

Complete Violation Severity Levels Matrix
Encompassing All Commission-Approved Reliability Standards

September 21, 2012

Change History Table is located at the end of the document

Complete Violation Severity Level Matrix (BAL) **Encompassing All Commission-Approved Reliability Standards**

Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-001-0.1a	R1.	Each Balancing Authority shall operate such that, on a rolling 12-month basis, the average of the clock-minute averages of the Balancing Authority's Area Control Error (ACE) divided by 10B (B is the clock-minute average of the Balancing Authority Area's Frequency Bias) times the corresponding clock-minute averages of the Interconnection's Frequency Error is less than a specific limit. This limit is a constant derived from a targeted frequency bound (separately calculated for each Interconnection) that is reviewed and set as necessary by the NERC Operating Committee. <i>See Standard for Formula.</i>	The Balancing Authority Area's value of CPS1 is less than 100% but greater than or equal to 95%.	The Balancing Authority Area's value of CPS1 is less than 95% but greater than or equal to 90%.	The Balancing Authority Area's value of CPS1 is less than 90% but greater than or equal to 85%.	The Balancing Authority Area's value of CPS1 is less than 85%.
BAL-001-0.1a	R2.	Each Balancing Authority shall operate such that its average ACE for at least 90% of clock-ten-minute periods (6 non-overlapping periods per hour) during a calendar month is within a specific limit, referred to as L ₁₀ . <i>See Standard for Formula.</i>	The Balancing Authority Area's value of CPS2 is less than 90% but greater than or equal to 85%.	The Balancing Authority Area's value of CPS2 is less than 85% but greater than or equal to 80%.	The Balancing Authority Area's value of CPS2 is less than 80% but greater than or equal to 75%.	The Balancing Authority Area's value of CPS2 is less than 75%.
BAL-001-0.1a	R3.	Each Balancing Authority providing Overlap Regulation Service shall evaluate Requirement R1 (i.e., Control Performance Standard 1 or CPS1) and Requirement R2 (i.e., Control Performance Standard 2 or CPS2) using the characteristics of the combined ACE and combined Frequency Bias Settings.	N/A	N/A	N/A	The Balancing Authority providing Overlap Regulation Service failed to use a combined ACE and frequency bias.
BAL-001-0.1a	R4.	Any Balancing Authority receiving Overlap Regulation Service shall not	N/A	N/A	N/A	The Balancing Authority receiving

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		have its control performance evaluated (i.e. from a control performance perspective, the Balancing Authority has shifted all control requirements to the Balancing Authority providing Overlap Regulation Service).				Overlap Regulation Service failed to ensure that control performance was being evaluated in a manner consistent with the calculation methodology as described in BAL-001-01 R3.
BAL-002-1	R1.	Each Balancing Authority shall have access to and/or operate Contingency Reserve to respond to Disturbances. Contingency Reserve may be supplied from generation, controllable load resources, or coordinated adjustments to Interchange Schedules.	N/A	N/A	N/A	The Balancing Authority does not have access to and/or operate Contingency Reserve to respond to Disturbances.
BAL-002-1	R1.1.	A Balancing Authority may elect to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group. In such cases, the Reserve Sharing Group shall have the same responsibilities and obligations as each Balancing Authority with respect to monitoring and meeting the requirements of Standard BAL-002.	N/A	N/A	N/A	The Balancing Authority has elected to fulfill its Contingency Reserve obligations by participating as a member of a Reserve Sharing Group and the Reserve Sharing Group has not provided the same responsibilities and obligations as required of the responsible entity with respect to monitoring and meeting the requirements of Standard BAL-002.
BAL-002-1	R2.	Each Regional Reliability Organization, sub-Regional Reliability	The Regional Reliability	The Regional Reliability	The Regional Reliability	The Regional Reliability

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		Organization or Reserve Sharing Group shall specify its Contingency Reserve policies, including:	Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify 1 of the following sub-requirements.	Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify 2 or 3 of the following sub-requirements.	Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify 4 or 5 of the following sub-requirements.	Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify all 6 of the following sub-requirements.
BAL-002-1	R2.1.	The minimum reserve requirement for the group.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify the minimum reserve requirement for the group.
BAL-002-1	R2.2.	Its allocation among members.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify the allocation of reserves among members.
BAL-002-1	R2.3.	The permissible mix of Operating Reserve – Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify the permissible mix of Operating Reserve –

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						Spinning and Operating Reserve – Supplemental that may be included in Contingency Reserve.
BAL-002-1	R2.4.	The procedure for applying Contingency Reserve in practice.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to provide the procedure for applying Contingency Reserve in practice.
BAL-002-1	R2.5.	The limitations, if any, upon the amount of interruptible load that may be included.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has failed to specify the limitations, if any, upon the amount of interruptible load that may be included.
BAL-002-1	R2.6.	The same portion of resource capacity (e.g. reserves from jointly owned generation) shall not be counted more than once as Contingency Reserve by multiple Balancing Authorities.	N/A	N/A	N/A	The Regional Reliability Organization, sub-Regional Reliability Organization, or Reserve Sharing Group has allowed the same portion of resource capacity (e.g., reserves from jointly owned generation) to be

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						counted more than once as Contingency Reserve by multiple Balancing Authorities.
BAL-002-1	R3.	Each Balancing Authority or Reserve Sharing Group shall activate sufficient Contingency Reserve to comply with the DCS.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 100% but greater than or equal to 95%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 95% but greater than or equal to 90%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 90% but greater than or equal to 85%.	The Balancing Authority or Reserve Sharing Group's Average Percent Recovery per the NERC DCS quarterly report was less than 85%.
BAL-002-1	R3.1.	As a minimum, the Balancing Authority or Reserve Sharing Group shall carry at least enough Contingency Reserve to cover the most severe single contingency. All Balancing Authorities and Reserve Sharing Groups shall review, no less frequently than annually, their probable contingencies to determine their prospective most severe single contingencies.	The Balancing Authority or Reserve Sharing Group failed to review their probable contingencies to determine their prospective most severe single contingencies annually.	N/A	N/A	The Balancing Authority or Reserve Sharing Group failed to carry at least enough Contingency Reserve to cover the most severe single contingency.
BAL-002-1	R4.	A Balancing Authority or Reserve Sharing Group shall meet the Disturbance Recovery Criterion within the Disturbance Recovery Period for 100% of Reportable Disturbances. The Disturbance Recovery Criterion is:	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 90% and less than 100% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 80% and less than or equal to 90% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 70% and less than or equal to 80% of Reportable Disturbances.	The Balancing Authority or Reserve Sharing Group met the Disturbance Recovery Criterion within the Disturbance Recovery Period for more than 0% and less than or equal to 70% of Reportable Disturbances.

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BAL-002-1	R4.1.	A Balancing Authority shall return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero. For negative initial ACE values just prior to the Disturbance, the Balancing Authority shall return ACE to its pre-Disturbance value.	N/A	N/A	N/A	The Balancing Authority failed to return its ACE to zero if its ACE just prior to the Reportable Disturbance was positive or equal to zero or for negative initial ACE values failed to return ACE to its pre-Disturbance value.
BAL-002-1	R4.2.	The default Disturbance Recovery Period is 15 minutes after the start of a Reportable Disturbance.	N/A	N/A	N/A	N/A
BAL-002-1	R5.	Each Reserve Sharing Group shall comply with the DCS. A Reserve Sharing Group shall be considered in a Reportable Disturbance condition whenever a group member has experienced a Reportable Disturbance and calls for the activation of Contingency Reserves from one or more other group members. (If a group member has experienced a Reportable Disturbance but does not call for reserve activation from other members of the Reserve Sharing Group, then that member shall report as a single Balancing Authority.) Compliance may be demonstrated by either of the following two methods:	The Reserve Sharing Group met the DCS requirement for more than 90% and less than 100% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 80% and less than or equal to 90% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 70% and less than or equal to 80% of Reportable Disturbances.	The Reserve Sharing Group met the DCS requirements for more than 0% and less than or equal to 70% of Reportable Disturbances.
BAL-002-1	R5.1.	The Reserve Sharing Group reviews group ACE (or equivalent) and demonstrates compliance to the DCS. To be in compliance, the group ACE (or its equivalent) must meet the	N/A	N/A	N/A	N/A

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		Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.				
BAL-002-1	R5.2.	The Reserve Sharing Group reviews each member's ACE in response to the activation of reserves. To be in compliance, a member's ACE (or its equivalent) must meet the Disturbance Recovery Criterion after the schedule change(s) related to reserve sharing have been fully implemented, and within the Disturbance Recovery Period.	N/A	N/A	N/A	N/A
BAL-002-1	R6.	A Balancing Authority or Reserve Sharing Group shall fully restore its Contingency Reserves within the Contingency Reserve Restoration Period for its Interconnection.	The Balancing Authority or Reserve Sharing Group restored less than 100% but greater than 90% of its contingency reserves during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than or equal to 90% but greater than 80% of its contingency reserves during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than or equal to 80% but greater than or equal to 70% of its Contingency Reserve during the Contingency Reserve Restoration Period.	The Balancing Authority or Reserve Sharing Group restored less than 70% of its Contingency Reserves during the Contingency Reserve Restoration Period.
BAL-002-1	R6.1.	The Contingency Reserve Restoration Period begins at the end of the Disturbance Recovery Period.	N/A	N/A	N/A	N/A
BAL-002-1	R6.2.	The default Contingency Reserve Restoration Period is 90 minutes.	N/A	N/A	N/A	N/A
BAL-003-0.1b	R1.	Each Balancing Authority shall review its Frequency Bias Settings by January 1 of each year and recalculate its setting to reflect any change in the Frequency Response of the Balancing	The Balancing Authority failed to report the method for determining its Frequency Bias	The Balancing Authority failed to report its Frequency Bias Setting to the NERC Operating	The Balancing Authority failed to report its Frequency Bias Settings and the method for	The Balancing Authority failed to review its Frequency Bias Settings by January 1 of each year

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		Authority Area.	Setting to the NERC Operating Committee. (R1.2)	Committee. (R1.2)	determining that Frequency Bias Setting to the NERC Operating Committee. (R1.2)	and recalculate its setting to reflect any change in the Frequency Response of the Balancing Authority Area.
BAL-003-0.1b	R1.1.	The Balancing Authority may change its Frequency Bias Setting, and the method used to determine the setting, whenever any of the factors used to determine the current bias value change.	N/A	N/A	N/A	N/A
BAL-003-0.1b	R1.2.	Each Balancing Authority shall report its Frequency Bias Setting, and method for determining that setting, to the NERC Operating Committee.	N/A	N/A	N/A	N/A
BAL-003-0.1b	R2.	Each Balancing Authority shall establish and maintain a Frequency Bias Setting that is as close as practical to, or greater than, the Balancing Authority's Frequency Response. Frequency Bias may be calculated several ways:	N/A	N/A	N/A	The Balancing Authority established and maintained a Frequency Bias Setting that was less than, the Balancing Authority's Frequency Response.
BAL-003-0.1b	R2.1.	The Balancing Authority may use a fixed Frequency Bias value which is based on a fixed, straight-line function of Tie Line deviation versus Frequency Deviation. The Balancing Authority shall determine the fixed value by observing and averaging the Frequency Response for several Disturbances during on-peak hours.	N/A	N/A	N/A	The Balancing Authority determination of the fixed Frequency Bias value was not based on observations and averaging the Frequency Response from Disturbances during on-peak hours.
BAL-003-0.1b	R2.2.	The Balancing Authority may use a variable (linear or non-linear) bias value, which is based on a variable	N/A	N/A	N/A	The Balancing Authorities variable frequency bias

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		function of Tie Line deviation to Frequency Deviation. The Balancing Authority shall determine the variable frequency bias value by analyzing Frequency Response as it varies with factors such as load, generation, governor characteristics, and frequency.				maintained was not based on analyses of Frequency Response as it varied with factors such as load, generation, governor characteristics, and frequency.
BAL-003-0.1b	R3.	Each Balancing Authority shall operate its Automatic Generation Control (AGC) on Tie Line Frequency Bias, unless such operation is adverse to system or Interconnection reliability.	N/A	N/A	N/A	The Balancing Authority did not operate its Automatic Generation Control (AGC) on Tie Line Frequency Bias, during periods when such operation would not have been adverse to system or Interconnection reliability.
BAL-003-0.1b	R4.	Balancing Authorities that use Dynamic Scheduling or Pseudo-ties for jointly owned units shall reflect their respective share of the unit governor droop response in their respective Frequency Bias Setting.	N/A	N/A	N/A	The Balancing Authority that used Dynamic Scheduling or Pseudo-ties for jointly owned units did not reflect its respective share of the unit governor droop response in its respective Frequency Bias Setting.
BAL-003-0.1b	R4.1.	Fixed schedules for Jointly Owned Units mandate that Balancing Authority (A) that contains the Jointly Owned Unit must incorporate the respective share of the unit governor droop response for any Balancing	N/A	N/A	N/A	The Balancing Authority (A) that contained the Jointly Owned Unit with fixed schedules did not incorporate the

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		Authorities that have fixed schedules (B and C). See the diagram below.				respective share of the unit governor droop response for any Balancing Authorities that have fixed schedules (B and C).
BAL-003-0.1b	R4.2.	The Balancing Authorities that have a fixed schedule (B and C) but do not contain the Jointly Owned Unit shall not include their share of the governor droop response in their Frequency Bias Setting. <i>See Standard for Graphic</i>	N/A	N/A	N/A	A Balancing Authority that has a fixed schedule (B and C) but does not contain the Jointly Owned Unit included its share of the governor droop response in its Frequency Bias Setting.
BAL-003-0.1b	R5.	Balancing Authorities that serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of the Balancing Authority's estimated yearly peak demand per 0.1 Hz change.	N/A	N/A	N/A	The Balancing Authority that served native load failed to have a monthly average Frequency Bias Setting that was at least 1% of the entities estimated yearly peak demand per 0.1 Hz change.
BAL-003-0.1b	R5.1.	Balancing Authorities that do not serve native load shall have a monthly average Frequency Bias Setting that is at least 1% of its estimated maximum generation level in the coming year per 0.1 Hz change.	N/A	N/A	N/A	The Balancing Authority that does not serve native load did not have a monthly average Frequency Bias Setting that was at least 1% of its estimated maximum generation level in the coming year per 0.1 Hz change.

