

**Proposed Violation Severity Levels for the CIP, COM, and VAR Series of Standards:**

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**Proposed Violation Severity Levels for the CIP, COM and VAR Series of Standards**

<b>Standard Number CIP-001-1 Sabotage Reporting</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1.	N/A	N/A	The responsible entity has procedures for the recognition of sabotage events on its facilities and multi site sabotage affecting larger portions of the Interconnection but does not have a procedure for making their operating personnel aware of said events.	The responsible entity failed to 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.
R2.	N/A	N/A	The responsible entity has demonstrated the existence of a procedure to communicate information concerning sabotage events, but not all of the appropriate parties in the interconnection are identified.	The responsible entity failed to have a procedure for communicating information concerning sabotage events.
R3.	N/A	The responsible entity provided its operating personnel with a sabotage response guideline, but failed to include the personnel to contact for reporting disturbances due to sabotage events.	N/A	The responsible entity failed to provide its operating personnel with a sabotage response guideline.
R4.	N/A	N/A	The responsible entity has established communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police	The responsible entity failed to establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police

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<b>Standard Number CIP-001-1 Sabotage Reporting</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
			(RCMP) officials, but has not developed a reporting procedure.	(RCMP) officials, and has not developed a reporting procedure.

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<b>Standard Number COM-001-1 Telecommunications</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1.	N/A	The responsible entity failed to provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information to one of the groups specified in R1.1, or R1.2, or R1.3.	The responsible entity failed to provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information to two of the groups specified in R1.1, or R1.2, or R1.3.	The responsible entity failed to provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information to all 3 of the groups specified in R1.1, or R1.2, or R1.3.  OR  The responsible entity's telecommunications is not redundant or diversely routed as applicable as specified in R1.4.
R2.	N/A	The responsible entity has failed to manage, alarm, and test or actively monitor its emergency telecommunications facilities.	The responsible entity has failed to manage, alarm, and test or actively monitor its vital telecommunications facilities.	The responsible entity has failed to manage, alarm, and test or actively monitor its vital and emergency telecommunications facilities.
R3.	N/A	N/A	The responsible entity failed to assist in the investigation and recommending of solutions to telecommunications problems within the area and with other areas.	The responsible entity failed to provide a means to coordinate telecommunications among their respective areas including assisting in the investigation and recommending of solutions to telecommunications problems within the area and

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<b>Standard Number COM-001-1 Telecommunications</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
				with other areas.
R4.	N/A	N/A	N/A	The responsible entity used a language other than English and failed to have an agreement to do so.
R5.	N/A	N/A	N/A	The responsible entity did not have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.
R6.	The NERCNet User Organization failed to adhere to 5% or less of the requirements listed in COM-001-0, Attachment 1, "NERCNet Security Policy".	The NERCNet User Organization failed to adhere to more than 5% up to (and including) 10% of the requirements listed in COM-001-0, Attachment 1, "NERCNet Security Policy".	The NERCNet User Organization failed to adhere to more than 10% up to (and including) 15% of the requirements listed in COM-001-0, Attachment 1, "NERCNet Security Policy".	The NERCNet User Organization failed to adhere to more than 15% of the requirements listed in COM-001-0, Attachment 1, "NERCNet Security Policy".

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<b>Standard Number COM-002-2 Communications and Coordination</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1.	N/A	<p>The responsible entity did not have data links with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators.</p> <p>OR</p> <p>The responsible entity did not have voice links with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators.</p>	N/A	<p>The responsible entity failed to have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators.</p> <p>OR</p> <p>The responsible entity's communications were not staffed and available for addressing real time emergency conditions.</p>
R1.1.	N/A	N/A	The responsible entity failed to notify 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 was anticipated.	The responsible entity failed to 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 was anticipated.
R2.	N/A	The responsible entity provided a clear directive in a clear, concise and definitive manner and required the	The responsible entity provided a clear directive in a clear, concise and definitive manner, but did not require the	The responsible entity failed to provide a clear directive in a clear, concise and definitive manner when required.

