

**Proposed Violation Severity Levels for the INT, PER, NUC Series of Standards:**

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Standard Number INT-001-3 Interchange Information				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The Load-Serving, Purchasing-Selling Entity failed to submit one Dynamic Schedule at the expected average MW profile for an hour to the Interchange Authority; as per R1.1.	The Load-Serving, Purchasing-Selling Entity failed to submit two Dynamic Schedules at the expected average MW profile for an hour to the Interchange Authority; as per R1.1.	The Load-Serving, Purchasing-Selling Entity failed to submit three Dynamic Schedules at the expected average MW profile for an hour to the Interchange Authority; as per R1.1.	The Load-Serving, Purchasing-Selling Entity failed to submit four or more Dynamic Schedules at the expected average MW profile for an hour to the Interchange Authority; as per R1.1.
R2	The Sink Balancing Authority failed to submit one Arranged Interchange to the Interchange Authority as per R2.1 and R2.2.	The Sink Balancing Authority failed to submit two Arranged Interchanges to the Interchange Authority as per R2.1 and R2.2.	The Sink Balancing Authority failed to submit three Arranged Interchanges to the Interchange Authority as per R2.1 and R2.2.	The Sink Balancing Authority failed to submit four or more Arranged Interchanges to the Interchange Authority as per R2.1 and R2.2.

Standard Number INT-003-2 Interchange Transaction Implementation				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	The responsible entity confirmed Interchange Schedule with the Sending Balancing Authority prior to implementation in the Balancing Authority ACE equation and the responsible Entities reached agreement; and coordinated the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2; but the agreement did not include one of the elements required in sub-requirements R.1.1.1 or R.1.1.2.	The responsible entity confirmed Interchange Schedule with the Sending Balancing Authority prior to implementation in the Balancing Authority ACE equation and the responsible Entities reached agreement but did not coordinate the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2.	The responsible entity failed to confirm Interchange Schedule with the Sending Balancing Authority prior to implementation in the Authority's ACE equation.  OR  The responsible entity failed to agree on the interchange as received from the Interchange Authority prior to implementation in the Balancing Authority's ACE equation.

Standard Number INT-004-2 Dynamic Interchange Transaction Modifications				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The responsible entity that initiated a curtailment released the limit on the Interchange Transaction tag, at such time as the reliability event allowed for the reloading of the transaction, but failed to communicate the release of the limit to the Sink Balancing Authority.	N/A	N/A	The responsible entity that initiated a curtailment failed to release the limit on the Interchange Transaction tag, at such time as the reliability event allowed for the reloading of the transaction, but failed to communicate the release of the limit to the Sink Balancing Authority.
R2	N/A	N/A	The responsible entity failed to update the tag when required by sub-requirements R2.1 or R2.2.	The responsible entity failed to update the tag when required by sub-requirement R2.3.

Standard Number INT-005-2 Interchange Authority Distributes Arranged Interchange				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority distributed the Arranged Interchange information for reliability assessment to all but one of the reliability entities involved in the Interchange.	Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority distributed the Arranged Interchange information for reliability assessment to all but two of the reliability entities involved in the Interchange.	Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority distributed the Arranged Interchange information for reliability assessment to all but three of the reliability entities involved in the Interchange.	Prior to the expiration of the time period defined in the Timing Table, Column A, the Interchange Authority distributed the Arranged Interchange information for reliability assessment to all but four of the reliability entities involved in the Interchange.
R1.1	N/A	N/A	The Responsible Entity initiated a Curtailment to Confirmed or Implemented Interchange for reliability but the Interchange Authority failed to distribute the Arranged Interchange information to the Source Balancing Authority or the Sink Balancing Authority.	The Responsible Entity initiated a Curtailment to Confirmed or Implemented Interchange for reliability but the Interchange Authority failed to distribute the Arranged Interchange information to the Source Balancing Authority and the Sink Balancing Authority.

Standard Number INT-006-2 Response to Interchange Authority				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	The responsible entity responded to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange but it failed to evaluate one of the subrequirements R1.1.1, R1.1.2 or R1.1.3.	<p>The responsible entity responded to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange but in evaluating the Arranged Interchange, it failed to evaluate two of the subrequirements R1.1.1, R1.1.2 or R1.1.3;</p> <p>OR</p> <p>The responsible entity confirmed that the transmission service arrangements associated with the Arranged Interchange, had adjacent Transmission Service Provider connectivity, and were valid <b>but</b> failed to confirm that the prevailing transmission system limits would not be violated. (R1.2)</p>	<p>The responsible entity failed to respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange and was deficient in one of the following:</p> <p>The responsible entity failed to evaluate arranged interchange with respect to all of the subrequirements R1.1.1, R1.1.2 and R1.1.3.</p> <p>OR</p> <p>The responsible entity failed to confirm that the transmission service arrangements associated with the Arranged Interchange had adjacent Transmission Service Provider connectivity, were valid and prevailing transmission system limits would not be violated (R1.2).</p>

