall, when practical, operate to protect against instability, uncontrolled separation, or cascading outages resulting from multiple outages, as specified by Regional Reliability Organization policy.	HIGH
TOP-004-1	R4.	If a Transmission Operator enters an unknown operating state (i.e., any state for which valid operating limits have not been determined), it will be considered to be in an emergency and shall restore operations to respect proven reliable power system limits within 30 minutes.	HIGH
TOP-004-1	R5.	Each Transmission Operator shall make every effort to remain connected to the Interconnection. If the Transmission Operator determines that by remaining interconnected, it is in imminent danger of violating an IROL or SOL, the Transmission Operator may take such actions, as it deems necessary, to protect its area.	HIGH
TOP-004-1	R6.	Transmission Operators, individually and jointly with other Transmission Operators, shall develop, maintain, and implement formal policies and procedures to provide for transmission reliability. These policies and procedures shall address the execution and coordination of activities that impact inter- and intra-Regional reliability, including:	MEDIUM
TOP-004-1	R6.1.	Equipment ratings.	MEDIUM

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TOP-004-1	R6.2.	Monitoring and controlling voltage levels and real and reactive power flows.	MEDIUM
TOP-004-1	R6.3.	Switching transmission elements.	MEDIUM
TOP-004-1	R6.4.	Planned outages of transmission elements.	MEDIUM
TOP-004-1	R6.5.	Development of IROLs and SOLs.	MEDIUM
TOP-004-1	R6.6.	Responding to IROL and SOL violations.	MEDIUM
TOP-005-1	R1.	Each Transmission Operator and Balancing Authority shall provide its Reliability Coordinator with the operating data that the Reliability Coordinator requires to perform operational reliability assessments and to coordinate reliable operations within the Reliability Coordinator Area.	MEDIUM
TOP-005-1	R1.1.	Each Reliability Coordinator shall identify the data requirements from the list in Attachment 1-TOP-005-0 "Electric System Reliability Data" and any additional operating information requirements relating to operation of the bulk power system within the Reliability Coordinator Area.	MEDIUM
TOP-005-1	R2.	As a condition of receiving data from the Interregional Security Network (ISN), each ISN data recipient shall sign the NERC Confidentiality Agreement for "Electric System Reliability Data."	LOWER
TOP-005-1	R3.	Upon request, each Balancing Authority and Transmission Operator shall provide to other Balancing Authorities and Transmission Operators with immediate responsibility for operational reliability, the operating data that are necessary to allow these Balancing Authorities and Transmission Operators to perform operational reliability assessments and to coordinate reliable operations. Balancing Authorities and Transmission Operators shall provide the types of data as listed in Attachment 1-TOP-005-0 "Electric System Reliability Data," unless otherwise agreed to by the Balancing Authorities and Transmission Operators with immediate responsibility for operational reliability.	MEDIUM
TOP-005-1	R4.	Each Purchasing-Selling Entity shall provide information as requested by its Host Balancing Authorities and Transmission Operators to enable them to conduct operational reliability assessments and coordinate reliable operations.	MEDIUM
TOP-006-1	R1.	Each Transmission Operator and Balancing Authority shall know the status of all generation and transmission resources available for use.	MEDIUM
TOP-006-1	R1.1.	Each Generator Operator shall inform its Host Balancing Authority and the Transmission Operator of all generation resources available for use.	MEDIUM
TOP-006-1	R1.2.	Each Transmission Operator and Balancing Authority shall inform the Reliability Coordinator and other affected Balancing Authorities and Transmission Operators of all generation and transmission resources available for use.	MEDIUM
TOP-006-1	R2.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall monitor applicable transmission line status, real and reactive power flows, voltage, load-tap-changer settings, and status of rotating and static reactive resources.	HIGH
TOP-006-1	R3.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide appropriate technical information concerning protective relays to their operating personnel.	LOWER