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<b>Standard Number COM-002-2 Communications and Coordination</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
		recipient to repeat the directive, but did not acknowledge the recipient was correct in the repeated directive.	recipient to repeat the directive.	

**Proposed Violation Severity Levels for the CIP, COM and VAR Series of Standards**

<b>Standard Number VAR-001-1 Voltage and Reactive Control</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1.	N/A	The Transmission Operator has formal policies and procedures for monitoring and controlling voltage and MVAR flows, but they are not current.	The Transmission Operator has formal policies and procedures for monitoring and controlling voltage and MVAR flows that are current, but they have not been coordinated with one or more neighboring Transmission Operators.	The Transmission Operator has formal policies and procedures for monitoring and controlling voltage and MVAR flows, but has not implemented them.  OR  The Transmission Operator does not have formal policies and procedures for monitoring and controlling voltage and MVAR flows.
R2.	The responsible entity did not acquire 5% or less of the reactive resources within its area needed to protect the voltage levels under normal and Contingency conditions including the Transmission Operator's share of the reactive requirements of interconnecting transmission circuits.	The responsible entity did not acquire more than 5% up to (and including) 10% of the reactive resources within its area needed to protect the voltage levels under normal and Contingency conditions including the Transmission Operator's share of the reactive requirements of interconnecting transmission circuits.	The responsible entity did not acquire more than 10% up to (and including) 15% of the reactive resources within its area needed to protect the voltage levels under normal and Contingency conditions including the Transmission Operator's share of the reactive requirements of interconnecting transmission circuits.	The responsible entity did not acquire more than 15% of the reactive resources within its area needed to protect the voltage levels under normal and Contingency conditions including the Transmission Operator's share of the reactive requirements of interconnecting transmission circuits.
R3.	N/A	N/A	N/A	The Transmission Operator did not specify criteria that exempted generators from compliance with the requirements defined in

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<b>Standard Number VAR-001-1 Voltage and Reactive Control</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
				Requirement R4, and Requirement R6.1.
R3.1.	The Transmission Operator maintained the list of generators in its area that are exempt from following a voltage or Reactive Power schedule but is missing one or more entities. The missing entities represented 5% or less of those eligible for the list.	The Transmission Operator maintained the list of generators in its area that are exempt from following a voltage or Reactive Power schedule but is missing two or more entities. The missing entities represented more than 5% up to (and including) 10% of those eligible for the list.	The Transmission Operator maintained the list of generators in its area that are exempt from following a voltage or Reactive Power schedule but is missing three or more entities. The missing entities more than 10% up to (and including) 15% of those eligible for the list.	The Transmission Operator maintained the list of generators in its area that are exempt from following a voltage or Reactive Power schedule but is missing four or more entities. The missing entities represented more than 15% of those eligible for the list.
R3.2.	The Transmission Operator failed to notify 5% or less of the Generator Owners associated with a generator on the exemption list specified in R3.1.	The Transmission Operator failed to notify more than 5% up to (and including) 10% of the Generator Owners associated with a generator on the exemption list specified in R3.1.	The Transmission Operator failed to notify more than 10% up to (and including) 15% of the Generator Owners associated with a generator on the exemption list specified in R3.1.	The Transmission Operator failed to notify more than 15% of the Generator Owners associated with a generator on the exemption list specified in R3.1.
R4.	The Transmission Operator failed to direct the Generator Operator to comply with the Voltage or Reactive Power schedules for 5% or less of the generating units as required in R4.	The Transmission Operator failed to direct the Generator Operator to comply with the Voltage or Reactive Power schedules for more than 5% up to (and including) 10% of the generating units as required in R4.	The Transmission Operator failed to direct the Generator Operator to comply with the Voltage or Reactive Power schedules for more than 10% up to (and including) 15% of the generating units as required in R4.	The Transmission Operator failed to direct the Generator Operator to comply with the Voltage or Reactive Power schedules for more than 15% of the generating units as required in R4.