Standard Number INT-007-1 Interchange Confirmation				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	The Responsible Entity failed to verify one of the sub-requirements (R1.1, R1.2, R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4) prior to transitioning an Arranged Interchange to a Confirmed Interchange.	The Responsible Entity failed to verify two of the sub-requirements (R1.1, R1.2, R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4) prior to transitioning an Arranged Interchange to a Confirmed Interchange.	The Responsible Entity failed to verify three of the sub-requirements (R1.1, R1.2, R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4) prior to transitioning an Arranged Interchange to a Confirmed Interchange.	The Responsible Entity but failed to verify four or more of the sub-requirements (R1.1, R1.2, R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4) prior to transitioning an Arranged Interchange to a Confirmed Interchange.
R1.4.	N/A	N/A	N/A	The Responsible Entity received Arranged Interchange information from the Interchange Authority for reliability assessment and failed to provide approval.

Standard Number INT-008-2 Interchange Authority Distributes Status				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1.	The responsible entity distributed the Arranged Interchange 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 but did not include one of the elements required in sub-requirements R.1.1.1 or R.1.1.2 for a Confirmed Interchange.	<p>The responsible entity distributed the Arranged Interchange 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 but did not include two of the elements required in sub-requirements R.1.1.1 or R.1.1.2 for a Confirmed Interchange.</p> <p>OR</p> <p>The responsible entity distributed the Arranged Interchange to all but one of the 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.</p>	The responsible entity distributed the Arranged Interchange to all but two of the 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.	<p>The responsible entity distributed the Arranged Interchange to all but three or more of the 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.</p> <p>OR</p> <p>The responsible entity did not distribute the Arranged Interchange.</p>

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<b>Standard Number INT-009-1 Implementation of Interchange</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	N/A	The responsible entity failed to implement a Confirmed Interchange as received from the Interchange Authority.

Standard Number INT-010-1 Interchange Coordination Exemptions				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an energy sharing agreement ensured that a request for an Arranged Interchange was submitted, but with a start time that was more than 60 minutes but less than 75 minutes beyond the resource loss.	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an energy sharing agreement ensured that a request for an Arranged Interchange was submitted, but with a start time that was 75 minutes or more, but less than 90 minutes beyond the resource loss.	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an energy sharing agreement ensured that a request for an Arranged Interchange was submitted, but with a start time that was 90 minutes or more, but less than 105 minutes beyond the resource loss.	<p>The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an energy sharing agreement ensured that a request for an Arranged Interchange was submitted, but with a start time that was more than 105 minutes beyond the resource loss.</p> <p>OR</p> <p>The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an energy sharing agreement, failed to ensure that a request for an Arranged Interchange was submitted.</p>
R2	N/A	N/A	N/A	The responsibility entity failed to direct a Balancing Authority to submit the modified Arranged Interchange reflecting that modification within 60 minutes of the initiation of the event.

Standard Number INT-010-1 Interchange Coordination Exemptions				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R3	N/A	N/A	N/A	The responsibility entity failed to direct a Balancing Authority to submit an Arranged Interchange reflecting the new Interchange schedule within 60 minutes of the initiation of the event.

Standard Number PER-001-0 Operating Personnel Responsibility and Authority				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R1	N/A	N/A	The Transmission Operator or Balancing Authority failed to demonstrate that it communicated to its operating personnel their responsibility or their authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.	The Transmission Operator or Balancing Authority failed to demonstrate that it communicated to its operating personnel their responsibility and authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.

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<b>Standard Number PER-002-0 Operating Personnel Training</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1	The responsible entity failed to staff 5% or less with adequately trained operating personnel.	The responsible failed to staff more than 5% up to (and including) 10% with adequately trained operating personnel.	The responsible entity failed to staff more than 10% up to (and including) 15% with adequately trained operating personnel.	The responsible entity failed to staff more than 15% with adequately trained operating personnel.
R2	The responsible entity did not train operating personnel for positions described in R2.1 or R2.2 affecting 5% or less of its operating personnel.	The responsible entity did not train operating personnel for positions described in R2.1 or R2.2, affecting more than 5% up to (and including) 10% of its operating personnel.	The responsible entity did not train operating personnel for positions described in R2.1 or R2.2, affecting more than 10% up to (and including) 15% of its operating personnel.	The responsible entity did not train operating personnel for positions described in R2.1 or R2.2, affecting more than 15% of its operating personnel.
R3	The responsible entity did not comply with one of the following subrequirements: R3.1, R3.2, R3.3, or R3.4.	The responsible entity did not comply with two of the following subrequirements: R3.1, R3.2, R3.3, or R3.4.	The responsible entity did not comply with three of the following subrequirements: R3.1, R3.2, R3.3, or R3.4.	The responsible entity did not comply with any of the following subrequirements: R3.1, R3.2, R3.3, and R3.4.
R4	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting 5% or less of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 5% up to (and including) 10% of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 10% up to (and including) 15% of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 15% of its operating personnel.