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TOP-006-1	R4.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall have information, including weather forecasts and past load patterns, available to predict the system's near-term load pattern.	LOWER
TOP-006-1	R5.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use monitoring equipment to bring to the attention of operating personnel important deviations in operating conditions and to indicate, if appropriate, the need for corrective action.	MEDIUM
TOP-006-1	R6.	Each Balancing Authority and Transmission Operator shall use sufficient metering of suitable range, accuracy and sampling rate (if applicable) to ensure accurate and timely monitoring of operating conditions under both normal and emergency situations.	HIGH
TOP-006-1	R7.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall monitor system frequency.	HIGH
TOP-007-0	R1.	A Transmission Operator shall inform its Reliability Coordinator when an IROL or SOL has been exceeded and the actions being taken to return the system to within limits.	HIGH
TOP-007-0	R2.	Following a Contingency or other event that results in an IROL violation, the Transmission Operator shall return its transmission system to within IROL as soon as possible, but not longer than 30 minutes.	HIGH
TOP-007-0	R3.	A Transmission Operator shall take all appropriate actions up to and including shedding firm load, or directing the shedding of firm load, in order to comply with Requirement R 2.	HIGH
TOP-007-0	R4.	The Reliability Coordinator shall evaluate actions taken to address an IROL or SOL violation and, if the actions taken are not appropriate or sufficient, direct actions required to return the system to within limits.	HIGH
TOP-008-1	R1.	The Transmission Operator experiencing or contributing to an IROL or SOL violation shall take immediate steps to relieve the condition, which may include shedding firm load.	HIGH
TOP-008-1	R2.	Each Transmission Operator shall operate to prevent the likelihood that a disturbance, action, or inaction will result in an IROL or SOL violation in its area or another area of the Interconnection. In instances where there is a difference in derived operating limits, the Transmission Operator shall always operate the Bulk Electric System to the most limiting parameter.	HIGH
TOP-008-1	R3.	The Transmission Operator shall disconnect the affected facility if the overload on a transmission facility or abnormal voltage or reactive condition persists and equipment is endangered. In doing so, the Transmission Operator shall notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection prior to switching, if time permits, otherwise, immediately thereafter.	HIGH
TOP-008-1	R4.	The Transmission Operator shall have sufficient information and analysis tools to determine the cause(s) of SOL violations. This analysis shall be conducted in all operating timeframes. The Transmission Operator shall use the results of these analyses to immediately mitigate the SOL violation.	MEDIUM

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TPL-001-0	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:	HIGH
TPL-001-0	R1.1.	Be made annually.	MEDIUM
TPL-001-0	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	MEDIUM
TPL-001-0	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).	MEDIUM
TPL-001-0	R1.3.1.	Cover critical system conditions and study years as deemed appropriate by the entity performing the study.	MEDIUM
TPL-001-0	R1.3.2.	Be conducted annually unless changes to system conditions do not warrant such analyses.	MEDIUM
TPL-001-0	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.	MEDIUM
TPL-001-0	R1.3.4.	Have established normal (pre-contingency) operating procedures in place.	MEDIUM
TPL-001-0	R1.3.5.	Have all projected firm transfers modeled.	MEDIUM
TPL-001-0	R1.3.6.	Be performed for selected demand levels over the range of forecast system demands.	MEDIUM
TPL-001-0	R1.3.7.	Demonstrate that system performance meets Table 1 for Category A (no contingencies).	MEDIUM
TPL-001-0	R1.3.8.	Include existing and planned facilities.	MEDIUM
TPL-001-0	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	MEDIUM
TPL-001-0	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category A.	MEDIUM
TPL-001-0	R2.	When system simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-001-0_R1, the Planning Authority and Transmission Planner shall each:	MEDIUM
TPL-001-0	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon.	MEDIUM
TPL-001-0	R2.1.1.	Including a schedule for implementation.	MEDIUM

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TPL-001-0	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	MEDIUM
TPL-001-0	R2.1.3.	Consider lead times necessary to implement plans.	MEDIUM
TPL-001-0	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	LOWER
TPL-001-0	R3.	The Planning Authority and Transmission Planner shall each document the results of these reliability assessments and corrective plans and shall annually provide these to its respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	LOWER
TPL-002-0	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:	HIGH
TPL-002-0	R1.1.	Be made annually.	MEDIUM
TPL-002-0	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	MEDIUM
TPL-002-0	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).	MEDIUM
TPL-002-0	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.	MEDIUM
TPL-002-0	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	MEDIUM
TPL-002-0	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	MEDIUM
TPL-002-0	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.	MEDIUM
TPL-002-0	R1.3.5.	Have all projected firm transfers modeled.	MEDIUM
TPL-002-0	R1.3.6.	Be performed and evaluated for selected demand levels over the range of forecast system Demands.	MEDIUM
TPL-002-0	R1.3.7.	Demonstrate that system performance meets Category B contingencies.	MEDIUM
TPL-002-0	R1.3.8.	Include existing and planned facilities.	MEDIUM
TPL-002-0	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	MEDIUM

**Complete Violation Risk Factor Matrix
Encompassing Each Commission Approved Reliability Standard**

Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TPL-002-0	R1.3.10.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	MEDIUM
TPL-002-0	R1.3.11.	Include the effects of existing and planned control devices.	MEDIUM
TPL-002-0	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.	MEDIUM
TPL-002-0	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category B of Table I.	MEDIUM
TPL-002-0	R1.5.	Consider all contingencies applicable to Category B.	MEDIUM
TPL-002-0	R2.	When System simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-002-0_R1, the Planning Authority and Transmission Planner shall each:	MEDIUM
TPL-002-0	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	MEDIUM
TPL-002-0	R2.1.1.	Including a schedule for implementation.	MEDIUM
TPL-002-0	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	MEDIUM
TPL-002-0	R2.1.3.	Consider lead times necessary to implement plans.	MEDIUM
TPL-002-0	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	MEDIUM
TPL-002-0	R3.	The Planning Authority and Transmission Planner shall each document the results of its Reliability Assessments and corrective plans and shall annually provide the results to its respective Regional Reliability Organization(s), as required by the Regional Reliability Organization.	LOWER
TPL-003-0	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 (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 (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:	HIGH
TPL-003-0	R1.1.	Be made annually.	MEDIUM
TPL-003-0	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	MEDIUM
TPL-003-0	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).	MEDIUM