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BAL-003-0.1b	R6.	A Balancing Authority that is performing Overlap Regulation Service shall increase its Frequency Bias Setting to match the frequency response of the entire area being controlled. A Balancing Authority shall not change its Frequency Bias Setting when performing Supplemental Regulation Service.	N/A	The Balancing Authority that was performing Overlap Regulation Service changed its Frequency Bias Setting while performing Supplemental Regulation Service.	The Balancing Authority that was performing Overlap Regulation Service failed to increase its Frequency Bias Setting to match the frequency response of the entire area being controlled.	N/A
BAL-004-0	R1.	Only a Reliability Coordinator shall be eligible to act as Interconnection Time Monitor. A single Reliability Coordinator in each Interconnection shall be designated by the NERC Operating Committee to serve as Interconnection Time Monitor.	N/A	N/A	N/A	The responsible entity has designated more than one interconnection time monitor for a single interconnection.
BAL-004-0	R2.	The Interconnection Time Monitor shall monitor Time Error and shall initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.	N/A	N/A	N/A	The responsible entity serving as the Interconnection Time Monitor failed to initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.
BAL-004-0	R3.	Each Balancing Authority, when requested, shall participate in a Time Error Correction by one of the following methods:	The Balancing Authority participated in more than 75% and less than 100% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in more than 50% and less than or equal to 75% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in more than 25% and less than or equal to 50% of requested Time Error Corrections for the calendar year.	The Balancing Authority participated in less than or equal to 25% of requested Time Error Corrections for the calendar year.
BAL-004-0	R3.1.	The Balancing Authority shall offset its frequency schedule by 0.02 Hertz,	The Balancing Authority failed to	The Balancing Authority failed to	The Balancing Authority failed to	The Balancing Authority failed to

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		leaving the Frequency Bias Setting normal; or	offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for 0 to 25% of the time error corrections for the year.	offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for 25 to 50% of the time error corrections for the year.	offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for 50 to 75% of the time error corrections for the year.	offset its frequency schedule by 0.02 Hertz and leave their Frequency Bias Setting normal for 75% or more of the time error corrections for the year.
BAL-004-0	R.3.2.	The Balancing Authority shall offset its Net Interchange Schedule (MW) by an amount equal to the computed bias contribution during a 0.02 Hertz Frequency Deviation (i.e. 20% of the Frequency Bias Setting).	The Balancing Authority failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for 0 to 25% of the time error corrections.	The Balancing Authority failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for 25 to 50% of the time error corrections.	The Balancing Authority failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for 50 to 75% of the time error corrections.	The Balancing Authority failed to offset its net interchange schedule frequency schedule by 20% of their frequency bias for 75% or more of the time error corrections.
BAL-004-0	R4.	Any Reliability Coordinator in an Interconnection shall have the authority to request the Interconnection Time Monitor to terminate a Time Error Correction in progress, or a scheduled Time Error Correction that has not begun, for reliability considerations.	N/A	N/A	N/A	The RC serving as the Interconnection Time Monitor failed to initiate or terminate corrective action orders in accordance with the NAESB Time Error Correction Procedure.
BAL-004-0	R4.1.	Balancing Authorities that have reliability concerns with the execution of a Time Error Correction shall notify their Reliability Coordinator and request the termination of a Time Error Correction in progress.	N/A	N/A	N/A	The Balancing Authority with reliability concerns failed to notify the Reliability Coordinator and request the termination of a Time Error Correction in progress.
BAL-005-0.2b	R1.	All generation, transmission, and load operating within an Interconnection	N/A	N/A	N/A	N/A

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		must be included within the metered boundaries of a Balancing Authority Area.				
BAL-005-0.2b	R1.1.	Each Generator Operator with generation facilities operating in an Interconnection shall ensure that those generation facilities are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Generator Operator with generation facilities operating in an Interconnection failed to ensure that those generation facilities were included within metered boundaries of a Balancing Authority Area.
BAL-005-0.2b	R1.2.	Each Transmission Operator with transmission facilities operating in an Interconnection shall ensure that those transmission facilities are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Transmission Operator with transmission facilities operating in an Interconnection failed to ensure that those transmission facilities were included within metered boundaries of a Balancing Authority Area.
BAL-005-0.2b	R1.3.	Each Load-Serving Entity with load operating in an Interconnection shall ensure that those loads are included within the metered boundaries of a Balancing Authority Area.	N/A	N/A	N/A	The Load-Serving Entity with load operating in an Interconnection failed to ensure that those loads were included within metered boundaries of a Balancing Authority Area.
BAL-005-0.2b	R2.	Each Balancing Authority shall maintain Regulating Reserve that can	N/A	N/A	N/A	The Balancing Authority failed to

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	(Retired)	be controlled by AGC to meet the Control Performance Standard.				maintain Regulating Reserve that can be controlled by AGC to meet Control Performance Standard.
BAL-005-0.2b	R3.	A Balancing Authority providing Regulation Service shall ensure that adequate metering, communications and control equipment are employed to prevent such service from becoming a Burden on the Interconnection or other Balancing Authority Areas.	N/A	N/A	N/A	The Balancing Authority providing Regulation Service failed to ensure adequate metering, communications, and control equipment was provided.
BAL-005-0.2b	R4.	A Balancing Authority providing Regulation Service shall notify the Host Balancing Authority for whom it is controlling if it is unable to provide the service, as well as any Intermediate Balancing Authorities.	N/A	N/A	N/A	The Balancing Authority providing Regulation Service failed to notify the Host Balancing Authority for whom it is controlling if it was unable to provide the service, as well as any Intermediate Balancing Authorities.
BAL-005-0.2b	R5.	A Balancing Authority receiving Regulation Service shall ensure that backup plans are in place to provide replacement Regulation Service should the supplying Balancing Authority no longer be able to provide this service.	N/A	N/A	N/A	The Balancing Authority receiving Regulation Service failed to ensure that back-up plans were in place to provide replacement Regulation Service.
BAL-005-0.2b	R6.	The Balancing Authority's AGC shall compare total Net Actual Interchange to total Net Scheduled Interchange plus Frequency Bias obligation to determine the Balancing Authority's	The Balancing Authority failed to notify the Reliability Coordinator within 30 minutes of its	The Balancing Authority failed to calculate ACE as specified in the	N/A	The Balancing Authority failed to notify the Reliability Coordinator within 30 minutes of its inability

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		ACE. Single Balancing Authorities operating asynchronously may employ alternative ACE calculations such as (but not limited to) flat frequency control. If a Balancing Authority is unable to calculate ACE for more than 30 minutes it shall notify its Reliability Coordinator.	inability to calculate ACE.	requirement.		to calculate ACE and failed to use the ACE calculation specified in the requirement in its attempt to calculate ACE.
BAL-005-0.2b	R7.	The Balancing Authority shall operate AGC continuously unless such operation adversely impacts the reliability of the Interconnection. If AGC has become inoperative, the Balancing Authority shall use manual control to adjust generation to maintain the Net Scheduled Interchange.	N/A	N/A	N/A	The Balancing Authority failed to operate AGC continuously when there were no adverse impacts. OR If its AGC was inoperative the Balancing Authority failed to use manual control to adjust generation to maintain the Net Scheduled Interchange.
BAL-005-0.2b	R8.	The Balancing Authority shall ensure that data acquisition for and calculation of ACE occur at least every six seconds.	N/A	N/A	N/A	The Balancing Authority failed to ensure that data acquisition for and calculation of ACE occurred at least every six seconds.
BAL-005-0.2b	R8.1.	Each Balancing Authority shall provide redundant and independent frequency metering equipment that shall automatically activate upon detection of failure of the primary source. This overall installation shall provide a minimum availability of	N/A	N/A	N/A	The Balancing Authority failed to provide redundant and independent frequency metering equipment that automatically activated upon

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		99.95%.				detection of failure, such that the minimum availability was less than 99.95%.
BAL-005-0.2b	R9.	The Balancing Authority shall include all Interchange Schedules with Adjacent Balancing Authorities in the calculation of Net Scheduled Interchange for the ACE equation.	N/A	N/A	N/A	The Balancing Authority failed to include all Interchange Schedules with Adjacent Balancing Authorities in the calculation of Net Scheduled Interchange for the ACE equation.
BAL-005-0.2b	R9.1.	Balancing Authorities with a high voltage direct current (HVDC) link to another Balancing Authority connected asynchronously to their Interconnection may choose to omit the Interchange Schedule related to the HVDC link from the ACE equation if it is modeled as internal generation or load.	N/A	N/A	N/A	The Balancing Authority with a high voltage direct current (HVDC) link to another Balancing Authority connected asynchronously to its Interconnection chose to omit the Interchange Schedule related to the HVDC link from the ACE equation, but failed to model it as internal generation or load.
BAL-005-0.2b	R10.	The Balancing Authority shall include all Dynamic Schedules in the calculation of Net Scheduled Interchange for the ACE equation.	N/A	N/A	N/A	The Balancing Authority failed to include all Dynamic Schedules in the calculation of Net Scheduled Interchange for the ACE equation.
BAL-005-0.2b	R11.	Balancing Authorities shall include the effect of Ramp rates, which shall	N/A	N/A	N/A	The Balancing Authority failed to

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		be identical and agreed to between affected Balancing Authorities, in the Scheduled Interchange values to calculate ACE.				include the effect of Ramp rates in the Scheduled Interchange values to calculate ACE.
BAL-005-0.2b	R12.	Each Balancing Authority shall include all Tie Line flows with Adjacent Balancing Authority Areas in the ACE calculation.	N/A	N/A	N/A	The Balancing Authority failed to include all Tie Line flows with Adjacent Balancing Authority Areas in the ACE calculation.
BAL-005-0.2b	R12.1.	Balancing Authorities that share a tie shall ensure Tie Line MW metering is telemetered to both control centers, and emanates from a common, agreed-upon source using common primary metering equipment. Balancing Authorities shall ensure that megawatt-hour data is telemetered or reported at the end of each hour.	The Balancing Authority failed to ensure 5% or less of all its Tie Line MW metering was telemetered to both control centers and emanates from a common, agreed-upon source OR The Balancing Authority failed to ensure that megawatt-hour data was telemetered or reported for 5% or less of the hours.	The Balancing Authority failed to ensure more than 5% up to (and including) 10% of all its Tie Line MW metering was telemetered to both control centers and emanates from a common, agreed-upon source. OR The Balancing Authority failed to ensure that megawatt-hour data was telemetered or reported for more than 5% up to (and including) 10% of the hours.	The Balancing Authority failed to ensure more than 10% up to (and including) 15% of all its Tie Line MW metering was telemetered to both control centers and emanates from a common, agreed-upon source. OR The Balancing Authority failed to ensure that megawatt-hour data was telemetered or reported for more than 10% up to (and including) 15% of the hours.	The Balancing Authority failed to ensure more than 15% of all its Tie Line MW metering was telemetered to both control centers and emanates from a common, agreed-upon source. OR The Balancing Authority failed to ensure that megawatt-hour data was telemetered or reported for more than 15% of the hours.
BAL-005-0.2b	R12.2.	Balancing Authorities shall ensure the power flow and ACE signals that are utilized for calculating Balancing Authority performance or that are transmitted for Regulation Service are	The responsible entity did not ensure that 5% or less of the power flow and ACE signals are not	The responsible entity did not ensure that more than 5% up to (and including) 10% of the power flow and	The responsible entity did not ensure that more than 10% up to (and including) 15% of the power flow and	The responsible entity did not ensure that more than 15% of the power flow and ACE signals are not filtered

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		not filtered prior to transmission, except for the Anti-aliasing Filters of Tie Lines.	filtered except for Anti-aliasing filtering.	ACE signals are not filtered except for Anti-aliasing filtering.	ACE signals are not filtered except for Anti-aliasing filtering.	except for Anti-aliasing filtering.
BAL-005-0.2b	R12.3.	Balancing Authorities shall install common metering equipment where Dynamic Schedules or Pseudo-Ties are implemented between two or more Balancing Authorities to deliver the output of Jointly Owned Units or to serve remote load.	N/A	N/A	N/A	The applicable entity did not install common metering equipment where Dynamic Schedules or Pseudo-Ties are implemented.
BAL-005-0.2b	R13.	Each Balancing Authority shall perform hourly error checks using Tie Line megawatt-hour meters with common time synchronization to determine the accuracy of its control equipment. The Balancing Authority shall adjust the component (e.g., Tie Line meter) of ACE that is in error (if known) or use the interchange meter error (IME) term of the ACE equation to compensate for any equipment error until repairs can be made.	N/A	N/A	N/A	The Balancing Authority failed to perform hourly error checks using Tie Line megawatt-hour meters with common time synchronization to determine the accuracy of its control equipment OR the Balancing Authority failed to adjust the component (e.g., Tie Line meter) of ACE that is in error (if known) or use the interchange meter error (IME) term of the ACE equation to compensate for any equipment error until repairs can be made.
BAL-005-0.2b	R14.	The Balancing Authority shall provide its operating personnel with sufficient instrumentation and data recording equipment to facilitate monitoring of control performance, generation	N/A	N/A	N/A	The Balancing Authority failed to provide its operating personnel with sufficient

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		response, and after-the-fact analysis of area performance. As a minimum, the Balancing Authority shall provide its operating personnel with real-time values for ACE, Interconnection frequency and Net Actual Interchange with each Adjacent Balancing Authority Area.				instrumentation and data recording equipment to facilitate monitoring of control performance, generation response, and after-the-fact analysis of area performance.
BAL-005-0.2b	R15.	The Balancing Authority shall provide adequate and reliable backup power supplies and shall periodically test these supplies at the Balancing Authority's control center and other critical locations to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.	N/A	N/A	The Balancing Authority failed to periodically test backup power supplies at the Balancing Authority's control center and other critical locations to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.	The Balancing Authority failed to provide adequate and reliable backup power supplies to ensure continuous operation of AGC and vital data recording equipment during loss of the normal power supply.
BAL-005-0.2b	R16.	The Balancing Authority shall sample data at least at the same periodicity with which ACE is calculated. The Balancing Authority shall flag missing or bad data for operator display and archival purposes. The Balancing Authority shall collect coincident data to the greatest practical extent, i.e., ACE, Interconnection frequency, Net Actual Interchange, and other data shall all be sampled at the same time.	The Balancing Authority failed to collect coincident data to the greatest practical extent.	N/A	The Balancing Authority failed to flag missing or bad data for operator display and archival purposes.	The Balancing Authority failed to sample data at least at the same periodicity with which ACE is calculated.
BAL-005-0.2b	R17.	Each Balancing Authority shall at least annually check and calibrate its time error and frequency devices	N/A	N/A	N/A	The Balancing Authority failed to at least annually check

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		against a common reference. The Balancing Authority shall adhere to the minimum values for measuring devices as listed below: <i>See Standard for Values</i>				and calibrate its time error and frequency devices against a common reference.
BAL-006-2	R1.	Each Balancing Authority shall calculate and record hourly Inadvertent Interchange.	N/A	N/A	N/A	Each Balancing Authority failed to calculate and record hourly Inadvertent Interchange.
BAL-006-2	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.	N/A	N/A	The Balancing Authority failed to include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account. OR Failed to take into account interchange served by jointly owned generators.	The Balancing Authority failed to include all AC tie lines that connect to its Adjacent Balancing Authority Areas in its Inadvertent Interchange account. AND Failed to take into account interchange served by jointly owned generators.
BAL-006-2	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.	N/A	N/A	N/A	The Balancing Authority failed to 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

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						Balancing Authorities.
BAL-006-2	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:	The Balancing Authority failed to record Actual Net Interchange values that are equal but opposite in sign to its Adjacent Balancing Authorities.	The Balancing Authority failed to compute Inadvertent Interchange.	The Balancing Authority failed to operate to a common Net Interchange Schedule that is equal but opposite to its Adjacent Balancing Authorities.	N/A
BAL-006-2	R4.1	Each Balancing Authority, by the end of the next business day, shall agree with its Adjacent Balancing Authorities to:	N/A	N/A	N/A	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly values of Net Interchanged Schedule. AND The hourly integrated megawatt-hour values of Net Actual Interchange.
BAL-006-2	R4.1.1.	The hourly values of Net Interchange Schedule.	N/A	N/A	N/A	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly values of Net Interchanged Schedule.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
BAL-006-2	R4.1.2.	The hourly integrated megawatt-hour values of Net Actual Interchange.	N/A	N/A	N/A	The Balancing Authority, by the end of the next business day, failed to agree with its Adjacent Balancing Authorities to the hourly integrated megawatt-hour values of Net Actual Interchange.
BAL-006-2	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.	N/A	N/A	N/A	The Balancing Authority failed to 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.
BAL-006-2	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 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).	N/A	N/A	N/A	The Balancing Authority failed to make after-the-fact corrections to the agreed-to daily and monthly accounting data to reflect actual operating conditions or changes or corrections based on non-reliability considerations were reflected in the Balancing Authority's Inadvertent Interchange.
BAL-006-2	R5.	Adjacent Balancing Authorities that	Adjacent Balancing	Adjacent Balancing	N/A	N/A

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		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.	Authorities that could not mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities, submitted a report to their respective Regional Reliability Organizations Survey Contact describing the nature and the cause of the dispute but failed to provide a process for correcting the discrepancy.	Authorities that could not mutually agree upon their respective Net Actual Interchange or Net Scheduled Interchange quantities by the 15th calendar day of the following month, failed to submit a report to their respective Regional Reliability Organizations Survey Contact describing the nature and the cause of the dispute as well as a process for correcting the discrepancy.		
BAL-502-RFC-02	R1.	The Planning Coordinator shall perform and document a Resource Adequacy analysis annually. The Resource Adequacy analysis shall: <i>[See standard pdf for sub-requirements]</i>	The Planning Coordinator Resource Adequacy analysis failed to consider 1 or 2 of the Resource availability characteristics subcomponents under R1.4 and documentation of how and why they were included in the analysis or why they were not included OR The Planning	The Planning Coordinator Resource Adequacy analysis failed to express the planning reserve margin developed from R1.1 as a percentage of the net Median forecast peak Load per R1.1.2 OR The Planning Coordinator Resource Adequacy analysis failed to include 1 of the Load forecast Characteristics	The Planning Coordinator Resource Adequacy analysis failed to be performed or verified separately for individual years of Year One through Year Ten per R1.2 OR The Planning Coordinator failed to perform an analysis or verification for one year in the 2 through 5 year period or one year in the 6 though 10 year	The Planning Coordinator failed to perform and document a Resource Adequacy analysis annually per R1. OR The Planning Coordinator Resource Adequacy analysis failed to calculate a Planning reserve margin that will result in the sum of the probabilities for loss of Load for the integrated

