

### Standard Development Roadmap

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#### Development Steps Completed:

1. SAC approves SAR for posting (March 10, 2002).
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This is the third draft of the standard to be posted, along with the associated implementation plan and a reference document, for a 30-day pre-ballot review.

#### Future Development Plan:

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1. Post for 30-day pre-ballot period.	January 17–February 15, 2006
2. Conduct ballot.	February 20–March 1, 2006
3. Post response to comments on 1 <sup>st</sup> ballot.	March 8, 2006
4. Conduct 2 <sup>nd</sup> ballot.	March 13–23, 2006
5. Post for 30-day period prior to board adoption.	April 1–30, 2006
6. Board adoption.	May 1, 2006
7. Effective date.	January 1, 2007

## DEFINITIONS OF TERMS USED IN STANDARD

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**Interchange:** Energy transfers that cross Balancing Authority boundaries.

**Arranged Interchange:** The state where the Interchange Authority has received the Interchange information (initial or revised).

**Confirmed Interchange:** The state where the Interchange Authority has verified the Arranged Interchange.

**Interchange Authority:** The responsible entity that authorizes implementation of valid and balanced Interchange Schedules between Balancing Authority Areas, and ensures communication of Interchange information for reliability assessment purposes.

**Request for Interchange (RFI):** A collection of data as defined in the NAESB RFI Datasheet, to be submitted to the Interchange Authority for the purpose of implementing bilateral Interchange between a Source and Sink Balancing Authority.

## A. Introduction

1. **Title:** Interchange Authority Distributes Arranged Interchange
2. **Number:** INT-005-1
3. **Purpose:** To ensure that the implementation of Interchange between Source and Sink Balancing Authorities is distributed by an Interchange Authority such that Interchange information is available for reliability assessments.
4. **Applicability**
  - 4.1. Interchange Authority.
5. **Proposed Effective Date:** January 1, 2007.

## B. Requirements

- 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.
  - 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.

## C. Measures

- M1. For each Arranged Interchange, the Interchange Authority shall be able to provide evidence that it has distributed the Arranged Interchange information to all reliability entities involved in the Interchange within the applicable time frame.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last non-compliance to Requirement 1.
  - 1.3. **Data Retention**

The Interchange Authority shall keep 90 days of historical data. The Compliance Monitor shall keep audit records for a minimum of three calendar years.
  - 1.4. **Additional Compliance Information**

Each Interchange Authority shall demonstrate compliance to the Compliance Monitor within the first year that this standard becomes effective or the first year the entity commences operation by self-certification to the Compliance Monitor.

Subsequent to the initial compliance review, compliance may be:

    - 1.4.1 Verified by audit at least once every three years.
    - 1.4.2 Verified by spot checks in years between audits.

- 1.4.3 Verified by annual audits of noncompliant Interchange Authorities, until compliance is demonstrated.
- 1.4.4 Verified at any time as the result of a specific complaint of failure to perform R1. Complaints must be lodged within 60 days of the incident. The Compliance Monitor will evaluate complaints.

Each Interchange Authority shall make the following available for inspection by the Compliance Monitor upon request:

- 1.4.5 For compliance audits and spot checks, relevant data and system log records for the audit period which indicate the Interchange Authority’s distribution of all Arranged Interchange information to all reliability entities involved in an Interchange. The Compliance Monitor may request up to a three month period of historical data ending with the date the request is received by the Interchange Authority.
- 1.4.6 For specific complaints, only those data and system log records associated with the specific Interchange event contained in the complaint which indicate that the Interchange Authority distributed the Arranged Interchange information to all reliability entities involved in that specific Interchange.

**2. Levels of Non-Compliance**

- 2.1. **Level 1:** One occurrence<sup>1</sup> of not distributing information to all involved reliability entities as described in R1.
- 2.2. **Level 2:** Two occurrences<sup>1</sup> of not distributing information to all involved reliability entities as described in R1.
- 2.3. **Level 3:** Three occurrences<sup>1</sup> of not distributing information to all involved reliability entities as described in R1.
- 2.4. **Level 4:** Four or more occurrences<sup>1</sup> of not distributing information to all involved reliability entities as described in R1 or no evidence provided.