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TPL-003-0	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.	MEDIUM
TPL-003-0	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	MEDIUM
TPL-003-0	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	MEDIUM
TPL-003-0	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.	MEDIUM
TPL-003-0	R1.3.5.	Have all projected firm transfers modeled.	MEDIUM
TPL-003-0	R1.3.6.	Be performed and evaluated for selected demand levels over the range of forecast system demands.	MEDIUM
TPL-003-0	R1.3.7.	Demonstrate that System performance meets Table 1 for Category C contingencies.	MEDIUM
TPL-003-0	R1.3.8.	Include existing and planned facilities.	MEDIUM
TPL-003-0	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet System performance.	MEDIUM
TPL-003-0	R1.3.10.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	MEDIUM
TPL-003-0	R1.3.11.	Include the effects of existing and planned control devices.	MEDIUM
TPL-003-0	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.	MEDIUM
TPL-003-0	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category C.	MEDIUM
TPL-003-0	R1.5.	Consider all contingencies applicable to Category C.	MEDIUM
TPL-003-0	R2.	When system simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-003-0_R1, the Planning Authority and Transmission Planner shall each:	MEDIUM
TPL-003-0	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	MEDIUM
TPL-003-0	R2.1.1.	Including a schedule for implementation.	MEDIUM
TPL-003-0	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	MEDIUM
TPL-003-0	R2.1.3.	Consider lead times necessary to implement plans.	MEDIUM

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
TPL-003-0	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	MEDIUM
TPL-003-0	R3.	The Planning Authority and Transmission Planner shall each document the results of these Reliability Assessments and corrective plans and shall annually provide these to its respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	LOWER
TPL-004-0	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:	MEDIUM
TPL-004-0	R1.1.	Be made annually.	MEDIUM
TPL-004-0	R1.2.	Be conducted for near-term (years one through five).	MEDIUM
TPL-004-0	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).	MEDIUM
TPL-004-0	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.	MEDIUM
TPL-004-0	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	MEDIUM
TPL-004-0	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	MEDIUM
TPL-004-0	R1.3.4.	Have all projected firm transfers modeled.	MEDIUM
TPL-004-0	R1.3.5.	Include existing and planned facilities.	MEDIUM
TPL-004-0	R1.3.6.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	MEDIUM
TPL-004-0	R1.3.7.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	MEDIUM
TPL-004-0	R1.3.8.	Include the effects of existing and planned control devices.	MEDIUM
TPL-004-0	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.	MEDIUM
TPL-004-0	R1.4.	Consider all contingencies applicable to Category D.	MEDIUM
TPL-004-0	R2.	The Planning Authority and Transmission Planner shall each document the results of its reliability assessments and shall annually provide the results to its entities' respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	LOWER

**Complete Violation Risk Factor Matrix
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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
VAR-001-1	R1.	Each Transmission Operator, individually and jointly with other Transmission Operators, shall ensure that formal policies and procedures are developed, maintained, and implemented for monitoring and controlling voltage levels and Mvar flows within their individual areas and with the areas of neighboring Transmission Operators.	HIGH
VAR-001-1	R2.	Each Transmission Operator shall acquire sufficient reactive resources within its area to protect the voltage levels under normal and Contingency conditions. This includes the Transmission Operator's share of the reactive requirements of interconnecting transmission circuits.	HIGH
VAR-001-1	R3.	The Transmission Operator shall specify criteria that exempts generators from compliance with the requirements defined in Requirement 4, and Requirement 6.1.	LOWER
VAR-001-1	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.	LOWER
VAR-001-1	R3.2.	For each generator that is on this exemption list, the Transmission Operator shall notify the associated Generator Owner.	LOWER
VAR-001-1	R4.	Each Transmission Operator shall specify a voltage or Reactive Power schedule at the interconnection between the generator facility and the Transmission Owner's facilities to be maintained by each generator. The Transmission Operator shall provide the voltage or Reactive Power schedule to the associated Generator Operator and direct the Generator Operator to comply with the schedule in automatic voltage control mode (AVR in service and controlling voltage).	MEDIUM
VAR-001-1	R5.	Each Purchasing-Selling Entity shall arrange for (self-provide or purchase) reactive resources to satisfy its reactive requirements identified by its Transmission Service Provider.	HIGH
VAR-001-1	R6.	The Transmission Operator shall know the status of all transmission Reactive Power resources, including the status of voltage regulators and power system stabilizers.	MEDIUM
VAR-001-1	R6.1.	When notified of the loss of an automatic voltage regulator control, the Transmission Operator shall direct the Generator Operator to maintain or change either its voltage schedule or its Reactive Power schedule.	MEDIUM
VAR-001-1	R7.	The Transmission Operator shall be able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow.	HIGH
VAR-001-1	R8.	Each Transmission Operator shall operate or direct the operation of capacitive and inductive reactive resources within its area – including reactive generation scheduling; transmission line and reactive resource switching; and, if necessary, load shedding – to maintain system and Interconnection voltages within established limits.	HIGH
VAR-001-1	R9.	Each Transmission Operator shall maintain reactive resources to support its voltage under first Contingency conditions.	HIGH
VAR-001-1	R9.1.	Each Transmission Operator shall disperse and locate the reactive resources so that the resources can be applied effectively and quickly when Contingencies occur.	HIGH

