

Violation Risk Factors — Version 1 Standards Pre-ballot Matrix

The following table lists the Violation Risk Factors (VRFs) for the requirements in the following Version 1 Balancing and Interchange standards:

- BAL-006-1 — Inadvertent Interchange
- INT-001-2 — Interchange Information
- INT-003-1 — Interchange Transaction Information
- INT-004-1 — Interchange Transaction Modification
- INT-005-1 — Interchange Authority Distributes Arranged Interchange
- INT-006-1 — Response to Interchange Authority
- INT-007-1 — Interchange Confirmation
- INT-008-1 — Interchange Authority Distributes Status
- INT-009-1 — Implementation of Interchange
- INT-010-1 — Interchange Coordination Exemptions

These VRFs are the weighted average of the stakeholder VRF selections from the second posting of the Version 1 VRF survey.

BAL-006-1 — Inadvertent Interchange			
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
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	LOWER

Version 1 Violation Risk Factors for Balancing and Interchange Standards BAL-006-1, INT-001-1, INT-003-1 through INT-010-1

BAL-006-1 — Inadvertent Interchange			
		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).	
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

INT-001-2 — Interchange Information			
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-003-1 — Interchange Transaction Information			
INT-003-1	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-003-1	R1.1.	The Sending Balancing Authority and Receiving Balancing Authority shall agree on Interchange as received from the Interchange Authority, including:	LOWER
INT-003-1	R1.1.1.	Interchange Schedule start and end time.	LOWER
INT-003-1	R1.1.2.	Energy profile.	LOWER
INT-003-1	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 — Interchange Transaction Modification			
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	LOWER

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INT-004-1 — Interchange Transaction Modification			
		following occurs:	
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 — Interchange Authority Distributes Arranged Interchange			
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 — Response to Interchange Authority			
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

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INT-007-1 — Interchange Confirmation			
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
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 — Interchange Authority Distributes Status			
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 — Implementation of Interchange			
INT-009-1	R1.	The Balancing Authority shall implement Confirmed Interchange as received from the Interchange Authority.	MEDIUM

INT-010-1 — Interchange Coordination Exemptions			
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	LOWER

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INT-010-1 — Interchange Coordination Exemptions			
		is required.	
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