**E. Regional Differences**

- 1. None

**Version History**

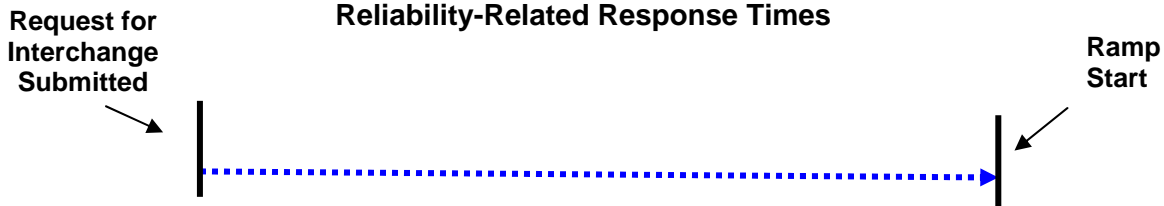
Version	Date	Action	Change Tracking

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<sup>1</sup> This does not include instances of not distributing information due to extenuating circumstances approved by the Compliance Monitor.

**Timing Table**

**Interchange Timeline with Minimum Reliability-Related Response Times**



	A	B	C	D	
<b>If Actual Arranged Interchange (RFI) is Submitted</b>	<b>IA Makes Initial Distribution of Arranged Interchange</b>	<b>BA and TSP Conduct Reliability Assessments IA Verifies Reliability Data Complete</b>	<b>IA Compiles and Distributes Status</b>	<b>BA Prepares Confirmed Interchange for Implementation</b>	<b>Minimum Total Reliability Period (Columns A through D)</b>
≤1 hour prior to ramp start	≤ 1 minute from RFI submission	≤ 10 minutes from Arranged Interchange receipt from IA for all Interconnections except WECC	≤ 1 minute from receipt of all Reliability Assessments	≥ 3 minutes prior to ramp start	15 minutes
≤1 hour prior to ramp start	≤ 1 minute from RFI submission	≤ 5 minutes from Arranged Interchange receipt from IA for WECC	≤ 1 minute from receipt of all Reliability Assessments	≥ 3 minutes prior to ramp start	10 minutes
>1 hour to < 4 hours prior to ramp start	≤ 1 minute from RFI submission	≤ 20 minutes from Arranged Interchange receipt from IA	≤ 1 minute from receipt of all Reliability Assessments	≥ 39 minutes prior to ramp start	1 hour plus 1 minute
≥ 4 hours prior to ramp start	≤ 1 minute from RFI submission	≤ 2 hours from Arranged Interchange receipt from IA	≤ 1 minute from receipt of all Reliability Assessments	≥ 1 hour 58 minutes prior to ramp start	4 hours

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### Description of Current Draft:

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**Confirmed Interchange:** The state where the Interchange Authority has verified the Arranged Interchange.

## A. Introduction

1. **Title:** Response to Interchange Authority
2. **Number:** INT-006-1
3. **Purpose:** To ensure that each Arranged Interchange is checked for reliability before it is implemented.
4. **Applicability**
  - 4.1. Balancing Authority.
  - 4.2. Transmission Service Provider.
5. **Proposed Effective Date:** January 1, 2007

## B. Requirements

- 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.
  - R1.1. Each involved Balancing Authority shall evaluate the Arranged Interchange with respect to:
    - R1.1.1. Energy profile (ability to support the magnitude of the Interchange).
    - R1.1.2. Ramp (ability of generation maneuverability to accommodate).
    - R1.1.3. Scheduling path (proper connectivity of Adjacent Balancing Authorities).
  - 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.

## C. Measures

- M1. The Balancing Authority and Transmission Service Provider shall each provide evidence that it responded, relative to transitioning an Arranged Interchange to a Confirmed Interchange, to each request from an Interchange Authority within the reliability assessment period defined in the Timing Table, Column B.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last non-compliance to Requirement 1.
  - 1.3. **Data Retention**

The Balancing Authority and Transmission Service Provider shall each keep 90 days of historical data. The Compliance Monitor shall keep audit records for a minimum of three calendar years.
  - 1.4. **Additional Compliance Information**

The Balancing Authority and Transmission Service Provider shall demonstrate compliance to the Compliance Monitor within the first year that this standard becomes effective or the first year the entity commences operation by self-certification to the Compliance Monitor.

