

## A. Introduction

### 1. Title: Interchange Information

2. Number: INT-001-~~2~~3

### 3. Purpose:

To ensure that Interchange information is submitted to the NERC-identified reliability analysis service.

### 4. Applicability:

4.1. Purchase-Selling Entities.

4.2. Balancing Authorities.

5. Effective Date: ~~January 1, 2007~~ First day of first month after BOT adoption.

## B. Requirements

**R1.** The Load-Serving, Purchasing-Selling Entity shall ensure that Arranged Interchange is submitted to the Interchange Authority for:

**R1.1.** All Dynamic Schedules at the expected average MW profile for each hour.

**R2.** The Sink Balancing Authority shall ensure that Arranged Interchange is submitted to the Interchange Authority:

**R2.1.** If a Purchasing-Selling Entity is not involved in the Interchange, such as delivery from a jointly owned generator.

**R2.2.** For each bilateral Inadvertent Interchange payback.

## C. Measures

**M1.** The Purchasing-Selling Entity that serves the load shall have and provide upon request evidence that could include but is not limited to, its Interchange Transaction tags operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts or other equivalent evidence that will be used to confirm that Arranged Interchange was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour as specified in Requirement 1.

**M2.** Each Sink Balancing Authority shall have and provide upon request evidence that could include but is not limited to, Interchange Transaction tags operator logs, voice recordings or transcripts of voice recordings, electronic communications, computer printouts, or other equivalent evidence that will be used to confirm that Arranged Interchange was submitted to the Interchange Authority as specified in Requirements 2.1 and 2.2.

## D. Compliance

### 1. Compliance Monitoring Process

#### 1.1. Compliance Monitoring Responsibility

Regional Reliability Organizations shall be responsible for compliance monitoring.

## 1.2. Compliance Monitoring and Reset Time Frame

One or more of the following methods will be used to assess compliance:

- Self-certification (Conducted annually with submission according to schedule.)
- Spot Check Audits (Conducted anytime with up to 30 days notice given to prepare.)
- Periodic Audit (Conducted once every three years according to schedule.)
- Triggered Investigations (Notification of an investigation must be made within 60 days of an event or complaint of noncompliance. The entity will have up to 30 days to prepare for the investigation. An entity may request an extension of the preparation period and the extension will be considered by the Compliance Monitor on a case-by-case basis.)

The Performance-Reset Period shall be 12 months from the last finding of non-compliance.

## 1.3. Data Retention

The Purchasing-Selling Entity that serves load and Sink Balancing Authority shall each keep 90 days of historical data (evidence).

If an entity is found non-compliant the entity shall keep information related to the noncompliance until found compliant or for two years plus the current year, whichever is longer.

Evidence used as part of a triggered investigation shall be retained by the entity being investigated for one year from the date that the investigation is closed, as determined by the Compliance Monitor,

The Compliance Monitor shall keep the last periodic audit report and all requested and submitted subsequent compliance records.

## 1.4. Additional Compliance Information

None.

## 2. Levels of Non-Compliance for Sink Balancing Authorities:

- 2.1. **Level 1:** One instance of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and R2.2.
- 2.2. **Level 2:** Two instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.
- 2.3. **Level 3:** Three instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.
- 2.4. **Level 4:** Four or more instances of not submitting Arranged Interchange to the Interchange Authority as specified in R2.1 and 2.2.

## 3. Levels of Non-Compliance for Purchasing-Selling Entities that Serve Load:

- 3.1. **Level 1:** One instance of not submitting Arranged Interchange to the Interchange Authority as specified in R1.

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- 3.2. **Level 2:** Two instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.
- 3.3. **Level 3:** Three instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.
- 3.4. **Level 4:** Four or more instances of not submitting Arranged Interchange to the Interchange Authority as specified in R1.

### E. Regional Differences

~~1. [WECC Tagging Dynamic Schedules and Inadvertent Payback Waiver effective on November 21, 2002.](#)~~

~~2.1.~~ [MISO Energy Flow Information Waiver](#) effective on July 16, 2003.

### Version History

Version	Date	Action	Change Tracking
0	April 1, 2005	Effective Date	New
1	May 2, 2006	Adopted by Board of Trustees	Revised
2	November 1, 2006	Adopted by Board of Trustees	Revised