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<b>Standard Number VAR-001-1 Voltage and Reactive Control</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R5.	The responsible entity did not arrange for reactive resources, as directed by the requirement, affecting 5% or less of its reactive requirements.	The responsible entity did not arrange for reactive resources, as directed by the requirement, affecting more than 5% up to (and including) 10% of its reactive requirements.	The responsible entity did not arrange for reactive resources, as directed by the requirement, affecting more than 10% up to (and including) 15%, of its reactive requirements.	The responsible entity did not arrange for reactive resources, as directed by the requirement, affecting more than 15% of its reactive requirements.
R6.	The Transmission Operator did not know the status of all transmission reactive power resources, including the status of voltage regulators and power system stabilizers, as directed by the requirement, affecting 5% or less of the required resources.	The Transmission Operator did not know the status of all transmission reactive power resources, including the status of voltage regulators and power system stabilizers, as directed by the requirement, affecting more than 5% up to (and including) 10% of the required resources.	The Transmission Operator did not know the status of all transmission reactive power resources, including the status of voltage regulators and power system stabilizers, as directed by the requirement, affecting more than 10% up to (and including) 15% of the required resources.	The Transmission Operator did not know the status of all transmission reactive power resources, including the status of voltage regulators and power system stabilizers, as directed by the requirement, affecting more than 15% of required resources.
R6.1.	N/A	N/A	N/A	The Transmission Operator has not provided evidence to show that directives were issued to the Generator Operator to maintain or change either its voltage schedule or its Reactive Power schedule in accordance with R6.1.
R7.	The Transmission Operator was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting 5% or	The Transmission Operator was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting more	The Transmission Operator was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting more	The Transmission Operator was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting more

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<b>Standard Number VAR-001-1 Voltage and Reactive Control</b>				
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	less of the required devices.	than 5% up to (and including) 10%, of the required devices.	than 10% up to (and including) 15%, of the required devices.	than 15% of the required devices.
R8.	The Transmission Operator did not operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting 5% or less of the required resources.	The Transmission Operator did not operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting more than 5% up to (and including) 10% of the required resources.	The Transmission Operator did not operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, more than 10% up to (and including) 15% of the required resources.	The Transmission Operator did not operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting more than 15% of the required resources.
R9.	The Transmission Operator did not maintain 5% or less of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator did not maintain more than 5% up to (and including) 10% of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator did not maintain more than 10% up to (and including) 15% of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator did not maintain more than 15% of the reactive resources needed to support its voltage under first Contingency conditions.
R9.1.	The Transmission Operator did not disperse and/or locate the reactive resources, as directed in the requirement, affecting 5% or less of the resources.	The Transmission Operator did not disperse and/or locate the reactive resources, as directed in the requirement, affecting more than 5% up to (and including) 10% of the resources.	The Transmission Operator did not disperse and/or locate the reactive resources, as directed in the requirement, affecting more than 10% up to (and including) 15% of the resources.	The Transmission Operator did not disperse and/or locate the reactive resources, as directed in the requirement, affecting more than 15% of the resources.

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R10.	The Transmission Operator did not correct the IROL or SOL violations resulting from reactive resource deficiencies and complete the required IROL or SOL violation reporting for 5% or less of the applicable occurrences.	The Transmission Operator did not correct the IROL or SOL violations resulting from reactive resource deficiencies and complete the required IROL or SOL violation reporting for more than 5% up to (and including) 10% of the applicable occurrences.	The Transmission Operator did not correct the IROL or SOL violations resulting from reactive resource deficiencies and complete the required IROL or SOL violation reporting for more than 10% up to (and including) 15% of the applicable occurrences.	The Transmission Operator did not correct the IROL or SOL violations resulting from reactive resource deficiencies and complete the required IROL or SOL violation reporting for more than 15% of the applicable occurrences.
R11.	N/A	The Transmission Operator provided documentation to the Generator Owner specifying required step-up transformer tap changes and a timeframe for making these changes, but failed to provide technical justification for these changes.	The Transmission Operator provided documentation to the Generator Owner specifying required step-up transformer tap changes, but failed to provide a timeframe for making these changes and technical justification for these changes.	The Transmission Operator failed to provide documentation to the Generator Owner specifying required step-up transformer tap changes, a timeframe for making these changes, and technical justification for these changes.
R12.	N/A	N/A	N/A	The Transmission Operator has failed to direct corrective action, including load reduction, necessary to prevent voltage collapse when reactive resources are insufficient.