Subsequent to the initial compliance review, compliance may be:

    - 1.4.1. Verified by audit at least once every three years.



- 1.4.2 Verified by spot checks in years between audits.
- 1.4.3 Verified by annual audits of non-compliant Interchange Authorities, until compliance is demonstrated.
- 1.4.4 Verified at any time as the result of a complaint. Complaints must be lodged within 60 days of the incident. The Compliance Monitor will evaluate complaints.

The Balancing Authority, and Transmission Service Provider shall make the following available for inspection by the Compliance Monitor upon request:

- 1.4.5 For compliance audits and spot checks, relevant data and system log records and agreements for the audit period which indicate a reliability entity identified in R1 responded to all instances of the Interchange Authority’s communication under Reliability Standard INT-005 Requirement 1 concerning the pending transition of an Arranged Interchange to Confirmed Interchange. The Compliance Monitor may request up to a three month period of historical data ending with the date the request is received by the Balancing Authority, or Transmission Service Provider.
- 1.4.6 For specific complaints, agreements and those data and system log records associated with the specific Interchange event contained in the complaint which indicates a reliability entity identified in R1 has responded to the Interchange Authority’s communication under INT-005 R1 concerning the pending transition of Arranged Interchange to Confirmed Interchange for that specific Interchange.

**2. Levels of Non-Compliance**

- 2.1. **Level 1:** One occurrence<sup>1</sup> of not responding to the Interchange Authority as described in R1.
- 2.2. **Level 2:** Two occurrences<sup>1</sup> of not responding to the Interchange Authority as described in R1.
- 2.3. **Level 3:** Three occurrences<sup>1</sup> of not responding to the Interchange Authority as described in R1.
- 2.4. **Level 4:** Four or more occurrences<sup>1</sup> of not responding to the Interchange Authority as described in R1 or no evidence provided.