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			<p>Coordinator Resource Adequacy analysis failed to consider Transmission maintenance outage schedules and document how and why they were included in the analysis or why they were not included per R1.5</p>	<p>subcomponents under R1.3.1 and documentation of its use</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to include 1 of the Resource Characteristics subcomponents under R1.3.2 and documentation of its use</p> <p>Or</p> <p>The Planning Coordinator Resource Adequacy analysis failed to document that all Load in the Planning Coordinator area is accounted for in its Resource Adequacy analysis per R1.7</p>	<p>period or both per R1.2.2</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to include 2 or more of the Load forecast Characteristics subcomponents under R1.3.1 and documentation of their use</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to include 2 or more of the Resource Characteristics subcomponents under R1.3.2 and documentation of their use</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to include Transmission</p>	<p>peak hour for all days of each planning year analyzed for each planning period being equal to 0.1 per R1.1</p> <p>OR</p> <p>The Planning Coordinator failed to perform an analysis for Year One per R1.2.1</p>

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					<p>limitations and documentation of its use per R1.3.3</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to include assistance from other interconnected systems and documentation of its use per R1.3.4</p> <p>OR</p> <p>The Planning Coordinator Resource Adequacy analysis failed to consider 3 or more Resource availability characteristics subcomponents under R1.4 and documentation of how and why they were included in the analysis or why they were not included</p> <p>OR</p> <p>The Planning Coordinator Resource</p>	

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					Adequacy analysis failed to document that capacity resources are appropriately accounted for in its Resource Adequacy analysis per R1.6	
BAL-502-RFC-02	R2.	The Planning Coordinator shall annually document the projected Load and resource capability, for each area or Transmission constrained sub-area identified in the Resource Adequacy analysis. <i>[See standard pdf for sub-requirements]</i>	The Planning Coordinator failed to publicly post the documents as specified per requirement R2.1 and R2.2 later than 30 calendar days prior to the beginning of Year One per R2.3	<p>The Planning Coordinator failed to document the projected Load and resource capability, for each area or Transmission constrained sub-area identified in the Resource Adequacy analysis for one of the years in the 2 through 10 year period per R2.1.</p> <p>OR</p> <p>The Planning Coordinator failed to document the Planning Reserve margin calculated per requirement R1.1 for each of the three years in the analysis per R2.2.</p>	<p>The Planning Coordinator failed to document the projected Load and resource capability, for each area or Transmission constrained sub-area identified in the Resource Adequacy analysis for year 1 of the 10 year period per R2.1.</p> <p>OR</p> <p>The Planning Coordinator failed to document the projected Load and resource capability, for each area or Transmission constrained sub-area identified in the Resource Adequacy analysis for two or more of the years in the 2 through 10 year period per R2.1.</p>	The Planning Coordinator failed to document the projected Load and resource capability, for each area or Transmission constrained sub-area identified in the Resource Adequacy analysis per R2.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-001-2a	R1.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall 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.	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.
CIP-001-2a	R2.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall have procedures for the communication of information concerning sabotage events to appropriate parties in the Interconnection.	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.
CIP-001-2a	R3.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall provide its operating personnel with sabotage response guidelines, including personnel to contact, for reporting disturbances due to	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	N/A	The responsible entity failed to provide its operating personnel with a sabotage response guideline.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		sabotage events.		sabotage events.		
CIP-001-2a	R4.	Each Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, and Load Serving Entity shall establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) officials and develop reporting procedures as appropriate to their circumstances.	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 (RCMP) officials, but has not developed a reporting procedure.	The responsible entity failed to establish communications contacts, as applicable, with local Federal Bureau of Investigation (FBI) or Royal Canadian Mounted Police (RCMP) officials, and has not developed a reporting procedure.
CIP-002-3	R1.	Critical Asset Identification Method — The Responsible Entity shall identify and document a risk-based assessment methodology to use to identify its Critical Assets.	N/A	N/A	N/A	The responsible entity has not documented a risk-based assessment methodology to use to identify its Critical Assets as specified in R1.
CIP-002-3	R1.1	The Responsible Entity shall maintain documentation describing its risk-based assessment methodology that includes procedures and evaluation criteria.	N/A	The Responsible Entity maintained documentation describing its risk-based assessment methodology which includes evaluation criteria, but does not include procedures.	The Responsible Entity maintained documentation describing its risk-based assessment methodology that includes procedures but does not include evaluation criteria.	The Responsible Entity did not maintain documentation describing its risk-based assessment methodology that includes procedures and evaluation criteria.
CIP-002-3	R1.2	The risk-based assessment shall consider the following assets:	N/A	N/A	N/A	The Responsible Entity did not consider all of the asset types listed in

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						R1.2.1 through R1.2.7 in its risk-based assessment.
CIP-002-3	R1.2.1.	Control centers and backup control centers performing the functions of the entities listed in the Applicability section of this standard.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.2.	Transmission substations that support the reliable operation of the Bulk Electric System.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.3.	Generation resources that support the reliable operation of the Bulk Electric System.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.4.	Systems and facilities critical to system restoration, including blackstart generators and substations in the electrical path of transmission lines used for initial system restoration.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.5.	Systems and facilities critical to automatic load shedding under a common control system capable of shedding 300 MW or more.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.6.	Special Protection Systems that support the reliable operation of the Bulk Electric System.	N/A	N/A	N/A	N/A
CIP-002-3	R1.2.7.	Any additional assets that support the reliable operation of the Bulk Electric System that the Responsible Entity deems appropriate to include in its assessment.	N/A	N/A	N/A	N/A
CIP-002-3	R2.	Critical Asset Identification — The Responsible Entity shall develop a list of its identified Critical Assets determined through an annual application of the risk-	N/A	N/A	The Responsible Entity has developed a list of Critical Assets but the list has	The Responsible Entity did not develop a list of its identified Critical

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		based assessment methodology required in R1. The Responsible Entity shall review this list at least annually, and update it as necessary.			not been reviewed and updated annually as required.	Assets even if such list is null.
CIP-002-3	R3.	Critical Cyber Asset Identification — Using the list of Critical Assets developed pursuant to Requirement R2, the Responsible Entity shall develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset. Examples at control centers and backup control centers include systems and facilities at master and remote sites that provide monitoring and control, automatic generation control, real-time power system modeling, and real-time inter-utility data exchange. The Responsible Entity shall review this list at least annually, and update it as necessary. For the purpose of Standard CIP-002-3, Critical Cyber Assets are further qualified to be those having at least one of the following characteristics:	N/A	N/A	The Responsible Entity has developed a list of associated Critical Cyber Assets essential to the operation of the Critical Asset list as per requirement R2 but the list has not been reviewed and updated annually as required.	The Responsible Entity did not develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset list as per requirement R2 even if such list is null.
CIP-002-3	R3.1	The Cyber Asset uses a routable protocol to communicate outside the Electronic Security Perimeter; or,	N/A	N/A	N/A	A Cyber Asset essential to the operation of the Critical Asset was identified that met the criteria in this requirement but was not included in the Critical Cyber Asset List.
CIP-002-3	R3.2.	The Cyber Asset uses a routable protocol within a control center; or,	N/A	N/A	N/A	A Cyber Asset essential to the operation of the Critical Asset was

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						identified that met the criteria in this requirement but was not included in the Critical Cyber Asset List.
CIP-002-3	R3.3.	The Cyber Asset is dial-up accessible.	N/A	N/A	N/A	A Cyber Asset essential to the operation of the Critical Asset was identified that met the criteria in this requirement but was not included in the Critical Cyber Asset List.
CIP-002-3	R4.	Annual Approval — The senior manager or delegate(s) shall approve annually the risk-based assessment methodology, the list of Critical Assets and the list of Critical Cyber Assets. Based on Requirements R1, R2, and R3 the Responsible Entity may determine that it has no Critical Assets or Critical Cyber Assets. The Responsible Entity shall keep a signed and dated record of the senior manager or delegate(s)'s approval of the risk-based assessment methodology, the list of Critical Assets and the list of Critical Cyber Assets (even if such lists are null.)	N/A	The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s)'s annual approval of the risk-based assessment methodology, the list of Critical Assets or the list of Critical Cyber Assets (even if such lists are null.)	The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s)'s annual approval of two of the following: the risk-based assessment methodology, the list of Critical Assets or the list of Critical Cyber Assets (even if such lists are null.)	The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s) annual approval of 1) A risk based assessment methodology for identification of Critical Assets, 2) a signed and dated approval of the list of Critical Assets, nor 3) a signed and dated approval of the list of Critical Cyber Assets (even if such lists are null.)
CIP-002-4	R1.		N/A	N/A	The Responsible	The Responsible

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>Critical Asset Identification — The Responsible Entity shall develop a list of its identified Critical Assets determined through an annual application of the criteria contained in CIP-002-4 Attachment 1 – Critical Asset Criteria. The Responsible Entity shall update this list as necessary, and review it at least annually.</p>			<p>Entity has developed a list of Critical Assets but the list has not been reviewed and updated annually as required.</p>	<p>Entity did not develop a list of its identified Critical Assets even if such list is null.</p>
CIP-002-4	R2.	<p>Critical Cyber Asset Identification— Using the list of Critical Assets developed pursuant to Requirement R1, the Responsible Entity shall develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset. The Responsible Entity shall update this list as necessary, and review it at least annually.</p> <p>For each group of generating units (including nuclear generation) at a single plant location identified in Attachment 1, criterion 1.1, the only Cyber Assets that must be considered are those shared Cyber Assets that could, within 15 minutes, adversely impact the reliable operation of any combination of units that in aggregate equal or exceed Attachment 1, criterion 1.1.</p> <p>For the purpose of Standard CIP-002-4, Critical Cyber Assets are</p>	N/A	N/A	<p>The Responsible Entity has developed a list of associated Critical Cyber Assets essential to the operation of the Critical Asset list as per requirement R2 but the list has not been reviewed and updated annually as required.</p>	<p>The Responsible Entity did not develop a list of associated Critical Cyber Assets essential to the operation of the Critical Asset list as per requirement R2 even if such list is null.</p> <p>OR</p> <p>A Cyber Asset essential to the operation of the Critical Asset was identified that met at least one of the bulleted characteristics in this requirement but was not included in the Critical Cyber</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		further qualified to be those having at least one of the following characteristics: <ul style="list-style-type: none"> • The Cyber Asset uses a routable protocol to communicate outside the Electronic Security Perimeter; or, • The Cyber Asset uses a routable protocol within a control center; or, • The Cyber Asset is dial-up accessible. 				Asset List.
CIP-002-4	R3.	Annual Approval —The senior manager or delegate(s) shall approve annually the list of Critical Assets and the list of Critical Cyber Assets. Based on Requirements R1 and R2 the Responsible Entity may determine that it has no Critical Assets or Critical Cyber Assets. The Responsible Entity shall keep a signed and dated record of the senior manager or delegate(s)'s approval of the list of Critical Assets and the list of Critical Cyber Assets (even if such lists are null.)	N/A	N/A	The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s)'s annual approval of the list of Critical Assets. OR The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s)'s annual approval of the list of Critical Cyber Assets (even if such lists are null.)	The Responsible Entity does not have a signed and dated record of the senior manager or delegate(s)'s annual approval of both the list of Critical Assets and the list of Critical Cyber Assets (even if such lists are null.)
CIP-003-3	R1.	Cyber Security Policy — The Responsible Entity shall document and	N/A	N/A	N/A	The Responsible Entity has not

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		implement a cyber security policy that represents management’s commitment and ability to secure its Critical Cyber Assets. The Responsible Entity shall, at minimum, ensure the following:				documented or implemented a cyber security policy.
CIP-003-3	R1.1.	The cyber security policy addresses the requirements in Standards CIP-002-3 through CIP-009-3, including provision for emergency situations.	N/A	N/A	N/A	The Responsible Entity's cyber security policy does not address all the requirements in Standards CIP-002 through CIP-009, including provision for emergency situations.
CIP-003-3	R1.2. <i>(Retired)</i>	The cyber security policy is readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.	N/A	N/A	N/A	The Responsible Entity's cyber security policy is not readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.
CIP-003-3	R1.3	Annual review and approval of the cyber security policy by the senior manager assigned pursuant to R2.	N/A	N/A	N/A	The Responsible Entity's senior manager, assigned pursuant to R2, did not complete the annual review and approval of its cyber security policy.
CIP-003-3	R2.	Leadership — The Responsible Entity shall assign a senior manager with overall responsibility for leading and managing the entity’s implementation of, and adherence to, Standards CIP-002-3	N/A	N/A	N/A	The Responsible Entity has not assigned a single senior manager with overall responsibility and authority for

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		through CIP-009-3.				leading and managing the entity's implementation of, and adherence to, Standards CIP-002 through CIP-009.
CIP-003-3	R2.1.	The senior manager shall be identified by name, title, and date of designation.	N/A	N/A	N/A	Identification of the senior manager is missing one of the following: name, title, or date of designation.
CIP-003-3	R2.2.	Changes to the senior manager must be documented within thirty calendar days of the effective date.	N/A	N/A	N/A	Changes to the senior manager were not documented within 30 days of the effective date.
CIP-003-3	R2.3.	Where allowed by Standards CIP-002-3 through CIP-009-3, the senior manager may delegate authority for specific actions to a named delegate or delegates. These delegations shall be documented in the same manner as R2.1 and R2.2, and approved by the senior manager.	N/A	N/A	The identification of a senior manager's delegate does not include at least one of the following; name, title, or date of the designation, OR The document is not approved by the senior manager, OR Changes to the delegated authority	A senior manager's delegate is not identified by name, title, and date of designation; the document delegating the authority does not identify the authority being delegated; the document delegating the authority is not approved by the senior manager; AND changes to the delegated authority are not documented

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					are not documented within thirty calendar days of the effective date.	within thirty calendar days of the effective date.
CIP-003-3	R2.4	The senior manager or delegate(s), shall authorize and document any exception from the requirements of the cyber security policy.	N/A	N/A	N/A	The senior manager or delegate(s) did not authorize and document any exceptions from the requirements of the cyber security policy as required.
CIP-003-3	R3. <u>(Retired)</u>	Exceptions — Instances where the Responsible Entity cannot conform to its cyber security policy must be documented as exceptions and authorized by the senior manager or delegate(s).	N/A	N/A	In Instances where the Responsible Entity cannot conform to its cyber security policy, in R1, exceptions were documented, but were not authorized by the senior manager or delegate(s).	In Instances where the Responsible Entity cannot conform to its cyber security policy, in R1, exceptions were not documented.
CIP-003-3	R3.1. <u>(Retired)</u>	Exceptions to the Responsible Entity's cyber security policy must be documented within thirty days of being approved by the senior manager or delegate(s).	N/A	N/A	N/A	Exceptions to the Responsible Entity's cyber security policy were not documented within 30 days of being approved by the senior manager or delegate(s).
CIP-003-3	R3.2. <u>(Retired)</u>	Documented exceptions to the cyber security policy must include an explanation as to why the exception is necessary and any compensating measures.	N/A	N/A	The Responsible Entity has a documented exception to the cyber security policy in R1 but did not	The Responsible Entity has a documented exception to the cyber security policy in R1 but did not

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					include either: 1) an explanation as to why the exception is necessary, or 2) any compensating measures.	include both: 1) an explanation as to why the exception is necessary, and 2) any compensating measures.
CIP-003-3	R3.3. <u>(Retired)</u>	Authorized exceptions to the cyber security policy must be reviewed and approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid. Such review and approval shall be documented.	N/A	N/A	N/A	Exceptions to the cyber security policy were not reviewed or were not approved on an annual basis by the senior manager or delegate(s) to ensure the exceptions are still required and valid or the review and approval is not documented.
CIP-003-3	R4.	Information Protection — The Responsible Entity shall implement and document a program to identify, classify, and protect information associated with Critical Cyber Assets.	N/A	N/A	N/A	The Responsible Entity did not implement or did not document a program to identify, classify, and protect information associated with Critical Cyber Assets.
CIP-003-3	R4.1.	The Critical Cyber Asset information to be protected shall include, at a minimum and regardless of media type, operational procedures, lists as required in Standard CIP-002-3, network topology or similar diagrams, floor plans of computing centers that contain Critical Cyber Assets, equipment layouts of Critical Cyber Assets, disaster recovery plans,	N/A	N/A	The information protection program does not include one of the minimum information types to be protected as detailed in R4.1.	The information protection program does not include two or more of the minimum information types to be protected as detailed in R4.1.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		incident response plans, and security configuration information.				
CIP-003-3	R4.2. <u>(Retired)</u>	The Responsible Entity shall classify information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.	N/A	N/A	N/A	The Responsible Entity did not classify the information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.
CIP-003-3	R4.3.	The Responsible Entity shall, at least annually, assess adherence to its Critical Cyber Asset information protection program, document the assessment results, and implement an action plan to remediate deficiencies identified during the assessment.	N/A	N/A	N/A	The Responsible Entity did not annually assess adherence to its Critical Cyber Asset information protection program, including documentation of the assessment results, OR The Responsible Entity did not implement an action plan to remediate deficiencies identified during the assessment.
CIP-003-3	R5.	Access Control — The Responsible Entity shall document and implement a program for managing access to protected Critical Cyber Asset information.	N/A	N/A	N/A	The Responsible Entity did not implement or did not document a program for managing access to protected Critical Cyber Asset information.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-003-3	R5.1.	The Responsible Entity shall maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.	N/A	N/A	The Responsible Entity maintained a list of designated personnel for authorizing either logical or physical access but not both.	The Responsible Entity did not maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.
CIP-003-3	R5.1.1.	Personnel shall be identified by name, title, and the information for which they are responsible for authorizing access.	N/A	N/A	The Responsible Entity did identify the personnel by name, title, and the information for which they are responsible for authorizing access, but the business phone is missing.	Personnel are not identified by name, title, or the information for which they are responsible for authorizing access.
CIP-003-3	R5.1.2.	The list of personnel responsible for authorizing access to protected information shall be verified at least annually.	N/A	N/A	N/A	The Responsible Entity did not verify at least annually the list of personnel responsible for authorizing access to protected information.
CIP-003-3	R5.2.	The Responsible Entity shall review at least annually the access privileges to protected information to confirm that access privileges are correct and that they correspond with the Responsible Entity's needs and appropriate personnel roles and responsibilities.	N/A	N/A	N/A	The Responsible Entity did not review at least annually the access privileges to protected information to confirm that access privileges are correct and that they correspond with the Responsible Entity's