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<b>Standard Number PER-003-0 Operating Personnel Credentials</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1	NA	NA	NA	The responsible entity did not staff all of its operating positions with personnel that are NERC-certified as required by the criteria described in R1.1 and R1.2

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<b>Standard Number PER-004-1 Reliability Coordination - Staffing</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	N/A	The responsible entity has failed to be staffed with adequately trained and NERC-certified Reliability Coordinator operators, 24 hours per day, seven days per week.
R2	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting 5% or less of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 5% up to (and including) 10% of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 10% up to (and including) 15%, of its operating personnel.	The responsible entity did not provide five days per year of training and drills, as directed by the requirement, affecting more than 15% of its operating personnel.
R3	5% or less of the Reliability Coordinator operating personnel did not have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.	More than 5% up to (and including) 10% of the Reliability Coordinator operating personnel did not have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.	More than 10% up to (and including) 15% of the Reliability Coordinator operating personnel did not have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.	More than 15% of the Reliability Coordinator operating personnel did not have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.
R4	5% or less of the Reliability Coordinator operating personnel did not have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation Operators within the Reliability Coordinator	More than 5% up to (and including) 10% of the Reliability Coordinator operating personnel did not have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation	More than 10% up to (and including) 15% of the Reliability Coordinator operating personnel did not have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation	More than 15% of the Reliability Coordinator operating personnel did not have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation Operators within the Reliability

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<b>Standard Number PER-004-1 Reliability Coordination - Staffing</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
	Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and operational restrictions.	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.	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.	Coordinator Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and operational restrictions.
R5	Reliability Coordinator operating personnel did not place particular attention on 5% or less of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 5% up to (and including) 10% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 10% up to (and including) 15% of the SOLs or IROLs or inter-tie facility limits.	Reliability Coordinator operating personnel did not place particular attention on more than 15% of the SOLs or IROLs or inter-tie facility limits.  OR  The Reliability Coordinator did not ensure protocols are in place to allow Reliability Coordinator operating personnel to have the best available information at all times.

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<b>Standard Number NUC-001-0 Nuclear Plant Interface Coordination</b>				
<b>R#</b>	<b>Lower VSL</b>	<b>Moderate VSL</b>	<b>High VSL</b>	<b>Severe VSL</b>
R1	The Nuclear Plant Generator Operator provided the NPIRs to the applicable entities but did not verify receipt	The Nuclear Plant Generator Operator did not provide the proposed NPIR's to one of the applicable entities.	The Nuclear Plant Generator Operator did not provide the proposed NPIR's to two of the applicable entities.	The Nuclear Plant Generator Operator did not provide the proposed NPIR's to more than two of the applicable entities.
R2	N/A	N/A	N/A	The Nuclear Plant Generator Operator or the applicable Transmission Entity does not have in effect one or more agreements that include mutually agreed to NPIRs and document the implementation of the NPIRs.
R3	N/A	The responsible entity incorporated the NPIRs into its planning analyses but did not communicate the results to the Nuclear Plant Generator Operator.	N/A	The responsible entity did not incorporate the NPIRs into its planning analyses of the electric system.
R4	N/A	N/A	The responsible entity did not comply with sub-requirement R4.3 but is compliant with subrequirements R4.1 and R4.2.	The responsible entity did not comply with one of the following subrequirements: R4.1 or R4.2.
R5	N/A	N/A	N/A	The Nuclear Plant Generator Operator failed to operate per the Agreements developed in accordance with this standard.

Standard Number NUC-001-0 Nuclear Plant Interface Coordination				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
R6	N/A	N/A	N/A	The responsible entity failed to coordinate an outage or maintenance activity which affected an NPIR.
R7	N/A	The Nuclear Plant Generator Operator did not inform the applicable Transmission Entities of a <u>proposed</u> change to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	N/A	The Nuclear Plant Generator Operator did not inform the applicable Transmission Entities of an <u>actual</u> change to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.
R8	N/A	The applicable Transmission Entity did not inform the Nuclear Plant Generator Operator of a <u>proposed</u> change to transmission system design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	N/A	The applicable Transmission Entity did not inform the Nuclear Plant Generator Operator of an <u>actual</u> change to transmission system design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.
R9	The agreement identified in R2 between the Nuclear Plant Generator Operator and the applicable Transmission Entities is missing one or more	The agreement identified in R2 between the Nuclear Plant Generator Operator and the applicable Transmission Entities is missing from one to five of the combined sub-	The agreement identified in R2 between the Nuclear Plant Generator Operator and the applicable Transmission Entities is missing from six to ten of the combined sub-	The agreement identified in R2 between the Nuclear Plant Generator Operator and the applicable Transmission Entities is missing eleven or more of the combined sub-

Standard Number NUC-001-0 Nuclear Plant Interface Coordination				
R#	Lower VSL	Moderate VSL	High VSL	Severe VSL
	sub-components of R9.1.	components in R9.2, R9.3 and R9.4.	components in R9.2, R9.3 and R9.4.	components in R9.2, R9.3 and R9.4.