**E. Regional Differences**

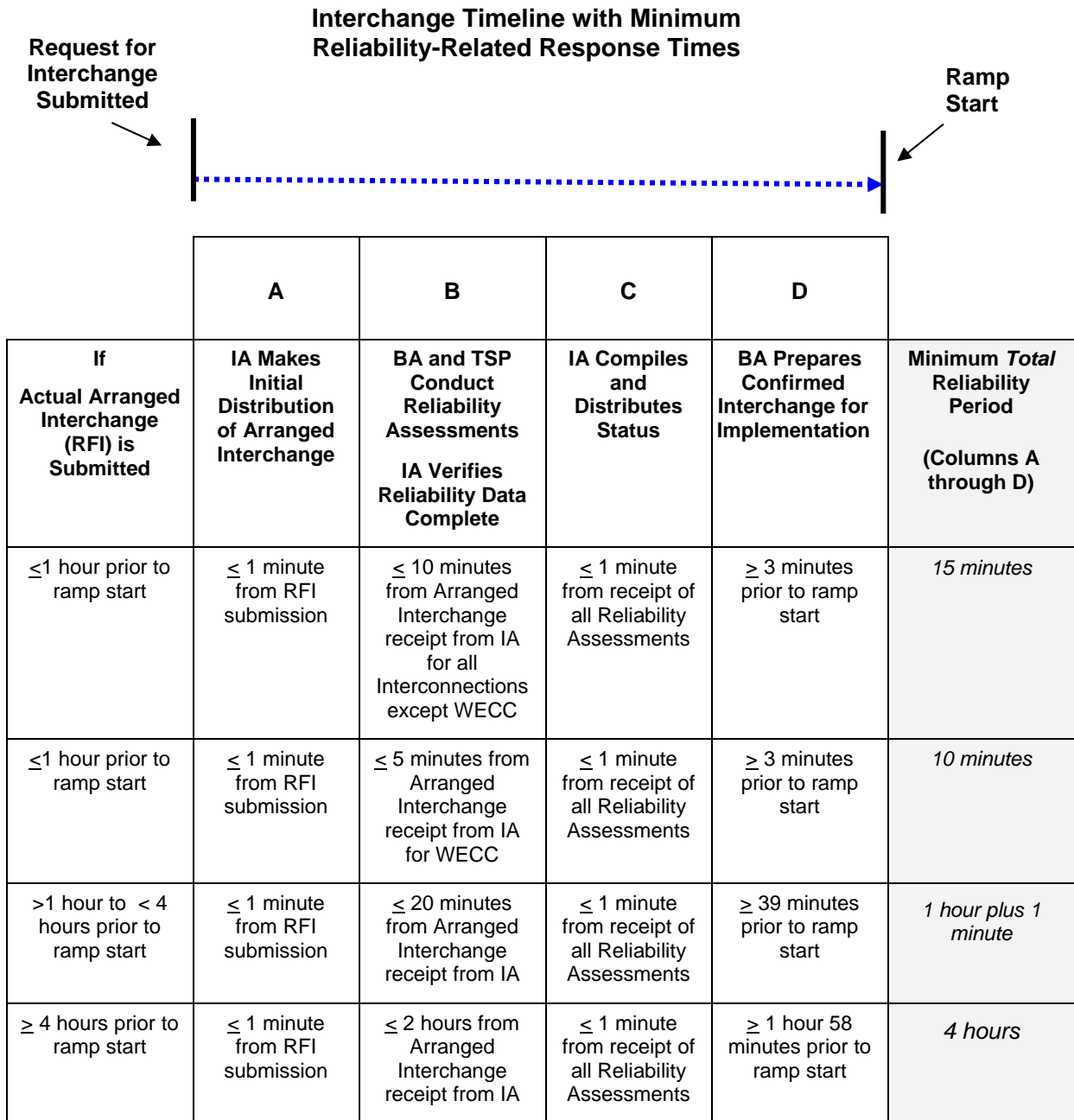
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**Version History**

Version	Date	Action	Change Tracking

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**Timing Table**



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No terms introduced in this standard.

## A. Introduction

1. **Title:** Interchange Confirmation
2. **Number:** INT-007-1
3. **Purpose:** To ensure that each Arranged Interchange is checked for reliability before it is implemented.
4. **Applicability**
  - 4.1. Interchange Authority.
5. **Proposed Effective Date:** January 1, 2007

## B. Requirements

- 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:
  - R1.1. Source Balancing Authority megawatts equal sink Balancing Authority megawatts (adjusted for losses, if appropriate).
  - R1.2. All reliability entities involved in the Arranged Interchange are currently in the NERC registry.
  - R1.3. The following are defined:
    - R1.3.1. Generation source and load sink.
    - R1.3.2. Megawatt profile.
    - R1.3.3. Ramp start and stop times.
    - R1.3.4. Interchange duration.
  - 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.

## C. Measures

- M1. For each Arranged Interchange, the Interchange Authority shall show evidence that it has verified the Arranged Interchange information prior to the dissemination of the Confirmed Interchange.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last noncompliance to Requirement 1.
  - 1.3. **Data Retention**

The Interchange Authority shall keep 90 days of historical data. The Compliance Monitor shall keep audit records for a minimum of three calendar years.

**1.4. Additional Compliance Information**

Each Interchange Authority shall demonstrate compliance to the Compliance Monitor within the first year that this standard becomes effective or the first year the entity commences operation by self-certification to the Compliance Monitor.

Subsequent to the initial compliance review, compliance may be:

- 1.4.1** Verified by audit at least once every three years.
- 1.4.2** Verified by spot checks in years between audits.
- 1.4.3** Verified by annual audits of noncompliant Interchange Authorities, until compliance is demonstrated.
- 1.4.4** Verified at any time as the result of a complaint. Complaints must be lodged within 60 days of the incident. Complaints will be evaluated by the Compliance Monitor.