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						needs and appropriate personnel roles and responsibilities.
CIP-003-3	R5.3.	The Responsible Entity shall assess and document at least annually the processes for controlling access privileges to protected information.	N/A	N/A	N/A	The Responsible Entity did not assess and document at least annually the processes for controlling access privileges to protected information.
CIP-003-3	R6.	Change Control and Configuration Management — The Responsible Entity shall establish and document a process of change control and configuration management for adding, modifying, replacing, or removing Critical Cyber Asset hardware or software, and implement supporting configuration management activities to identify, control and document all entity or vendor related changes to hardware and software components of Critical Cyber Assets pursuant to the change control process.	N/A	N/A	N/A	The Responsible Entity has not established or documented a change control process for the activities required in R6, OR The Responsible Entity has not established or documented a configuration management process for the activities required in R6.
CIP-003-4	R1.	Cyber Security Policy —The Responsible Entity shall document and implement a cyber security policy that represents management’s commitment and ability to secure its Critical Cyber Assets. The Responsible Entity shall, at minimum, ensure the following:	N/A	N/A	The Responsible Entity has documented but not implemented a cyber security policy.	The Responsible Entity has not documented nor implemented a cyber security policy.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-003-4	R1.1.	The cyber security policy addresses the requirements in Standards CIP-002-4 through CIP-009-4, including provision for emergency situations.	N/A	N/A	N/A	The Responsible Entity's cyber security policy does not address all the requirements in Standards CIP-002-4 through CIP-009-4, including provision for emergency situations.
CIP-003-4	R1.2. (Retired)	The cyber security policy is readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.	N/A	N/A	N/A	The Responsible Entity's cyber security policy is not readily available to all personnel who have access to, or are responsible for, Critical Cyber Assets.
CIP-003-4	R1.3.	Annual review and approval of the cyber security policy by the senior manager assigned pursuant to R2.	N/A	N/A	The Responsible Entity's senior manager, assigned pursuant to R2, annually reviewed but did not annually approve its cyber security policy.	The Responsible Entity's senior manager, assigned pursuant to R2, did not annually review nor approve its cyber security policy.
CIP-003-4	R2.	Leadership —The Responsible Entity shall assign a single senior manager with overall responsibility and authority for leading and managing the entity's implementation of, and adherence to, Standards CIP-002-4 through CIP-009-4.	N/A	N/A	N/A	The Responsible Entity has not assigned a single senior manager with overall responsibility and authority for leading and managing the entity's

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						implementation of, and adherence to, Standards CIP-002-4 through CIP-009-4.
CIP-003-4	R2.1.	The senior manager shall be identified by name, title, and date of designation.	N/A	N/A	N/A	The senior manager is not identified by name, title, and date of designation.
CIP-003-4	R2.2.	Changes to the senior manager must be documented within thirty calendar days of the effective date.	Changes to the senior manager were documented in greater than 30 but less than 60 days of the effective date.	Changes to the senior manager were documented in 60 or more but less than 90 days of the effective date.	Changes to the senior manager were documented in 90 or more but less than 120 days of the effective date.	Changes to the senior manager were documented in 120 or more days of the effective date.
CIP-003-4	R2.3.	Where allowed by Standards CIP-002-4 through CIP-009-4, the senior manager may delegate authority for specific actions to a named delegate or delegates. These delegations shall be documented in the same manner as R2.1 and R2.2, and approved by the senior manager.	N/A	N/A	The identification of a senior manager's delegate does not include at least one of the following; name, title, or date of the designation, OR The document is not approved by the senior manager, OR Changes to the delegated authority are not documented within thirty calendar days of the effective date.	A senior manager's delegate is not identified by name, title, and date of designation; the document delegating the authority does not identify the authority being delegated; the document delegating the authority is not approved by the senior manager; AND changes to the delegated authority are not documented within thirty calendar days of the effective date.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-003-4	R2.4.	The senior manager or delegate(s), shall authorize and document any exception from the requirements of the cyber security policy.	N/A	N/A	N/A	The senior manager or delegate(s) did not authorize and document any exceptions from the requirements of the cyber security policy as required.
CIP-003-4	R3. <u>(Retired)</u>	Exceptions — Instances where the Responsible Entity cannot conform to its cyber security policy must be documented as exceptions and authorized by the senior manager or delegate(s).	N/A	N/A	In Instances where the Responsible Entity cannot conform to its cyber security policy (pertaining to CIP 002 through CIP 009), exceptions were documented, but were not authorized by the senior manager or delegate(s).	In Instances where the Responsible Entity cannot conform to its cyber security policy (pertaining to CIP 002 through CIP 009), exceptions were not documented, and were not authorized by the senior manager or delegate(s).
CIP-003-4	R3.1. <u>(Retired)</u>	Exceptions to the Responsible Entity's cyber security policy must be documented within thirty days of being approved by the senior manager or delegate(s).	Exceptions to the Responsible Entity's cyber security policy were documented in more than 30 but less than 60 days of being approved by the senior manager or delegate(s).	Exceptions to the Responsible Entity's cyber security policy were documented in 60 or more but less than 90 days of being approved by the senior manager or delegate(s).	Exceptions to the Responsible Entity's cyber security policy were documented in 90 or more but less than 120 days of being approved by the senior manager or delegate(s).	Exceptions to the Responsible Entity's cyber security policy were documented in 120 or more days of being approved by the senior manager or delegate(s).
CIP-003-4	R3.2. <u>(Retired)</u>	Documented exceptions to the cyber security policy must include an explanation as to why the exception is necessary and any compensating	N/A	N/A	The Responsible Entity has a documented exception to the	The Responsible Entity has a documented exception to the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		measures.			cyber security policy (pertaining to CIP 002-4 through CIP 009-4) but did not include either: 1) an explanation as to why the exception is necessary, or 2) any compensating measures.	cyber security policy (pertaining to CIP 002-4 through CIP 009-4) but did not include both: 1) an explanation as to why the exception is necessary, and 2) any compensating measures.
CIP-003-4	R3.3. <u>(Retired)</u>	Authorized exceptions to the cyber security policy must be reviewed and approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid. Such review and approval shall be documented.	N/A	N/A	Exceptions to the cyber security policy (pertaining to CIP 002-4 through CIP 009-4) were reviewed but not approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid.	Exceptions to the cyber security policy (pertaining to CIP 002-4 through CIP 009-4) were not reviewed nor approved annually by the senior manager or delegate(s) to ensure the exceptions are still required and valid.
CIP-003-4	R4.	Information Protection —The Responsible Entity shall implement and document a program to identify, classify, and protect information associated with Critical Cyber Assets.	N/A	The Responsible Entity implemented but did not document a program to identify, classify, and protect information associated with Critical Cyber Assets.	The Responsible Entity documented but did not implement a program to identify, classify, and protect information associated with Critical Cyber Assets.	The Responsible Entity did not implement nor document a program to identify, classify, and protect information associated with Critical Cyber Assets.
CIP-003-4	R4.1.	The Critical Cyber Asset information to be protected shall include, at a minimum and regardless of media type, operational procedures, lists as required in Standard CIP-002-4, network topology or similar	N/A	N/A	The information protection program does not include one of the minimum information types to	The information protection program does not include two or more of the minimum

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		diagrams, floor plans of computing centers that contain Critical Cyber Assets, equipment layouts of Critical Cyber Assets, disaster recovery plans, incident response plans, and security configuration information.			be protected as detailed in R4.1.	information types to be protected as detailed in R4.1.
CIP-003-4	R4.2. <u>(Retired)</u>	The Responsible Entity shall classify information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.	N/A	N/A	N/A	The Responsible Entity did not classify the information to be protected under this program based on the sensitivity of the Critical Cyber Asset information.
CIP-003-4	R4.3.	The Responsible Entity shall, at least annually, assess adherence to its Critical Cyber Asset information protection program, document the assessment results, and implement an action plan to remediate deficiencies identified during the assessment.	N/A	The Responsible Entity annually assessed adherence to its Critical Cyber Asset information protection program, documented the assessment results, which included deficiencies identified during the assessment but did not implement a remediation plan.	The Responsible Entity annually assessed adherence to its Critical Cyber Asset information protection program, did not document the assessment results, and did not implement a remediation plan.	The Responsible Entity did not annually, assess adherence to its Critical Cyber Asset information protection program, document the assessment results, nor implement an action plan to remediate deficiencies identified during the assessment.
CIP-003-4	R5.	Access Control —The Responsible Entity shall document and implement a program for managing access to protected Critical Cyber Asset information.	N/A	The Responsible Entity implemented but did not document a program for managing access to protected	The Responsible Entity documented but did not implement a program for managing access	The Responsible Entity did not implement nor document a program for managing access

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Critical Cyber Asset information.	to protected Critical Cyber Asset information.	to protected Critical Cyber Asset information.
CIP-003-4	R5.1.	The Responsible Entity shall maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.	N/A	N/A	The Responsible Entity maintained a list of designated personnel for authorizing either logical or physical access but not both.	The Responsible Entity did not maintain a list of designated personnel who are responsible for authorizing logical or physical access to protected information.
CIP-003-4	R5.1.1.	Personnel shall be identified by name, title, and the information for which they are responsible for authorizing access.	N/A	N/A	The Responsible Entity did identify the personnel by name and title but did not identify the information for which they are responsible for authorizing access.	The Responsible Entity did not identify the personnel by name and title nor the information for which they are responsible for authorizing access.
CIP-003-4	R5.1.2.	The list of personnel responsible for authorizing access to protected information shall be verified at least annually.	N/A	N/A	N/A	The Responsible Entity did not verify at least annually the list of personnel responsible for authorizing access to protected information.
CIP-003-4	R5.2.	The Responsible Entity shall review at least annually the access privileges to protected information to confirm that access privileges are correct and that they correspond with the Responsible Entity's needs and appropriate personnel	N/A	N/A	N/A	The Responsible Entity did not review at least annually the access privileges to protected information to confirm that access

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		roles and responsibilities.				privileges are correct and that they correspond with the Responsible Entity's needs and appropriate personnel roles and responsibilities.
CIP-003-4	R5.3.	The Responsible Entity shall assess and document at least annually the processes for controlling access privileges to protected information.	N/A	N/A	N/A	The Responsible Entity did not assess and document at least annually the processes for controlling access privileges to protected information.
CIP-003-4	R6.	Change Control and Configuration Management — The Responsible Entity shall establish and document a process of change control and configuration management for adding, modifying, replacing, or removing Critical Cyber Asset hardware or software, and implement supporting configuration management activities to identify, control and document all entity or vendor-related changes to hardware and software components of Critical Cyber Assets pursuant to the change control process.	The Responsible Entity has established but not documented a change control process OR The Responsible Entity has established but not documented a configuration management process.	The Responsible Entity has established but not documented both a change control process and configuration management process.	The Responsible Entity has not established and documented a change control process OR The Responsible Entity has not established and documented a configuration management process.	The Responsible Entity has not established and documented a change control process AND The Responsible Entity has not established and documented a configuration management process.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-004-3	R1.	<p>Awareness — The Responsible Entity shall establish, document, implement, and maintain a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement in sound security practices. The program shall include security awareness reinforcement on at least a quarterly basis using mechanisms such as:</p> <ul style="list-style-type: none"> • Direct communications (e.g. emails, memos, computer based training, etc.); • Indirect communications (e.g. posters, intranet, brochures, etc.); • Management support and reinforcement (e.g., presentations, meetings, etc.). 	N/A	N/A	The Responsible[1] Entity did not provide security awareness reinforcement on at least a quarterly basis.	The Responsible Entity did not establish, implement, maintain, or document a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement in sound security practices.
CIP-004-3	R2.	<p>Training — The Responsible Entity shall establish, document, implement, and maintain an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets. The cyber security training program shall be reviewed annually, at a minimum, and shall be</p>	N/A	N/A	The Responsible[2] Entity did not review the training program on an annual basis.	The Responsible Entity did not establish, implement, maintain, or document an annual cyber security training program for personnel having authorized cyber or authorized unescorted

¹ Please note that FERC’s January 20, 2011 Order on Version 2 And Version 3 Violation Risk Factors And Violation Severity Levels For Critical Infrastructure Protection Reliability Standards dictated “Responsible Entity” to be changed to “Responsibility Entity.” NERC assumes FERC intended the VSL to read “Responsible Entity” and therefore is not making this change. NERC proposes to remove this footnote from the final approved list of VSLs.

² Please see previous footnote. NERC proposes to remove this footnote from the final approved list of VSLs.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		updated whenever necessary.				physical access to Critical Cyber Assets.
CIP-004-3	R2.1.	This program will ensure that all personnel having such access to Critical Cyber Assets, including contractors and service vendors, are trained prior to their being granted such access except in specified circumstances such as an emergency.	N/A	N/A	N/A	Not all personnel having authorized cyber or unescorted physical access to Critical Cyber Assets, including contractors and service vendors, were trained prior to their being granted such access except in specified circumstances such as an emergency.
CIP-004-3	R2.2.	Training shall cover the policies, access controls, and procedures as developed for the Critical Cyber Assets covered by CIP-004-3, and include, at a minimum, the following required items appropriate to personnel roles and responsibilities:	N/A	N/A	N/A	The training does not include one or more of the minimum topics as detailed in R2.2.1, R2.2.2, R2.2.3, R2.2.4.
CIP-004-3	R2.2.1.	The proper use of Critical Cyber Assets;	N/A	N/A	N/A	N/A
CIP-004-3	R2.2.2.	Physical and electronic access controls to Critical Cyber Assets;	N/A	N/A	N/A	N/A
CIP-004-3	R2.2.3.	The proper handling of Critical Cyber Asset information; and,	N/A	N/A	N/A	N/A
CIP-004-3	R2.2.4.	Action plans and procedures to recover or re-establish Critical Cyber Assets and access thereto following a Cyber Security Incident.	N/A	N/A	N/A	N/A
CIP-004-3	R2.3.	The Responsible Entity shall maintain documentation that training is conducted at least annually, including the date the training was completed and attendance records.	N/A	N/A	The Responsible Entity did maintain documentation that training is conducted at least annually, but	The Responsible Entity did not maintain documentation that training is conducted