Standard Number VAR-002-1 Generator Operations for Maintaining Network Voltage Schedules				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	The Generator Operator failed to notify the Transmission Operator as identified in R1 for 5% or less of its generators that were not operated in the Automatic Voltage Control mode.	The Generator Operator failed to notify the Transmission Operator as identified in R1 for more than 5% up to (and including) 10% of its generators that were not operated in the Automatic Voltage Control mode.	The Generator Operator failed to notify the Transmission Operator as identified in R1 for more than 10% up to (and including) 15% of its generators that were not operated in the Automatic Voltage Control mode.	The Generator Operator failed to notify the Transmission Operator as identified in R1 for more than 15% of its generators that were not operated in the Automatic Voltage Control mode.
R2.	When directed by the Transmission Operator to maintain the generator voltage or reactive power output the Generator Operator failed to meet the directed values by 5% or less.	<p>When directed by the Transmission Operator to maintain the generator voltage or reactive power output the Generator Operator failed to meet the directed values by more than 5% up to (and including) 10%.</p> <p>OR</p> <p>When a generator's automatic voltage regulator is out of service, the Generator Operator failed to 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.</p> <p>OR</p>	When directed by the Transmission Operator to maintain the generator voltage or reactive power output the Generator Operator failed to meet the directed values by more than 10% up to (and including) 15%.	<p>When directed by the Transmission Operator to maintain the generator voltage or reactive power output the Generator Operator failed to meet the directed values by more than 15%.</p> <p>OR</p> <p>When a generator's automatic voltage regulator is out of service, the Generator Operator failed to 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 and the Generator Operator failed to provide an explanation of why the voltage schedule could not</p>

Standard Number VAR-002-1 Generator Operations for Maintaining Network Voltage Schedules				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
		The Generator Operator failed to provide an explanation of why the voltage schedule could not be met.		be met.
R3.	N/A	N/A	The Generator Operator failed to notify the Transmission Operator within 30 minutes of the information as specified in either R3.1 or R3.2.	The Generator Operator failed to notify the Transmission Operator within 30 minutes of the information as specified in both R3.1 and R3.2.
R4.	<p>The Responsible entity failed to provide to its associated Transmission Operator and Transmission Planner one of the types of data as specified in R4.1.1 or R 4.1.2 or 4.1.3 or 4.1.4.</p> <p>OR</p> <p>The information was provided in more than 30 but less than or equal to 35 calendar days of the request.</p>	<p>The Responsible entity failed to provide to its associated Transmission Operator and Transmission Planner two of the types of data as specified in R4.1.1 or R 4.1.2 or 4.1.3 or 4.1.4.</p> <p>OR</p> <p>The information was provided in more than 35 but less than or equal to 40 calendar days of the request.</p>	<p>The Responsible entity failed to provide to its associated Transmission Operator and Transmission Planner three of the types of data as specified in R4.1.1 or R 4.1.2 or 4.1.3 or 4.1.4.</p> <p>OR</p> <p>The information was provided in more than 40 but less than or equal to 45 calendar days of the request.</p>	<p>The Responsible entity failed to provide to its associated Transmission Operator and Transmission Planner any of the types of data as specified in R4.1.1 and R 4.1.2 and 4.1.3 and 4.1.4.</p> <p>OR</p> <p>The information was provided in more than 45 calendar days of the request.</p>

Standard Number VAR-002-1 Generator Operations for Maintaining Network Voltage Schedules				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R5.	N/A	N/A	N/A	The responsible entity failed to ensure that transformer tap positions were changed according to the specifications provided by the Transmission Operator when said actions would not have violated safety, an equipment rating, a regulatory requirement, or a statutory requirement.
R5.1.	N/A	N/A	N/A	The responsible entity failed to notify the Transmission Operator and to provide technical justification.