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- 1.4.5** For compliance audits and spot checks, relevant data and system log records for the audit period which indicate an Interchange Authority’s verification that all Arranged Interchange was balanced and valid as defined in R1. The Compliance Monitor may request up to a three-month period of historical data ending with the date the request is received by the Interchange Authority.
- 1.4.6** For specific complaints, only those data and system log records associated with the specific Interchange event contained in the complaint which indicate an Interchange Authority’s verification that an Arranged Interchange was balanced and valid as defined in R1 for that specific Interchange

**2. Levels of Non-Compliance**

- 2.1. Level 1:** One occurrence<sup>1</sup> where Interchange-related data was not verified as defined in R1.
- 2.2. Level 2:** Two occurrences where Interchange-related data was not verified as defined in R1.
- 2.3. Level 3:** Three occurrences where Interchange-related data was not verified as defined in R1.
- 2.4. Level 4:** Four or more occurrences where Interchange-related data was not verified as defined in R1.

**E. Regional Differences**

- 1. None

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No terms introduced in this standard.

## A. Introduction

1. **Title:** Interchange Authority Distributes Status
2. **Number:** INT-008-1
3. **Purpose:** To ensure that the implementation of Interchange between Source and Sink Balancing Authorities is coordinated by an Interchange Authority.
4. **Applicability**
  - 4.1. Interchange Authority.
5. **Proposed Effective Date:** January 1, 2007

## B. Requirements

- 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.
  - R1.1. For Confirmed Interchange, the Interchange Authority shall also communicate:
    - R1.1.1. Start and stop times, ramps, and megawatt profile to Balancing Authorities.
    - R1.1.2. Necessary Interchange information to NERC-identified reliability analysis services.

## C. Measures

- M1. For each Arranged Interchange, the Interchange Authority shall provide evidence that it has distributed the final status and Confirmed Interchange information specified in Requirement 1 to all Balancing Authorities, Transmission Service Providers and Purchasing-Selling Entities involved in the Arranged Interchange within the time period defined in the Timing Table, Column C. If denied, the Interchange Authority shall tell all involved parties that approval has been denied.
  - M1.1 For each Arranged Interchange that includes a direct current tie, the Interchange Authority shall provide evidence that it has communicated the final status to the Balancing Authorities on both sides of the direct current tie, even if the Balancing Authorities are neither the Source nor Sink for the Interchange.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last non-compliance to R1.
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#### 2. Levels of Non-Compliance

- 2.1. **Level 1:** One occurrence<sup>1</sup> of not distributing final status and information as described in R1.
- 2.2. **Level 2:** Two occurrences<sup>1</sup> of not distributing final status and information as described in R1.
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**Version History**

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**Timing Table**



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## DEFINITIONS OF TERMS USED IN STANDARD

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**Implemented Interchange:** The state where the Balancing Authority enters the Confirmed Interchange into its Area Control Error equation.

## A. Introduction

1. **Title:** Implementation of Interchange
2. **Number:** INT-009-1
3. **Purpose:** To ensure that the implementation of Interchange between Source and Sink Balancing Authorities is coordinated by an Interchange Authority such that the Balancing Authorities implement the Interchange exactly as agreed upon in the Interchange confirmation process.
4. **Applicability**
  - 4.1. Balancing Authority.
5. **Proposed Effective Date:** January 1, 2007

## B. Requirements

- R1. The Balancing Authority shall implement Confirmed Interchange as received from the Interchange Authority.

## C. Measures

- M1. The Balancing Authority shall provide evidence that Implemented Interchange matches Confirmed Interchange as submitted by the Interchange Authority.
  - M1.1 Evidence shall demonstrate that the Interchange was implemented in the Balancing Authority's Area Control Error (ACE) equation, or the system that calculates the ACE equation. Evidence may be on a net basis or an individual Interchange basis.
  - M1.2 Balancing Authorities that are interconnected with a direct current tie shall demonstrate that the Interchange was implemented in the ACE equation or modeled as an equivalent generator/load within its area.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last noncompliance to Requirement 1.

**Data Retention**

The Balancing Authority and Interchange Authority shall each keep 90 days of historical data. The Compliance Monitor shall keep audit records for a minimum of three calendar years.
  - 1.3. **Additional Compliance Information**

Each Balancing Authority shall demonstrate compliance to the Compliance Monitor within the first year that this standard becomes effective or the first year the entity commences operation by self-certification to the Compliance Monitor.