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					did not include attendance records.	at least annually, including the date the training was completed and attendance records.
CIP-004-3	R3.	<p>Personnel Risk Assessment —The Responsible Entity shall have a documented personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to existing collective bargaining unit agreements, for personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets. A personnel risk assessment shall be conducted pursuant to that program prior to such personnel being granted such access except in specified circumstances such as an emergency.</p> <p>The personnel risk assessment program shall at a minimum include:</p>	N/A	The Responsible Entity has a personnel risk assessment program, as stated in R3, for personnel having authorized cyber or authorized unescorted physical access, but the program is not documented.	The Responsible Entity has a personnel risk assessment program as stated in R3, but conducted the personnel risk assessment pursuant to that program after such personnel were granted such access except in specified circumstances such as an emergency.	<p>The Responsible Entity does not have a documented personnel risk assessment program, as stated in R3, for personnel having authorized cyber or authorized unescorted physical access.</p> <p>OR</p> <p>The Responsible Entity did not conduct the personnel risk assessment pursuant to that program for personnel granted such access except in specified circumstances such as an emergency.</p>
CIP-004-3	R3.1.	The Responsible Entity shall ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification in the U.S.) and seven year criminal check. The Responsible Entity may conduct more detailed reviews, as permitted by law and subject to existing collective bargaining unit agreements, depending upon the	N/A	N/A	The Responsible Entity did not ensure that an assessment conducted included an identity verification (e.g., Social Security Number verification	The Responsible Entity did not ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		criticality of the position.			in the U.S.) or a seven-year criminal check.	in the U.S.) and seven-year criminal check.
CIP-004-3	R3.2.	The Responsible Entity shall update each personnel risk assessment at least every seven years after the initial personnel risk assessment or for cause.	N/A	The Responsible Entity did not update each personnel risk assessment at least every seven years after the initial personnel risk assessment but did update it for cause when applicable.	The Responsible Entity did not update each personnel risk assessment for cause (when applicable) but did at least update it every seven years after the initial personnel risk assessment.	The Responsible Entity did not update each personnel risk assessment at least every seven years after the initial personnel risk assessment nor was it updated for cause when applicable.
CIP-004-3	R3.3.	The Responsible Entity shall document the results of personnel risk assessments of its personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets, and that personnel risk assessments of contractor and service vendor personnel with such access are conducted pursuant to Standard CIP-004-3.	The Responsible Entity did not document the results of personnel risk assessments for at least one individual but less than 5% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004.	The Responsible Entity did not document the results of personnel risk assessments for 5% or more but less than 10% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004.	The Responsible Entity did not document the results of personnel risk assessments for 10% or more but less than 15% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004.	The Responsible Entity did not document the results of personnel risk assessments for 15% or more of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004.
CIP-004-3	R4.	Access — The Responsible Entity shall maintain list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets.	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical access to	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing at least one individual but less than 5% of the authorized personnel.	Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 5% or more but less than 10% of the authorized personnel.	access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 10% or more but less than 15% of the authorized personnel.	access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 15% or more of the authorized personnel.
CIP-004-3	R4.1.	The Responsible Entity shall review the list(s) of its personnel who have such access to Critical Cyber Assets quarterly, and update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, or any change in the access rights of such personnel. The Responsible Entity shall ensure access list(s) for contractors and service vendors are properly maintained.	N/A	The Responsible Entity did not review the list(s) of its personnel who have access to Critical Cyber Assets quarterly.	The Responsible Entity did not update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, nor any change in the access rights of such personnel.	The Responsible Entity did not review the list(s) of all personnel who have access to Critical Cyber Assets quarterly, nor update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, nor any change in the access rights of such personnel.
CIP-004-3	R4.2.	The Responsible Entity shall revoke such access to Critical Cyber Assets within 24 hours for personnel terminated for cause and within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.	N/A	The Responsible Entity did not revoke access within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.	The Responsible Entity did not revoke access to Critical Cyber Assets within 24 hours for personnel terminated for cause.	The Responsible Entity did not revoke access to Critical Cyber Assets within 24 hours for personnel terminated for cause nor within seven calendar days for personnel who no

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						longer require such access to Critical Cyber Assets.
CIP-004-4	R1.	<p>Awareness —The Responsible Entity shall establish, document, implement, and maintain a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement in sound security practices. The program shall include security awareness reinforcement on at least a quarterly basis using mechanisms such as:</p> <ul style="list-style-type: none"> • Direct communications (e.g., emails, memos, computer based training, etc.); • Indirect communications (e.g., posters, intranet, brochures, etc.); • Management support and reinforcement (e.g., presentations, meetings, etc.). 	The Responsible Entity established, implemented, and maintained but did not document a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive ongoing reinforcement in sound security practices.	The Responsibility Entity did not provide security awareness reinforcement on at least a quarterly basis.	The Responsible Entity did document but did not establish, implement, nor maintain a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement in sound security practices.	The Responsible Entity did not establish, implement, maintain, nor document a security awareness program to ensure personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets receive on-going reinforcement in sound security practices.
CIP-004-4	R2.	<p>Training —The Responsible Entity shall establish, document, implement, and maintain an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets. The cyber security training program shall be reviewed annually, at a minimum, and shall be updated whenever necessary.</p>	The Responsible Entity established, implemented, and maintained but did not document an annual cyber security training program for personnel having authorized cyber or authorized	The Responsibility Entity did not review the training program on an annual basis.	The Responsible Entity did document but did not establish, implement, nor maintain an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to	The Responsible Entity did not establish, document, implement, nor maintain an annual cyber security training program for personnel having authorized cyber or authorized unescorted physical access to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			unescorted physical access to Critical Cyber Assets.		Critical Cyber Assets.	Critical Cyber Assets.
CIP-004-4	R2.1.	This program will ensure that all personnel having such access to Critical Cyber Assets, including contractors and service vendors, are trained prior to their being granted such access except in specified circumstances such as an emergency.	At least one individual but less than 5% of personnel having authorized cyber or unescorted physical access to Critical Cyber Assets, including contractors and service vendors, were not trained prior to their being granted such access except in specified circumstances such as an emergency.	At least 5% but less than 10% of all personnel having authorized cyber or unescorted physical access to Critical Cyber Assets, including contractors and service vendors, were not trained prior to their being granted such access except in specified circumstances such as an emergency.	At least 10% but less than 15% of all personnel having authorized cyber or unescorted physical access to Critical Cyber Assets, including contractors and service vendors, were not trained prior to their being granted such access except in specified circumstances such as an emergency.	15% or more of all personnel having authorized cyber or unescorted physical access to Critical Cyber Assets, including contractors and service vendors, were not trained prior to their being granted such access except in specified circumstances such as an emergency.
CIP-004-4	R2.2.	Training shall cover the policies, access controls, and procedures as developed for the Critical Cyber Assets covered by CIP-004-4, and include, at a minimum, the following required items appropriate to personnel roles and responsibilities:	N/A	The training does not include one of the minimum topics as detailed in R2.2.1, R2.2.2, R2.2.3, R2.2.4.	The training does not include two of the minimum topics as detailed in R2.2.1, R2.2.2, R2.2.3, R2.2.4.	The training does not include three or more of the minimum topics as detailed in R2.2.1, R2.2.2, R2.2.3, R2.2.4.
CIP-004-4	R2.2.1.	The proper use of Critical Cyber Assets;	N/A	N/A	N/A	N/A

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CIP-004-4	R2.2.2.	Physical and electronic access controls to Critical Cyber Assets;	N/A	N/A	N/A	N/A
CIP-004-4	R2.2.3.	The proper handling of Critical Cyber Asset information; and,	N/A	N/A	N/A	N/A
CIP-004-4	R2.2.4.	Action plans and procedures to recover or re-establish Critical Cyber Assets and access thereto following a Cyber Security Incident.	N/A	N/A	N/A	N/A
CIP-004-4	R2.3.	The Responsible Entity shall maintain documentation that training is conducted at least annually, including the date the training was completed and attendance records.	N/A	N/A	The Responsible Entity did maintain documentation that training is conducted at least annually, but did not include either the date the training was completed or attendance records.	The Responsible Entity did not maintain documentation that training is conducted at least annually, including the date the training was completed or attendance records.
CIP-004-4	R3.	Personnel Risk Assessment —The Responsible Entity shall have a documented personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to existing collective bargaining unit agreements, for personnel having authorized cyber or authorized unescorted physical access to Critical	N/A	The Responsible Entity has a personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to existing collective	The Responsible Entity has a personnel risk assessment program as stated in R3, but conducted the personnel risk assessment pursuant to that program after	The Responsible Entity does not have a documented personnel risk assessment program, in accordance with federal, state, provincial, and local laws, and subject to

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		Cyber Assets. A personnel risk assessment shall be conducted pursuant to that program prior to such personnel being granted such access except in specified circumstances such as an emergency. The personnel risk assessment program shall at a minimum include:		bargaining unit agreements, for personnel having authorized cyber or authorized unescorted physical access, but the program is not documented.	such personnel were granted such access except in specified circumstances such as an emergency.	existing collective bargaining unit agreements, for personnel having authorized cyber or authorized unescorted physical access. OR The Responsible Entity did not conduct the personnel risk assessment pursuant to that program for personnel granted such access except in specified circumstances such as an emergency.
CIP-004-4	R3.1.	The Responsible Entity shall ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification in the U.S.) and seven-year criminal check. The Responsible Entity may conduct more detailed reviews, as permitted by law and subject to existing collective bargaining unit agreements, depending upon the criticality of the position.	N/A	N/A	The Responsible Entity did not ensure that an assessment conducted included an identity verification (e.g., Social Security Number verification in the U.S.) or a seven-year criminal check.	The Responsible Entity did not ensure that each assessment conducted include, at least, identity verification (e.g., Social Security Number verification in the U.S.) and seven-year criminal check.
CIP-004-4	R3.2.	The Responsible Entity shall update each personnel risk assessment at least every seven years after the initial personnel risk assessment or for cause.	N/A	The Responsible Entity did not update each personnel risk assessment at least every seven years after the initial personnel risk assessment but did	The Responsible Entity did not update each personnel risk assessment for cause (when applicable) but did at least updated it every seven years	The Responsible Entity did not update each personnel risk assessment at least every seven years after the initial personnel risk

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				update it for cause when applicable.	after the initial personnel risk assessment.	assessment nor was it updated for cause when applicable.
CIP-004-4	R3.3.	The Responsible Entity shall document the results of personnel risk assessments of its personnel having authorized cyber or authorized unescorted physical access to Critical Cyber Assets, and that personnel risk assessments of contractor and service vendor personnel with such access are conducted pursuant to Standard CIP-004-4.	The Responsible Entity did not document the results of personnel risk assessments for at least one individual but less than 5% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004-4.	The Responsible Entity did not document the results of personnel risk assessments for 5% or more but less than 10% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004-4.	The Responsible Entity did not document the results of personnel risk assessments for 10% or more but less than 15% of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004-4.	The Responsible Entity did not document the results of personnel risk assessments for 15% or more of all personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, pursuant to Standard CIP-004-4.
CIP-004-4	R4.	Access —The Responsible Entity shall maintain list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets.	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets,	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 5% or more but less than 10% of the authorized personnel.	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 10% or more	The Responsible Entity did not maintain complete list(s) of personnel with authorized cyber or authorized unescorted physical access to Critical Cyber Assets, including their specific electronic and physical access rights to Critical Cyber Assets, missing 15% or more

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			missing at least one individual but less than 5% of the authorized personnel.		but less than 15% of the authorized personnel.	of the authorized personnel.
CIP-004-4	R4.1.	The Responsible Entity shall review the list(s) of its personnel who have such access to Critical Cyber Assets quarterly, and update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, or any change in the access rights of such personnel. The Responsible Entity shall ensure access list(s) for contractors and service vendors are properly maintained.	N/A	The Responsible Entity did not review the list(s) of its personnel who have access to Critical Cyber Assets quarterly.	The Responsible Entity did not update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, nor any change in the access rights of such personnel.	The Responsible Entity did not review the list(s) of all personnel who have access to Critical Cyber Assets quarterly, nor update the list(s) within seven calendar days of any change of personnel with such access to Critical Cyber Assets, nor any change in the access rights of such personnel.
CIP-004-4	R4.2.	The Responsible Entity shall revoke such access to Critical Cyber Assets within 24 hours for personnel terminated for cause and within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.	N/A	The Responsible Entity did not revoke access within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.	The Responsible Entity did not revoke access to Critical Cyber Assets within 24 hours for personnel terminated for cause.	The Responsible Entity did not revoke access to Critical Cyber Assets within 24 hours for personnel terminated for cause nor within seven calendar days for personnel who no longer require such access to Critical Cyber Assets.

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CIP-005-3a	R1.	Electronic Security Perimeter — The Responsible Entity shall ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. The Responsible Entity shall identify and document the Electronic Security Perimeter(s) and all access points to the perimeter(s).	N/A	N/A	N/A	The Responsible Entity did not ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. OR The Responsible Entity did not identify and document the Electronic Security Perimeter(s) and all access points to the perimeter(s).
CIP-005-3a	R1.1.	Access points to the Electronic Security Perimeter(s) shall include any externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).	N/A	N/A	N/A	Access points to the Electronic Security Perimeter(s) do not include all externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).
CIP-005-3a	R1.2.	For a dial-up accessible Critical Cyber Asset that uses a non-routable protocol, the Responsible Entity shall define an Electronic Security Perimeter for that single access point at the dial-up device.	N/A	N/A	N/A	For one or more dial-up accessible Critical Cyber Assets that use a non-routable protocol, the Responsible Entity did not define an Electronic Security Perimeter for that single access point at

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						the dial-up device.
CIP-005-3a	R1.3.	Communication links connecting discrete Electronic Security Perimeters shall not be considered part of the Electronic Security Perimeter. However, end points of these communication links within the Electronic Security Perimeter(s) shall be considered access points to the Electronic Security Perimeter(s).	N/A	N/A	N/A	At least one end point of a communication link within the Electronic Security Perimeter(s) connecting discrete Electronic Security Perimeters was not considered an access point to the Electronic Security Perimeter.
CIP-005-3a	R1.4.	Any non-critical Cyber Asset within a defined Electronic Security Perimeter shall be identified and protected pursuant to the requirements of Standard CIP-005-3.	N/A	N/A	N/A	One or more noncritical Cyber Asset within a defined Electronic Security Perimeter is not identified. OR Is not protected pursuant to the requirements of Standard CIP-005.
CIP-005-3a	R1.5.	Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall be afforded the protective measures as a specified in Standard CIP-003-3; Standard CIP-004-3 Requirement R3; Standard CIP-005-3 Requirements R2 and R3; Standard CIP-006-3 Requirement R3; Standard CIP-007-3 Requirements R1 and R3 through R9; Standard CIP-008-3; and Standard CIP-	N/A	N/A	N/A	A Cyber Asset used in the access control and/or monitoring of the Electronic Security Perimeter(s) was not afforded one (1) or more of the protective measures as specified in Standard CIP-003-3; Standard CIP-004-3

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		009-3.				Requirement R3; Standard CIP-005-3 Requirements R2 and R3; Standard CIP-006-3c Requirements R3; Standard CIP-007-3 Requirements R1 and R3 through R9; Standard CIP-008-3; and Standard CIP-009-3.
CIP-005-3a	R1.6.	The Responsible Entity shall maintain documentation of Electronic Security Perimeter(s), all interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), all electronic access points to the Electronic Security Perimeter(s) and the Cyber Assets deployed for the access control and monitoring of these access points.	N/A	N/A	N/A	The Responsible Entity did not maintain documentation of one or more of the following: Electronic Security Perimeter(s), interconnected Critical and noncritical Cyber Assets within the Electronic Security Perimeter(s), electronic access points to the Electronic Security Perimeter(s) and Cyber Assets deployed for the access control and monitoring of these access points.
CIP-005-3a	R2.	Electronic Access Controls — The Responsible Entity shall implement and	N/A	N/A	N/A	The Responsible Entity did not

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		document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).				implement or did not document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).
CIP-005-3a	R2.1.	These processes and mechanisms shall use an access control model that denies access by default, such that explicit access permissions must be specified.	N/A	N/A	N/A	The processes and mechanisms did not use an access control model that denies access by default, such that explicit access permissions must be specified.
CIP-005-3a	R2.2.	At all access points to the Electronic Security Perimeter(s), the Responsible Entity shall enable only ports and services required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and shall document, individually or by specified grouping, the configuration of those ports and services.	N/A	N/A	N/A	At one or more access points to the Electronic Security Perimeter(s), the Responsible Entity enabled ports and services not required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, or did not document, individually or by specified grouping, the configuration of those ports and

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						services.
CIP-005-3a	R2.3.	The Responsible Entity shall implement and maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s).	N/A	N/A	N/A	The Responsible Entity did not implement or maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s) where applicable.
CIP-005-3a	R2.4.	Where external interactive access into the Electronic Security Perimeter has been enabled, the Responsible Entity shall implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically feasible.	N/A	N/A	N/A	Where external interactive access into the Electronic Security Perimeter has been enabled the Responsible Entity did not implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically feasible.
CIP-005-3a	R2.5.	The required documentation shall, at least, identify and describe:	N/A	N/A	N/A	The required documentation for R2 did not include one or more of the elements described in R2.5.1 through R2.5.4.
CIP-005-3a	R2.5.1.	The processes for access request and authorization.	N/A	N/A	N/A	N/A
CIP-005-3a	R2.5.2.	The authentication methods.	N/A	N/A	N/A	N/A
CIP-005-3a	R2.5.3.	The review process for authorization rights, in accordance with Standard CIP-	N/A	N/A	N/A	N/A