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
VAR-001-1	R10.	Each Transmission Operator shall correct IROL or SOL violations resulting from reactive resource deficiencies (IROL violations must be corrected within 30 minutes) and complete the required IROL or SOL violation reporting.	HIGH
VAR-001-1	R11.	After consultation with the Generator Owner regarding necessary step-up transformer tap changes, the Transmission Operator shall provide documentation to the Generator Owner specifying the required tap changes, a timeframe for making the changes, and technical justification for these changes.	LOWER
VAR-001-1	R12.	The Transmission Operator shall direct corrective action, including load reduction, necessary to prevent voltage collapse when reactive resources are insufficient.	HIGH
VAR-002-1	R1.	The Generator Operator shall operate each generator connected to the interconnected transmission system in the automatic voltage control mode (automatic voltage regulator in service and controlling voltage) unless the Generator Operator has notified the Transmission Operator..	MEDIUM
VAR-002-1	R2.	Unless exempted by the Transmission Operator, each Generator Operator shall maintain the generator voltage or Reactive Power output (within applicable Facility Ratings. [1] as directed by the Transmission Operator	MEDIUM
VAR-002-1	R2.1.	When a generator's automatic voltage regulator is out of service, the Generator Operator shall use an alternative method to control the generator voltage and reactive output to meet the voltage or Reactive Power schedule directed by the Transmission Operator.	MEDIUM
VAR-002-1	R2.2.	When directed to modify voltage, the Generator Operator shall comply or provide an explanation of why the schedule cannot be met.	MEDIUM
VAR-002-1	R3.	Each Generator Operator shall notify its associated Transmission Operator as soon as practical, but within 30 minutes of any of the following:	MEDIUM
VAR-002-1	R3.1.	A status or capability change on any generator Reactive Power resource, including the status of each automatic voltage regulator and power system stabilizer and the expected duration of the change in status or capability.	MEDIUM
VAR-002-1	R3.2.	A status or capability change on any other Reactive Power resources under the Generator Operator's control and the expected duration of the change in status or capability.	MEDIUM
VAR-002-1	R4.	The Generator Owner shall provide the following to its associated Transmission Operator and Transmission Planner within 30 calendar days of a request.	LOWER
VAR-002-1	R4.1.	For generator step-up transformers and auxiliary transformers with primary voltages equal to or greater than the generator terminal voltage:	LOWER
VAR-002-1	R4.1.1.	Tap settings.	LOWER
VAR-002-1	R4.1.2.	Available fixed tap ranges.	LOWER
VAR-002-1	R4.1.3.	Impedance data.	LOWER
VAR-002-1	R4.1.4.	The +/- voltage range with step-change in % for load-tap changing transformers.	LOWER

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Standard Number	Requirement Number	Text of Requirement	Violation Risk Factor
VAR-002-1	R5.	After consultation with the Transmission Operator regarding necessary step-up transformer tap changes, the Generator Owner shall ensure that transformer tap positions are changed according to the specifications provided by the Transmission Operator, unless such action would violate safety, an equipment rating, a regulatory requirement, or a statutory requirement.	MEDIUM
VAR-002-1	R5.1.	If the Generator Operator can't comply with the Transmission Operator's specifications, the Generator Operator shall notify the Transmission Operator and shall provide the technical justification.	LOWER
No VRFs for these requirements			
FERC directed VRF revisions			

CERTIFICATE OF SERVICE

I hereby certify that I have served a copy of the foregoing document upon all parties listed on the official service list compiled by the Secretary in this proceeding.

Dated at Chicago, Illinois this 1st day of June, 2007.

/s/ Owen E. MacBride
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