Subsequent to the initial compliance review, compliance may be:

    - 1.3.1 Verified by audit at least once every three years.



- 1.3.2 Verified by spot checks in years between audits.
- 1.3.3 Verified by annual audits of non-compliant Balancing Authorities, until compliance is demonstrated.
- 1.3.4 Verified at any time as the result of a complaint. Complaints must be lodged within 60 days of the incident. The Compliance Monitor will evaluate complaints.

The Balancing Authorities shall make the following available for inspection by the Compliance Monitor upon request:

- 1.3.5 For compliance audits and spot checks, relevant data and system log records for the audit period which indicate a Balancing Authority implemented all instances of the Interchange Authority’s communication under R1 concerning the implementation of a Confirmed Interchange. The Compliance Monitor may request up to a three month period of historical data ending with the date the request is received by the Balancing Authority
- 1.3.6 For specific complaints, only those data and system log records associated with the specific Interchange event contained in the complaint which indicates a Balancing Authority implemented the Interchange Authority’s communication under R1 concerning the implementation of the Confirmed Interchange for that specific Interchange.

**2. Levels of Non-Compliance**

- 2.1. **Level 1:** One occurrence<sup>1</sup> of not implementing a Confirmed Interchange as described in R1.
- 2.2. **Level 2:** Two occurrences<sup>1</sup> of not implementing a Confirmed Interchange as described in R1.
- 2.3. **Level 3:** Three occurrences<sup>1</sup> of not implementing a Confirmed Interchange as described in R1.
- 2.4. **Level 4:** Four or more occurrences<sup>1</sup> of not implementing a Confirmed Interchange as described in R1 or no evidence provided.

**E. Regional Differences**

- 1. None

**Version History**

Version	Date	Action	Change Tracking

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<sup>1</sup> This does not include instances of not implementing due to extenuating circumstances approved by the Compliance Monitor.

### Standard Development Roadmap

*This section is maintained by the drafting team during the development of the standard and will be removed when the standard becomes effective.*

#### Development Steps Completed:

1. SAC approves SAR for posting (March 10, 2002).
2. Drafting Team posts Draft SAR for comment (April 2–May 3, 2002) (August 29–September 30, 2002) (January 31–March 7, 2003)
3. SAC approves development of standard (May 21, 2003)
4. JIC assigns development of standard to NERC (June 2, 2003)
5. The SAC appoints a standard drafting team (June 13, 2003)
6. The drafting team posts its first draft of the proposed standards (December 15, 2003–February 12, 2004)
7. Drafting team delays action in re-posting the standards pending finalization of Version 0 Standards and changes to the Functional Model — SAC directs Drafting Team to continue developing standards without waiting any longer for the Functional Model to be revised (May 25, 2005)
8. Drafting team posts its second draft for industry comment from September 1–October 15, 2005.

#### Description of Current Draft:

This is the third draft of the standard to be posted, along with the associated implementation plan and a reference document, for a 30-day pre-ballot review.

#### Future Development Plan:

Anticipated Actions	Anticipated Date
1. Post for 30-day pre-ballot period.	January 17–February 15, 2006
2. Conduct ballot.	February 20–March 1, 2006
3. Post response to comments on 1 <sup>st</sup> ballot.	March 8, 2006
4. Conduct 2 <sup>nd</sup> ballot.	March 13–23, 2006
5. Post for 30-day period prior to board adoption.	April 1–30, 2006
6. Board adoption.	May 1, 2006
7. Effective date.	January 1, 2007

### DEFINITIONS OF TERMS USED IN STANDARD

*This section includes all newly defined or revised terms used in the proposed standard. Terms already defined in the Reliability Standards Glossary of Terms are not repeated here. New or revised definitions listed below become approved when the proposed standard is approved. When the standard becomes effective, these defined terms will be removed from the individual standard and added to the Glossary.*

No terms introduced in this standard.