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		004-3 Requirement R4.				
CIP-005-3a	R2.5.4.	The controls used to secure dial-up accessible connections.	N/A	N/A	N/A	N/A
CIP-005-3a	R2.6. (Retired)	Appropriate Use Banner — Where technically feasible, electronic access control devices shall display an appropriate use banner on the user screen upon all interactive access attempts. The Responsible Entity shall maintain a document identifying the content of the banner.	The Responsible Entity did not maintain a document identifying the content of the banner. OR Where technically feasible less than 5% electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.	Where technically feasible 5% but less than 10% of electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.	Where technically feasible 10% but less than 15% of electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.	Where technically feasible, 15% or more electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.
CIP-005-3a	R3.	Monitoring Electronic Access — The Responsible Entity shall implement and document an electronic or manual process(es) for monitoring and logging access at access points to the Electronic Security Perimeter(s) twenty-four hours a day, seven days a week.	N/A	N/A	N/A	The Responsible Entity did not implement or did not document electronic or manual processes monitoring and logging access points.
CIP-005-3a	R3.1.	For dial-up accessible Critical Cyber Assets that use non-routable protocols, the Responsible Entity shall implement and document monitoring process(es) at each access point to the dial-up device, where technically feasible.	N/A	N/A	N/A	Where technically feasible, the Responsible Entity did not implement or did not document electronic or manual processes for

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						monitoring at one or more access points to dial-up devices.
CIP-005-3a	R3.2.	Where technically feasible, the security monitoring process(es) shall detect and alert for attempts at or actual unauthorized accesses. These alerts shall provide for appropriate notification to designated response personnel. Where alerting is not technically feasible, the Responsible Entity shall review or otherwise assess access logs for attempts at or actual unauthorized accesses at least every ninety calendar days.	N/A	N/A	N/A	Where technically feasible, the Responsible Entity did not implement security monitoring process(es) to detect and alert for attempts at or actual unauthorized accesses. OR The above alerts do not provide for appropriate notification to designated response personnel. OR Where alerting is not technically feasible, the Responsible Entity did not review or otherwise assess access logs for attempts at or actual unauthorized accesses at least every ninety calendar days.
CIP-005-3a	R4.	Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of the electronic access points to the Electronic Security Perimeter(s) at least annually. The	N/A	N/A	N/A	The Responsible Entity did not perform a Vulnerability Assessment at least

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		vulnerability assessment shall include, at a minimum, the following:				annually for one or more of the access points to the Electronic Security Perimeter(s). OR The vulnerability assessment did not include one (1) or more of the subrequirements R4.1, R4.2, R4.3, R4.4, R4.5.
CIP-005-3a	R4.1.	A document identifying the vulnerability assessment process;	N/A	N/A	N/A	N/A
CIP-005-3a	R4.2.	A review to verify that only ports and services required for operations at these access points are enabled;	N/A	N/A	N/A	N/A
CIP-005-3a	R4.3.	The discovery of all access points to the Electronic Security Perimeter;	N/A	N/A	N/A	N/A
CIP-005-3a	R4.4.	A review of controls for default accounts, passwords, and network management community strings;	N/A	N/A	N/A	N/A
CIP-005-3a	R4.5.	Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.	N/A	N/A	N/A	N/A
CIP-005-3a	R5.	Documentation Review and Maintenance — The Responsible Entity shall review, update, and maintain all documentation to support compliance with the requirements of Standard CIP-005-3.	The Responsible Entity did not review, update, and maintain at least one but less than or equal to	The Responsible Entity did not review, update, and maintain greater than 5% but less than or equal to 10% of the	The Responsible Entity did not review, update, and maintain greater than 10% but less than or equal to 15% of the	The Responsible Entity did not review, update, and maintain greater than 15% of the documentation to support compliance

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			5% of the documentation to support compliance with the requirements of Standard CIP-005.	documentation to support compliance with the requirements of Standard CIP-005.	documentation to support compliance with the requirements of Standard CIP-005.	with the requirements of Standard CIP-005.
CIP-005-3a	R5.1.	The Responsible Entity shall ensure that all documentation required by Standard CIP-005-2 reflect current configurations and processes and shall review the documents and procedures referenced in Standard CIP-005-3 at least annually.	N/A	The Responsible Entity did not provide evidence of an annual review of the documents and procedures referenced in Standard CIP-005.	The Responsible Entity did not document current configurations and processes referenced in Standard CIP-005.	The Responsible Entity did not document current configurations and processes and did not review the documents and procedures referenced in Standard CIP-005 at least annually.
CIP-005-3a	R5.2.	The Responsible Entity shall update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.	N/A	N/A	N/A	The Responsible Entity did not update documentation to reflect a modification of the network or controls within ninety calendar days of the change.
CIP-005-3a	R5.3.	The Responsible Entity shall retain electronic access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-3.	The Responsible Entity retained electronic access logs for 75 or more calendar days, but for less than 90 calendar days.	The Responsible Entity retained electronic access logs for 60 or more calendar days, but for less than 75 calendar days.	The Responsible Entity retained electronic access logs for 45 or more calendar days , but for less than 60 calendar days.	The Responsible Entity retained electronic access logs for less than 45 calendar days.
CIP-005-4a	R1.	Electronic Security Perimeter —The Responsible Entity shall ensure that every Critical Cyber Asset resides within an Electronic Security Perimeter. The Responsible Entity shall identify and	The Responsible Entity did not document one or more access points to the Electronic	The Responsible Entity identified but did not document one or more Electronic Security Perimeter(s).	The Responsible Entity did not ensure that one or more of the Critical Cyber Assets resides within	The Responsible Entity did not ensure that one or more Critical Cyber Assets resides within an

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		document the Electronic Security Perimeter(s) and all access points to the perimeter(s).	Security Perimeter(s).		an Electronic Security Perimeter. OR The Responsible Entity did not identify nor document one or more Electronic Security Perimeter(s).	Electronic Security Perimeter, and the Responsible Entity did not identify and document the Electronic Security Perimeter(s) and all access points to the perimeter(s) for all Critical Cyber Assets.
CIP-005-4a	R1.1.	Access points to the Electronic Security Perimeter(s) shall include any externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).	N/A	N/A	N/A	Access points to the Electronic Security Perimeter(s) do not include all externally connected communication end point (for example, dial-up modems) terminating at any device within the Electronic Security Perimeter(s).
CIP-005-4a	R1.2.	For a dial-up accessible Critical Cyber Asset that uses a non-routable protocol, the Responsible Entity shall define an Electronic Security Perimeter for that single access point at the dial-up device.	N/A	N/A	N/A	For one or more dial-up accessible Critical Cyber Assets that use a non-routable protocol, the Responsible Entity did not define an Electronic Security Perimeter for that single access point at the dial-up device.
CIP-005-4a	R1.3.	Communication links connecting	N/A	N/A	N/A	At least one end point

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		discrete Electronic Security Perimeters shall not be considered part of the Electronic Security Perimeter. However, end points of these communication links within the Electronic Security Perimeter(s) shall be considered access points to the Electronic Security Perimeter(s).				of a communication link within the Electronic Security Perimeter(s) connecting discrete Electronic Security Perimeters was not considered an access point to the Electronic Security Perimeter.
CIP-005-4a	R1.4.	Any non-critical Cyber Asset within a defined Electronic Security Perimeter shall be identified and protected pursuant to the requirements of Standard CIP-005-4a.	N/A	One or more non-critical Cyber Asset within a defined Electronic Security Perimeter is not identified but is protected pursuant to the requirements of Standard CIP-005.	One or more non-critical Cyber Asset within a defined Electronic Security Perimeter is identified but not protected pursuant to the requirements of Standard CIP-005.	One or more non-critical Cyber Asset within a defined Electronic Security Perimeter is not identified and is not protected pursuant to the requirements of Standard CIP-005.
CIP-005-4a	R1.5.	Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall be afforded the protective measures as a specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4a Requirements R2 and R3; Standard CIP-006-4c Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.	A Cyber Asset used in the access control and/or monitoring of the Electronic Security Perimeter(s) is provided with all but one (1) of the protective measures as specified in Standard CIP-003-4; Standard CIP-004-4 Requirement	A Cyber Asset used in the access control and/or monitoring of the Electronic Security Perimeter(s) is provided with all but two (2) of the protective measures as specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4	A Cyber Asset used in the access control and/or monitoring of the Electronic Security Perimeter(s) is provided with all but three (3) of the protective measures as specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4	A Cyber Asset used in the access control and/or monitoring of the Electronic Security Perimeter(s) is provided without four (4) or more of the protective measures as specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.	Requirements R2 and R3; Standard CIP-006-4 Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.	Requirements R2 and R3; Standard CIP-006-4 Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.	005-4 Requirements R2 and R3; Standard CIP-006-4 Requirement R3; Standard CIP-007-4 Requirements R1 and R3 through R9; Standard CIP-008-4; and Standard CIP-009-4.
CIP-005-4a	R1.6.	The Responsible Entity shall maintain documentation of Electronic Security Perimeter(s), all interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), all electronic access points to the Electronic Security Perimeter(s) and the Cyber Assets deployed for the access control and monitoring of these access points.	N/A	N/A	The Responsible Entity did not maintain documentation of one of the following: Electronic Security Perimeter(s), interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), electronic access point to the Electronic Security Perimeter(s) or Cyber Asset deployed for the access control and monitoring of these access points.	The Responsible Entity did not maintain documentation of two or more of the following: Electronic Security Perimeter(s), interconnected Critical and non-critical Cyber Assets within the Electronic Security Perimeter(s), electronic access points to the Electronic Security Perimeter(s) and Cyber Assets deployed for the access control and monitoring of these access points.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-005-4a	R2.	Electronic Access Controls — The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).	N/A	The Responsible Entity implemented but did not document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).	The Responsible Entity documented but did not implement the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).	The Responsible Entity did not implement nor document the organizational processes and technical and procedural mechanisms for control of electronic access at all electronic access points to the Electronic Security Perimeter(s).
CIP-005-4a	R2.1.	These processes and mechanisms shall use an access control model that denies access by default, such that explicit access permissions must be specified.	N/A	N/A	N/A	The processes and mechanisms did not use an access control model that denies access by default, such that explicit access permissions must be specified.
CIP-005-4a	R2.2.	At all access points to the Electronic Security Perimeter(s), the Responsible Entity shall enable only ports and services required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and shall document, individually or by specified grouping, the configuration of those ports and services.	N/A	At one or more access points to the Electronic Security Perimeter(s), the Responsible Entity did not document, individually or by specified grouping, the configuration of those ports and services required for operation and for monitoring Cyber Assets within the Electronic Security	At one or more access points to the Electronic Security Perimeter(s), the Responsible Entity enabled ports and services not required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter but did document,	At one or more access points to the Electronic Security Perimeter(s), the Responsible Entity enabled ports and services not required for operations and for monitoring Cyber Assets within the Electronic Security Perimeter, and did not document,

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				Perimeter.	individually or by specified grouping, the configuration of those ports and services.	individually or by specified grouping, the configuration of those ports and services.
CIP-005-4a	R2.3.	The Responsible Entity shall implement and maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s).	N/A	N/A	The Responsible Entity did implement but did not maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s) where applicable.	The Responsible Entity did not implement nor maintain a procedure for securing dial-up access to the Electronic Security Perimeter(s) where applicable.
CIP-005-4a	R2.4.	Where external interactive access into the Electronic Security Perimeter has been enabled, the Responsible Entity shall implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically feasible.	N/A	N/A	N/A	Where external interactive access into the Electronic Security Perimeter has been enabled the Responsible Entity did not implement strong procedural or technical controls at the access points to ensure authenticity of the accessing party, where technically feasible.
CIP-005-4a	R2.5.	The required documentation shall, at least, identify and describe:	The required documentation for R2 did not include one of the elements described in R2.5.1 through	The required documentation for R2 did not include two of the elements described in R2.5.1 through R2.5.4	The required documentation for R2 did not include three of the elements described in R2.5.1 through R2.5.4	The required documentation for R2 did not include any of the elements described in R2.5.1 through R2.5.4

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			R2.5.4			
CIP-005-4a	R2.5.1.	The processes for access request and authorization.	N/A	N/A	N/A	N/A
CIP-005-4a	R2.5.2.	The authentication methods.	N/A	N/A	N/A	N/A
CIP-005-4a	R2.5.3.	The review process for authorization rights, in accordance with Standard CIP-004-4 Requirement R4.	N/A	N/A	N/A	N/A
CIP-005-4a	R2.5.4.	The controls used to secure dial-up accessible connections.	N/A	N/A	N/A	N/A
CIP-005-4a	R2.6. <u>(Retired)</u>	Appropriate Use Banner —Where technically feasible, electronic access control devices shall display an appropriate use banner on the user screen upon all interactive access attempts. The Responsible Entity shall maintain a document identifying the content of the banner.	The Responsible Entity did not maintain a document identifying the content of the banner. OR Where technically feasible less than 5% electronic access control devices did not display an	Where technically feasible 5% but less than 10% of electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.	Where technically feasible 10% but less than 15% of electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.	Where technically feasible, 15% or more electronic access control devices did not display an appropriate use banner on the user screen upon all interactive access attempts.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			appropriate use banner on the user screen upon all interactive access attempts.			
CIP-005-4a	R3.	Monitoring Electronic Access —The Responsible Entity shall implement and document an electronic or manual process(es) for monitoring and logging access at access points to the Electronic Security Perimeter(s) twenty-four hours a day, seven days a week.	The Responsible Entity did not document the electronic or manual processes for monitoring and logging access to access points. OR The Responsible Entity did not implement electronic or manual processes monitoring and logging at less than 5% of the access points.	The Responsible Entity did not implement electronic or manual processes monitoring and logging at 5% or more but less than 10% of the access points.	The Responsible Entity did not implement electronic or manual processes monitoring and logging at 10% or more but less than 15 % of the access points.	The Responsible Entity did not implement electronic or manual processes monitoring and logging at 15% or more of the access points.
CIP-005-4a	R3.1.	For dial-up accessible Critical Cyber Assets that use non-routable protocols, the Responsible Entity shall implement and document monitoring process(es) at each access point to the dial-up device, where technically feasible.	The Responsible Entity did not document the electronic or manual processes for monitoring access points to dial-up devices. OR Where technically feasible, the Responsible Entity did not implement electronic or	Where technically feasible, the Responsible Entity did not implement electronic or manual processes for monitoring at 5% or more but less than 10% of the access points to dial-up devices.	Where technically feasible, the Responsible Entity did not implement electronic or manual processes for monitoring at 10% or more but less than 15% of the access points to dial-up devices.	Where technically feasible, the Responsible Entity did not implement electronic or manual processes for monitoring at 15% or more of the access points to dial-up devices.

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			manual processes for monitoring at less than 5% of the access points to dial-up devices.			
CIP-005-4a	R3.2.	Where technically feasible, the security monitoring process(es) shall detect and alert for attempts at or actual unauthorized accesses. These alerts shall provide for appropriate notification to designated response personnel. Where alerting is not technically feasible, the Responsible Entity shall review or otherwise assess access logs for attempts at or actual unauthorized accesses at least every ninety calendar days.	N/A	N/A	Where technically feasible, the Responsible Entity implemented security monitoring process(es) to detect and alert for attempts at or actual unauthorized accesses, however the alerts do not provide for appropriate notification to designated response personnel.	Where technically feasible, the Responsible Entity did not implement security monitoring process(es) to detect and alert for attempts at or actual unauthorized accesses. OR Where alerting is not technically feasible, the Responsible Entity did not review or otherwise assess access logs for attempts at or actual unauthorized accesses at least every ninety calendar days
CIP-005-4a	R4.	Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of the electronic access points to the Electronic Security Perimeter(s) at least annually. The vulnerability assessment shall include, at a minimum, the following:	The Responsible Entity did not perform a Vulnerability Assessment at least annually for less than 5% of access points to the Electronic Security Perimeter(s).	The Responsible Entity did not perform a Vulnerability Assessment at least annually for 5% or more but less than 10% of access points to the Electronic Security Perimeter(s).	The Responsible Entity did not perform a Vulnerability Assessment at least annually for 10% or more but less than 15% of access points to the Electronic Security Perimeter(s).	The Responsible Entity did not perform a Vulnerability Assessment at least annually for 15% or more of access points to the Electronic Security Perimeter(s). OR

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						The vulnerability assessment did not include one (1) or more of the subrequirements R 4.1, R4.2, R4.3, R4.4, R4.5.
CIP-005-4a	R4.1.	A document identifying the vulnerability assessment process;	N/A	N/A	N/A	N/A
CIP-005-4a	R4.2.	A review to verify that only ports and services required for operations at these access points are enabled;	N/A	N/A	N/A	N/A
CIP-005-4a	R4.3.	The discovery of all access points to the Electronic Security Perimeter;	N/A	N/A	N/A	N/A
CIP-005-4a	R4.4.	A review of controls for default accounts, passwords, and network management community strings;	N/A	N/A	N/A	N/A
CIP-005-4a	R4.5.	Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.	N/A	N/A	N/A	N/A
CIP-005-4a	R5.	Documentation Review and Maintenance —The Responsible Entity shall review, update, and maintain all documentation to support compliance with the	The Responsible Entity did not review, update, and maintain at	The Responsible Entity did not review, update, and maintain greater than 5% but	The Responsible Entity did not review, update, and maintain greater than 10% but	The Responsible Entity did not review, update, and maintain greater than 15% of

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		requirements of Standard CIP-005-4a.	least one but less than or equal to 5% of the documentation to support compliance with the requirements of Standard CIP-005-4.	less than or equal to 10% of the documentation to support compliance with the requirements of Standard CIP-005-4.	less than or equal to 15% of the documentation to support compliance with the requirements of Standard CIP-005-4.	the documentation to support compliance with the requirements of Standard CIP-005-4.
CIP-005-4a	R5.1.	The Responsible Entity shall ensure that all documentation required by Standard CIP-005-4a reflect current configurations and processes and shall review the documents and procedures referenced in Standard CIP-005-4a at least annually.	N/A	The Responsible Entity did not provide evidence of an annual review of the documents and procedures referenced in Standard CIP-005-4.	The Responsible Entity did not document current configurations and processes referenced in Standard CIP-005-4.	The Responsible Entity did not document current configurations and processes and did not review the documents and procedures referenced in Standard CIP-005-4 at least annually.
CIP-005-4a	R5.2.	The Responsible Entity shall update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.	For less than 5% of the applicable changes, the Responsible Entity did not update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.	For 5% or more but less than 10% of the applicable changes, the Responsible Entity did not update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.	For 10% or more but less than 15% of the applicable changes, the Responsible Entity did not update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.	For 15% or more of the applicable changes, the Responsible Entity did not update the documentation to reflect the modification of the network or controls within ninety calendar days of the change.
CIP-005-4a	R5.3.	The Responsible Entity shall retain electronic access logs for at least ninety calendar days. Logs related to reportable	The Responsible Entity retained electronic access	The Responsible Entity retained electronic access logs	The Responsible Entity retained electronic access logs	The Responsible Entity retained electronic access logs

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		incidents shall be kept in accordance with the requirements of Standard CIP-008-4.	logs for 75 or more calendar days, but for less than 90 calendar days.	for 60 or more calendar days, but for less than 75 calendar days.	for 45 or more calendar days , but for less than 60 calendar days.	for less than 45 calendar days.
CIP-006-3c	R1.	Physical Security Plan — The Responsible Entity shall document, implement, and maintain a physical security plan, approved by the senior manager or delegate(s) that shall address, at a minimum, the following:	N/A	N/A	The Responsible Entity created a physical security plan but did not gain approval by a senior manager or delegate(s). OR The Responsible Entity created and implemented but did not maintain a physical security plan.	The Responsible Entity did not document, implement, and maintain a physical security plan.
CIP-006-3c	R1.1.	All Cyber Assets within an Electronic Security Perimeter shall reside within an identified Physical Security Perimeter. Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity shall deploy and document alternative measures to control physical access to such Cyber Assets.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not include processes to ensure and document that all Cyber Assets within an Electronic Security Perimeter also reside within an identified Physical Security Perimeter. OR Where a completely enclosed (“six-wall”)

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						border cannot be established, the Responsible Entity has not deployed or documented alternative measures to control physical access to such Cyber Assets within the Electronic Security Perimeter.
CIP-006-3c	R1.2.	Identification of all physical access points through each Physical Security Perimeter and measures to control entry at those access points.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not identify all access points through each Physical Security Perimeter or does not identify measures to control entry at those access points.
CIP-006-3c	R1.3	Processes, tools, and procedures to monitor physical access to the perimeter(s).	N/A	N/A	N/A	The Responsible Entity's physical security plan does not include processes, tools, and procedures to monitor physical access to the perimeter(s).
CIP-006-3c	R1.4	Appropriate use of physical access controls as described in Requirement R4 including visitor pass management, response to loss, and prohibition of inappropriate use of physical access controls.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not address the appropriate use of physical access controls as described in Requirement R4.

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CIP-006-3c	R1.5	Review of access authorization requests and revocation of access authorization, in accordance with CIP-004-3 Requirement R4.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not address the review of access authorization requests or the revocation of access authorization, in accordance with CIP-004-3 Requirement R4.
CIP-006-3c	R1.6	A visitor control program for visitors (personnel without authorized unescorted access to a Physical Security Perimeter), containing at a minimum the following:	N/A	N/A	N/A	The Responsible Entity did not include or implement a visitor control program in its physical security plan or it does not meet the requirements of continuous escort.
CIP-006-3c	R1.6.1	Logs (manual or automated) to document the entry and exit of visitors, including the date and time, to and from Physical Security Perimeters.	N/A	N/A	N/A	N/A
CIP-006-3c	R1.6.2	Continuous escorted access of visitors within the Physical Security Perimeter	N/A	N/A	N/A	N/A
CIP-006-3c	R1.7	Update of the physical security plan within thirty calendar days of the completion of any physical security system redesign or reconfiguration, including, but not limited to, addition or removal of access points through the Physical Security Perimeter, physical	N/A	N/A	N/A	The Responsible Entity's physical security plan does not address r updating the physical security plan within thirty calendar days of the

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		access controls, monitoring controls, or logging controls.				<p>completion of a physical security system redesign or within thirty calendar days of the completion of a reconfiguration.</p> <p>OR</p> <p>The plan was not updated within thirty calendar days of the completion of a physical security system redesign or reconfiguration</p>
CIP-006-3c	R1.8	Annual review of the physical security plan.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not address a process for ensuring that the physical security plan is reviewed at least annually.
CIP-006-3c	R2	Protection of Physical Access Control Systems — Cyber Assets that authorize and/or log access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers, shall:	N/A	N/A	N/A	<p>A Cyber Asset that authorizes</p> <p>and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						<p>point such as electronic lock control mechanisms and badge readers, was not protected from unauthorized physical access.</p> <p>OR</p> <p>A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers was not afforded the protective measures specified in Standard CIP-003-3; Standard CIP-004-3 Requirement R3; Standard CIP-005-3 Requirements R2 and R3; Standard CIP-006-3a</p>

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						Requirements R4 and R5; Standard CIP-007-3; Standard CIP-008-3; and Standard CIP-009-3.
CIP-006-3c	R2.1.	Be protected from unauthorized physical access.	N/A	N/A	N/A	N/A
CIP-006-3c	R2.2.	Be afforded the protective measures specified in Standard CIP-003-3; Standard CIP-004-3 Requirement R3; Standard CIP-005-3 Requirements R2 and R3; Standard CIP-006-3a Requirements R4 and R5; Standard CIP-007-3; Standard CIP-008-3; and Standard CIP-009-3.	N/A	N/A	N/A	N/A
CIP-006-3c	R3	Protection of Electronic Access Control Systems — Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall reside within an identified Physical Security Perimeter.	N/A	N/A	N/A	A Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) does not reside within an identified Physical Security Perimeter.
CIP-006-3c	R4	Physical Access Controls — The Responsible Entity shall document and implement the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. The Responsible Entity shall implement one or more of the following physical access methods: <ul style="list-style-type: none"> • Card Key: A means of electronic access where the 	N/A	N/A	N/A	The Responsible Entity has not documented or has not implemented the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or

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		<p>access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another.</p> <ul style="list-style-type: none"> • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. • Security Personnel: Personnel responsible for controlling physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets 				<p>more of the following physical access methods:</p> <ul style="list-style-type: none"> • Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another. • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. • Security Personnel: Personnel responsible for controlling physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets.
CIP-006-3c	R5	Monitoring Physical Access — The Responsible Entity shall document and	N/A	N/A.	N/A	The Responsible

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>implement the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. Unauthorized access attempts shall be reviewed immediately and handled in accordance with the procedures specified in Requirement CIP-008-3. One or more of the following monitoring methods shall be used:</p> <ul style="list-style-type: none"> • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate notification to personnel responsible for response. • Human Observation of Access Points: Monitoring of physical access points by authorized personnel as specified in Requirement R4. 				<p>Entity has not documented or has not implemented the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following monitoring methods:</p> <ul style="list-style-type: none"> • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate notification to personnel responsible for response. • Human Observation of Access Points: Monitoring of physical access

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						<p>points by authorized personnel as specified in Requirement R4.</p> <p>OR</p> <p>An unauthorized access attempt was not reviewed immediately and handled in accordance with CIP-008-3.</p>
CIP-006-3c	R6	<p>Logging Physical Access — Logging shall record sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week. The Responsible Entity shall implement and document the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> • Computerized Logging: Electronic logs produced by the Responsible Entity’s selected access control and monitoring method. • Video Recording: Electronic capture of video images of 		N/A	N/A	<p>The Responsible Entity has not implemented or has not documented the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> • Computerized Logging: Electronic logs produced by the Responsible Entity’s selected access

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		<p>sufficient quality to determine identity.</p> <ul style="list-style-type: none"> Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4 				<p>control and monitoring method,</p> <ul style="list-style-type: none"> Video Recording: Electronic capture of video images of sufficient quality to determine identity, or Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4. <p>OR</p> <p>The Responsible Entity has not recorded sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week.</p>
CIP-006-3c	R7	Access Log Retention — The responsible entity shall retain physical access logs for at least ninety calendar days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-3.	N/A	N/A	N/A	The responsible entity did not retain physical access logs for at least ninety calendar days.

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CIP-006-3c	R8	Maintenance and Testing — The Responsible Entity shall implement a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly. The program must include, at a minimum, the following:	N/A	N/A	N/A	The Responsible Entity has not implemented a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly. OR The implemented program does not include one or more of the requirements; R8.1, R8.2, and R8.3.
CIP-006-3c	R8.1	Testing and maintenance of all physical security mechanisms on a cycle no longer than three years.	N/A	N/A	N/A	N/A
CIP-006-3c	R8.2	Retention of testing and maintenance records for the cycle determined by the Responsible Entity in Requirement R8.1.	N/A	N/A	N/A	N/A
CIP-006-3c	R8.3	Retention of outage records regarding access controls, logging, and monitoring for a minimum of one calendar year.	N/A	N/A	N/A	N/A
CIP-006-4c	R1.	Physical Security Plan —The Responsible Entity shall document, implement, and maintain a physical security plan, approved by the senior manager or delegate(s) that shall address, at a minimum, the following:	N/A	N/A	The Responsible Entity created a physical security plan but did not gain approval by a senior manager or delegate(s). OR	The Responsible Entity did not document, implement, and maintain a physical security plan.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					The Responsible Entity created and implemented but did not maintain a physical security plan.	
CIP-006-4c	R1.1.	All Cyber Assets within an Electronic Security Perimeter shall reside within an identified Physical Security Perimeter. Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity shall deploy and document alternative measures to control physical access to such Cyber Assets.	N/A	Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity has deployed but not documented alternative measures to control physical access to such Cyber Assets within the Electronic Security Perimeter.	Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity has not deployed alternative measures to control physical access to such Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity's physical security plan does not include processes to ensure and document that all Cyber Assets within an Electronic Security Perimeter also reside within an identified Physical Security Perimeter. OR Where a completely enclosed (“six-wall”) border cannot be established, the Responsible Entity has not deployed and documented alternative measures to control physical to such Cyber Assets within the Electronic Security Perimeter.
CIP-006-4c	R1.2.	Identification of all physical access points through each Physical Security Perimeter and measures to control entry at those access points.	N/A	The Responsible Entity's physical security plan includes measures to control entry at access points but does not identify all access points through each Physical	The Responsible Entity's physical security identifies all access points through each Physical Security Perimeter but does not identify measures to control	The Responsible Entity's physical security plan does not identify all access points through each Physical Security Perimeter nor measures to control

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Security Perimeter.	entry at those access points.	entry at those access points.
CIP-006-4c	R1.3.	Processes, tools, and procedures to monitor physical access to the perimeter(s).	N/A	N/A	N/A	The Responsible Entity's physical security plan does not include processes, tools, and procedures to monitor physical access to the perimeter(s).
CIP-006-4c	R1.4.	Appropriate use of physical access controls as described in Requirement R4 including visitor pass management, response to loss, and prohibition of inappropriate use of physical access controls.	N/A	N/A	N/A	The Responsible Entity's physical security plan does not address the appropriate use of physical access controls as described in Requirement R4.
CIP-006-4c	R1.5.	Review of access authorization requests and revocation of access authorization, in accordance with CIP-004-4 Requirement R4.	N/A	N/A	The Responsible Entity's physical security plan does not address either the process for reviewing access authorization requests or the process for revocation of access authorization, in accordance with CIP-004-4 Requirement R4.	The Responsible Entity's physical security plan does not address the process for reviewing access authorization requests and the process for revocation of access authorization, in accordance with CIP-004-4 Requirement R4.
CIP-006-4c	R1.6.	A visitor control program for visitors (personnel without authorized unescorted	The responsible Entity included a	The responsible Entity included a visitor	The responsible Entity included a	The Responsible Entity did not include

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		access to a Physical Security Perimeter), containing at a minimum the following:	visitor control program in its physical security plan, but either did not log the visitor entrance or did not log the visitor exit from the Physical Security Perimeter.	control program in its physical security plan, but either did not log the visitor or did not log the escort.	visitor control program in its physical security plan, but it does not meet the requirements of continuous escort.	or implement a visitor control program in its physical security plan.
CIP-006-4c	R1.6.1.	Logs (manual or automated) to document the entry and exit of visitors, including the date and time, to and from Physical Security Perimeters.	N/A	N/A	N/A	N/A
CIP-006-4c	R1.6.2.	Continuous escorted access of visitors within the Physical Security Perimeter.	N/A	N/A	N/A	N/A
CIP-006-4c	R1.7.	Update of the physical security plan within thirty calendar days of the completion of any physical security system redesign or reconfiguration, including, but not limited to, addition or removal of access points through the Physical Security Perimeter, physical access controls, monitoring controls, or logging controls.	N/A	N/A	The Responsible Entity's physical security plan addresses a process for updating the physical security plan within thirty calendar days of the completion of any physical security system redesign or reconfiguration but the plan was not updated within thirty calendar days of the completion of a physical security system redesign or	The Responsible Entity's physical security plan does not address a process for updating the physical security plan within thirty calendar days of the completion of a physical security system redesign or reconfiguration.