## A. Introduction

1. **Title:** Interchange Coordination Exemptions
2. **Number:** INT-010-1
3. **Purpose:** Allow certain types of Interchange schedules to be initiated or modified by reliability entities, and to be exempt from compliance with other Interchange Standards under abnormal operating conditions.
4. **Applicability**
  - 4.1. Balancing Authority.
  - 4.2. Reliability Coordinator.
5. **Proposed Effective Date:** January 1, 2007

## B. Requirements

- 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.
- 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.
- 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.

## C. Measures

- M1. The Balancing Authority that uses its energy sharing agreement where the duration exceeds 60 minutes shall have evidence it submitted Arranged Interchange per Requirement 1.
- M2. The Reliability Coordinator that directs a modification to an existing Interchange shall have evidence that a directive was issued to submit the Arranged Interchange in accordance with Requirement 2.
- M3. The Reliability Coordinator that directs the initiation of a new Interchange shall have evidence that a directive was issued to submit the Arranged Interchange in accordance with Requirement 3.

## D. Compliance

1. **Compliance Monitoring Process**
  - 1.1. **Compliance Monitoring Responsibility**

Regional Reliability Organization.
  - 1.2. **Compliance Monitoring Period and Reset Timeframe**

The Performance-Reset Period shall be twelve months from the last noncompliance to R1, R2, or R3.

### 1.3. Data Retention

The Balancing Authority and Reliability Coordinator shall each keep 90 days of historical data. The Compliance Monitor shall keep audit records for a minimum of three calendar years.

### 1.4. Additional Compliance Information

Each Balancing Authority and Reliability Coordinator shall demonstrate compliance to the Compliance Monitor within the first year that this standard becomes effective or the first year the entity commences operation by self-certification to the Compliance Monitor.

Subsequent to the initial compliance review, compliance may be:

- 1.4.1 Verified by audit at least once every three years.
- 1.4.2 Verified by spot checks in years between audits.
- 1.4.3 Verified by annual audits of non-compliant Balancing Authorities and Reliability Coordinators, until compliance is demonstrated.
- 1.4.4 Verified at any time as the result of a complaint. Complaints must be lodged within 60 days of the incident. The Compliance Monitor will evaluate complaints.

The Balancing Authority and Reliability Coordinator shall make the following available for inspection by the Compliance Monitor upon request:

- 1.4.5 For compliance audits and spot checks, relevant data and system log records for the audit period which indicate a Balancing Authority or Reliability Coordinator acted in compliance with INT-010. The Compliance Monitor may request up to a three month period of historical data ending with the date the request is received by the Balancing Authority
- 1.4.6 For specific complaints, only those data and system log records associated with the specific Interchange event contained in the complaint which indicates a Balancing Authority or Reliability Coordinator failed to act in compliance with INT-010.

## 2. Levels of Non-Compliance

2.1. **Level 1:** There shall be a level one non-compliance if either of the following conditions is present:

- 2.1.1 One occurrence of not submitting an Arranged Interchange as described in R1.
- 2.1.2 One occurrence of not directing the submittal of a new or modified Arranged Interchange as described in R2 or R3.

2.2. **Level 2:** There shall be a level two non-compliance if either of the following conditions is present:

- 2.2.1 Two occurrences of not submitting an Arranged Interchange as described in R1.
- 2.2.2 Two occurrences of not directing the submittal of a new or modified Arranged Interchange as described in R2 or R3.

2.3. **Level 3:** There shall be a level three non-compliance if either of the following conditions is present:

- 2.3.1 Three occurrences of not submitting an Arranged Interchange as described in R1.
- 2.3.2 Three occurrences of not directing the submittal of a new or modified Arranged Interchange as described in R2 or R3.
- 2.4. **Level 4:** There shall be a level three non-compliance if any of the following conditions is present:
  - 2.4.1 Four or more occurrences of not submitting an Arranged Interchange as described in R1.
  - 2.4.2 Four or more occurrences of not directing the submittal of a new or modified Arranged Interchange as described in R2 or R3.
  - 2.4.3 No evidence provided.

**E. Regional Differences**

- 1. None

**Version History**

Version	Date	Action	Change Tracking