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					reconfiguration.	
CIP-006-4c	R1.8.	Annual review of the physical security plan.	N/A	N/A	N/A	The Responsible Entity's physical Security plan does not address a process for ensuring that the physical security plan is reviewed at least annually.
CIP-006-4c	R2.	Protection of Physical Access Control Systems — Cyber Assets that authorize and/or log access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers, shall:	A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers was provided with all but one (1) of the protective measures specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and Standard CIP-006-4	A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers was provided with all but two (2) of the protective measures specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and Standard CIP-009-4.	A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers was provided with all but three (3) of the protective measures specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and	A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access point such as electronic lock control mechanisms and badge readers, was not protected from unauthorized physical access. OR A Cyber Asset that authorizes and/or logs access to the Physical Security Perimeter(s), exclusive of hardware at the Physical Security Perimeter access

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			Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and Standard CIP-009-4.		Standard CIP-009-4.	point such as electronic lock control mechanisms and badge readers was provided without four (4) or more of the protective measures specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4 Requirements R2 and R3; Standard CIP-006-4 Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and Standard CIP-009-4.
CIP-006-4c	R2.1.	Be protected from unauthorized physical access.	N/A	N/A	N/A	N/A
CIP-006-4c	R2.2.	Be afforded the protective measures specified in Standard CIP-003-4; Standard CIP-004-4 Requirement R3; Standard CIP-005-4a Requirements R2 and R3; Standard CIP-006-4c Requirements R4 and R5; Standard CIP-007-4; Standard CIP-008-4; and Standard CIP-009-4.	N/A	N/A	N/A	N/A
CIP-006-4c	R3.	Protection of Electronic Access Control Systems — Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) shall reside within an identified Physical Security Perimeter.	N/A	N/A	N/A	A Cyber Assets used in the access control and/or monitoring of the Electronic Security Perimeter(s) did not reside within

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						an identified Physical Security Perimeter.
CIP-006-4c	R4.	<p>Physical Access Controls — The Responsible Entity shall document and implement the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. The Responsible Entity shall implement one or more of the following physical access methods:</p> <ul style="list-style-type: none"> • Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. • Security Personnel: Personnel responsible for controlling physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets. 	N/A	<p>The Responsible Entity has implemented but not documented the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following physical access methods:</p> <ul style="list-style-type: none"> • Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another. • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. <p>Security Personnel: Personnel responsible for controlling</p>	<p>The Responsible Entity has documented but not implemented the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following physical access methods:</p> <ul style="list-style-type: none"> • Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another. • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. <p>• Security Personnel:</p>	<p>The Responsible Entity has not documented nor implemented the operational and procedural controls to manage physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following physical access methods:</p> <ul style="list-style-type: none"> • Card Key: A means of electronic access where the access rights of the card holder are predefined in a computer database. Access rights may differ from one perimeter to another. • Special Locks: These include, but are not limited to, locks with “restricted key” systems, magnetic locks that can be operated remotely, and “man-trap” systems. <p>• Security Personnel:</p>

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				physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets.	Personnel responsible for controlling physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets..	Personnel responsible for controlling physical access who may reside on-site or at a monitoring station. • Other Authentication Devices: Biometric, keypad, token, or other equivalent devices that control physical access to the Critical Cyber Assets..
CIP-006-4c	R5.	Monitoring Physical Access —The Responsible Entity shall document and implement the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week. Unauthorized access attempts shall be reviewed immediately and handled in accordance with the procedures specified in Requirement CIP-008-4. One or more of the following monitoring methods shall be used: <ul style="list-style-type: none"> • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate notification to personnel responsible for response. • Human Observation of Access Points: Monitoring of physical 	N/A	The Responsible Entity has implemented but not documented the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following monitoring methods: • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate notification to	The Responsible Entity has documented but not implemented the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following monitoring methods: • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate	The Responsible Entity has not documented nor implemented the technical and procedural controls for monitoring physical access at all access points to the Physical Security Perimeter(s) twenty-four hours a day, seven days a week using one or more of the following monitoring methods: • Alarm Systems: Systems that alarm to indicate a door, gate or window has been opened without authorization. These alarms must provide for immediate

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		access points by authorized personnel as specified in Requirement R4.		<p>personnel responsible for response.</p> <ul style="list-style-type: none"> Human Observation of Access Points: Monitoring of physical access points by authorized personnel as specified in Requirement R4. 	<p>notification to personnel responsible for response.</p> <ul style="list-style-type: none"> Human Observation of Access Points: Monitoring of physical access points by authorized personnel as specified in Requirement R4. 	<p>notification to personnel responsible for response.</p> <ul style="list-style-type: none"> Human Observation of Access Points: Monitoring of physical access points by authorized personnel as specified in Requirement R4. <p>OR</p> <p>An unauthorized access attempt was not reviewed immediately and handled in accordance with CIP-008-4.</p>
CIP-006-4c	R6.	<p>Logging Physical Access — Logging shall record sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week. The Responsible Entity shall implement and document the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> Computerized Logging: Electronic logs produced by the Responsible Entity's selected access control and monitoring method. Video Recording: Electronic capture of video images of 	<p>The Responsible Entity has implemented but not documented the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> Computerized Logging: Electronic logs 	<p>The Responsible Entity has implemented the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> Computerized Logging: Electronic logs produced by the Responsible Entity's selected access control 	<p>The Responsible Entity has documented but not implemented the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> Computerized Logging: Electronic logs produced by the Responsible Entity's selected access 	<p>The Responsible Entity has not implemented nor documented the technical and procedural mechanisms for logging physical entry at all access points to the Physical Security Perimeter(s) using one or more of the following logging methods or their equivalent:</p> <ul style="list-style-type: none"> Computerized Logging: Electronic logs produced by the Responsible Entity's selected access

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		<p>sufficient quality to determine identity.</p> <ul style="list-style-type: none"> Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4. 	<p>produced by the Responsible Entity's selected access control and monitoring method,</p> <ul style="list-style-type: none"> Video Recording: Electronic capture of video images of sufficient quality to determine identity, or Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4, and has provided logging that records sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week. 	<p>and monitoring method,</p> <ul style="list-style-type: none"> Video Recording: Electronic capture of video images of sufficient quality to determine identity, or Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4, but has not provided logging that records sufficient information to uniquely identify individuals and the time of access twenty-four hours a day, seven days a week.. 	<p>control and monitoring method,</p> <ul style="list-style-type: none"> Video Recording: Electronic capture of video images of sufficient quality to determine identity, or Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4. 	<p>control and monitoring method,</p> <ul style="list-style-type: none"> Video Recording: Electronic capture of video images of sufficient quality to determine identity, or Manual Logging: A log book or sign-in sheet, or other record of physical access maintained by security or other personnel authorized to control and monitor physical access as specified in Requirement R4.
CIP-006-4c	R7.	Access Log Retention —The Responsible Entity shall retain physical access logs for at least ninety calendar	The Responsible Entity retained physical access	The Responsible Entity retained physical access logs	The Responsible Entity retained physical access logs	The Responsible Entity retained physical access logs

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		days. Logs related to reportable incidents shall be kept in accordance with the requirements of Standard CIP-008-4.	logs for 75 or more calendar days, but for less than 90 calendar days.	for 60 or more calendar days, but for less than 75 calendar days.	for 45 or more calendar days, but for less than 60 calendar days.	for less than 45 calendar days.
CIP-006-4c	R8.	Maintenance and Testing — The Responsible Entity shall implement a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly. The program must include, at a minimum, the following:	The Responsible Entity has implemented a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly but the program does not include one of the Requirements R8.1, R8.2, and R8.3.	The Responsible Entity has implemented a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly but the program does not include two of the Requirements R8.1, R8.2, and R8.3.	The Responsible Entity has implemented a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly but the program does not include any of the Requirements R8.1, R8.2, and R8.3.	The Responsible Entity has not implemented a maintenance and testing program to ensure that all physical security systems under Requirements R4, R5, and R6 function properly.
CIP-006-4c	R8.1.	Testing and maintenance of all physical security mechanisms on a cycle no longer than three years.	N/A	N/A	N/A	N/A
CIP-006-4c	R8.2.	Retention of testing and maintenance records for the cycle determined by the Responsible Entity in Requirement R8.1.	N/A	N/A	N/A	N/A
CIP-006-4c	R8.3.	Retention of outage records regarding access controls, logging, and monitoring for a minimum of one calendar year.	N/A	N/A	N/A	N/A

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CIP-007-3	R1.	Test Procedures — The Responsible Entity shall ensure that new Cyber Assets and significant changes to existing Cyber Assets within the Electronic Security Perimeter do not adversely affect existing cyber security controls. For purposes of Standard CIP-007-3, a significant change shall, at a minimum, include implementation of security patches, cumulative service packs, vendor releases, and version upgrades of operating systems, applications, database platforms, or other third-party software or firmware.	N/A	N/A	N/A	The Responsible Entity did not ensure the prevention of adverse affects described in R1, by not including the required minimum significant changes. OR The Responsible Entity did not address one or more of the following: R1.1, R1.2, R1.3.
CIP-007-3	R1.1.	The Responsible Entity shall create, implement, and maintain cyber security test procedures in a manner that minimizes adverse effects on the production system or its operation.	N/A	N/A	N/A	N/A
CIP-007-3	R1.2.	The Responsible Entity shall document that testing is performed in a manner that reflects the production environment.	N/A	N/A	N/A	N/A
CIP-007-3	R1.3.	The Responsible Entity shall document test results.	N/A	N/A	N/A	N/A
CIP-007-3	R2.	Ports and Services — The Responsible Entity shall establish, document and implement a process to ensure that only those ports and services required for normal and emergency operations are enabled.	N/A	N/A	N/A	The Responsible Entity did not establish (implement) or did not document a process to ensure that only those ports and services required for normal and emergency operations are enabled.

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CIP-007-3	R2.1.	The Responsible Entity shall enable only those ports and services required for normal and emergency operations.	N/A	N/A	N/A	The Responsible Entity enabled one or more ports or services not required for normal and emergency operations on Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-3	R2.2.	The Responsible Entity shall disable other ports and services, including those used for testing purposes, prior to production use of all Cyber Assets inside the Electronic Security Perimeter(s).	N/A	N/A	N/A	The Responsible Entity did not disable one or more other ports or services, including those used for testing purposes, prior to production use for Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-3	R2.3.	In the case where unused ports and services cannot be disabled due to technical limitations, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	For cases where unused ports and services cannot be disabled due to technical limitations, the Responsible Entity did not document compensating measure(s) applied to mitigate risk.
CIP-007-3	R3.	Security Patch Management — The Responsible Entity, either separately or as a component of the documented configuration management process specified in CIP-003-3 Requirement R6, shall establish, document and implement a security patch management program	N/A	N/A	N/A	The Responsible Entity did not establish (implement) or did not document, either separately or as a component of the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).				documented configuration management process specified in CIP-003-3 Requirement R6, a security patch management program for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).
CIP-007-3	R3.1.	The Responsible Entity shall document the assessment of security patches and security upgrades for applicability within thirty calendar days of availability of the patches or upgrades.	N/A	N/A	N/A	The Responsible Entity did not document the assessment of security patches and security upgrades for applicability as required in Requirement R3 within 30 calendar days after the availability of the patches and upgrades.
CIP-007-3	R3.2.	The Responsible Entity shall document the implementation of security patches. In any case where the patch is not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	The Responsible Entity did not document the implementation of applicable security patches as required in R3.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						OR Where an applicable patch was not installed, the Responsible Entity did not document the compensating measure(s) applied to mitigate risk.
CIP-007-3	R4.	Malicious Software Prevention — The Responsible Entity shall use anti-virus software and other malicious software (“malware”) prevention tools, where technically feasible, to detect, prevent, deter, and mitigate the introduction, exposure, and propagation of malware on all Cyber Assets within the Electronic Security Perimeter(s).	N/A	N/A	N/A	The Responsible Entity, where technically feasible, did not use anti-virus software or other malicious software (“malware”) prevention tools, on one or more Cyber Assets within the Electronic Security Perimeter(s).
CIP-007-3	R4.1.	The Responsible Entity shall document and implement anti-virus and malware prevention tools. In the case where anti-virus software and malware prevention tools are not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	The Responsible Entity did not document the implementation of antivirus and malware prevention tools for cyber assets within the electronic security perimeter. OR The Responsible Entity did not document the implementation of

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						compensating measure(s) applied to mitigate risk exposure where antivirus and malware prevention tools are not installed.
CIP-007-3	R4.2.	The Responsible Entity shall document and implement a process for the update of anti-virus and malware prevention “signatures.” The process must address testing and installing the signatures.	N/A	N/A	N/A	The Responsible Entity did not document or did not implement a process including addressing testing and installing the signatures for the update of anti-virus and malware prevention “signatures.”
CIP-007-3	R5.	Account Management — The Responsible Entity shall establish, implement, and document technical and procedural controls that enforce access authentication of, and accountability for, all user activity, and that minimize the risk of unauthorized system access.	N/A	N/A	N/A	The Responsible Entity did not document or did not implement technical and procedural controls that enforce access authentication of, and accountability for, all user activity.
CIP-007-3	R5.1.	The Responsible Entity shall ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to know” with respect to work functions performed.	N/A	N/A	N/A	The Responsible Entity did not ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to

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						know” with respect to work functions performed.
CIP-007-3	R5.1.1.	The Responsible Entity shall ensure that user accounts are implemented as approved by designated personnel. Refer to Standard CIP-003-3 Requirement R5.	N/A	N/A	N/A	One or more user accounts implemented by the Responsible Entity were not implemented as approved by designated personnel.
CIP-007-3	R5.1.2.	The Responsible Entity shall establish methods, processes, and procedures that generate logs of sufficient detail to create historical audit trails of individual user account access activity for a minimum of ninety days.	N/A	The Responsible Entity generated logs with sufficient detail to create historical audit trails of individual user account access activity, however the logs do not contain activity for a minimum of 90 days.	The Responsible Entity generated logs with insufficient detail to create historical audit trails of individual user account access activity.	The Responsible Entity did not generate logs of individual user account access activity.
CIP-007-3	R5.1.3.	The Responsible Entity shall review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003-3 Requirement R5 and Standard CIP-004-3 Requirement R4.	N/A	N/A	N/A	The Responsible Entity did not review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003-3 Requirement R5 and Standard CIP-004-3 Requirement R4.
CIP-007-3	R5.2.	The Responsible Entity shall implement a policy to minimize and manage the	N/A	N/A	N/A	The Responsible Entity did not

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		scope and acceptable use of administrator, shared, and other generic account privileges including factory default accounts.				implement a policy to minimize and manage the scope and acceptable use of administrator, shared, and other generic account privileges including factory default accounts.
CIP-007-3	R5.2.1.	The policy shall include the removal, disabling, or renaming of such accounts where possible. For such accounts that must remain enabled, passwords shall be changed prior to putting any system into service.	N/A	N/A	The Responsible Entity's policy did not include the removal, disabling, or renaming of such accounts where possible, however for accounts that must remain enabled, passwords were changed prior to putting any system into service.	For accounts that must remain enabled, the Responsible Entity did not change passwords prior to putting any system into service.
CIP-007-3	R5.2.2.	The Responsible Entity shall identify those individuals with access to shared accounts.	N/A	N/A	N/A	The Responsible Entity did not identify all individuals with access to shared accounts.
CIP-007-3	R5.2.3.	Where such accounts must be shared, the Responsible Entity shall have a policy for managing the use of such accounts that limits access to only those with authorization, an audit trail of the account use (automated or manual), and steps for securing the account in the event of personnel changes (for example, change in assignment or termination).	N/A	N/A	N/A	Where such accounts must be shared, the Responsible Entity has not implemented (one or more components of) a policy for managing the use of such accounts that limits

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						access to only those with authorization, an audit trail of the account use (automated or manual), and steps for securing the account in the event of personnel changes (for example, change in assignment or termination).
CIP-007-3	R5.3.	At a minimum, the Responsible Entity shall require and use passwords, subject to the following, as technically feasible:	N/A	N/A	N/A	The Responsible Entity does not require passwords subject to R5.3.1, R5.3.2, R5.3.3. OR Does not use passwords subject to R5.3.1, R5.3.2, R5.3.3.
CIP-007-3	R5.3.1.	Each password shall be a minimum of six characters.	N/A	N/A	N/A	N/A
CIP-007-3	R5.3.2.	Each password shall consist of a combination of alpha, numeric, and “special” characters.	N/A	N/A	N/A	N/A
CIP-007-3	R5.3.3.	Each password shall be changed at least annually, or more frequently based on risk.	N/A	N/A	N/A	N/A
CIP-007-3	R6.	Security Status Monitoring — The Responsible Entity shall ensure that all Cyber Assets within the Electronic Security Perimeter, as technically feasible, implement automated tools or organizational process controls to	N/A	N/A	N/A	The Responsible Entity as technically feasible, did not implement automated tools or organizational

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		monitor system events that are related to cyber security.				process controls, to monitor system events that are related to cyber security on one or more of Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-3	R6.1.	The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.	N/A	N/A	N/A	The Responsible Entity did not implement or did not document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.
CIP-007-3	R6.2.	The security monitoring controls shall issue automated or manual alerts for detected Cyber Security Incidents.	N/A	N/A	N/A	The Responsible entity's security monitoring controls do not issue automated or manual alerts for detected Cyber Security Incidents.
CIP-007-3	R6.3.	The Responsible Entity shall maintain logs of system events related to cyber security, where technically feasible, to support incident response as required in Standard CIP-008-3.	N/A	N/A	N/A	The Responsible Entity did not maintain logs of system events related to cyber security, where technically feasible, to support

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						incident response as required in Standard CIP-008.
CIP-007-3	R6.4.	The Responsible Entity shall retain all logs specified in Requirement R6 for ninety calendar days.	N/A	N/A	N/A	The Responsible Entity did not retain one or more of the logs specified in Requirement R6 for at least 90 calendar days.
CIP-007-3	R6.5.	The Responsible Entity shall review logs of system events related to cyber security and maintain records documenting review of logs.	N/A	N/A	N/A	The Responsible Entity did not review logs of system events related to cyber security nor maintain records documenting review of logs.
CIP-007-3	R7.	Disposal or Redeployment — The Responsible Entity shall establish and implement formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-3.	N/A	N/A	The Responsible Entity established and implemented formal methods, processes, and procedures for redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005- 3 but did not address redeployment as specified in R7.2.	The Responsible Entity did not establish or implement formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-3. OR

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						<p>The Responsible Entity established formal methods, processes, and procedures for redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-2 but did not address disposal as specified in R7.1.</p> <p>OR</p> <p>The Responsible Entity did not maintain records pertaining to disposal or [3] redeployment as specified in R7.3.</p>

³ Please note that FERC’s January 20, 2011 Order on Version 2 And Version 3 Violation Risk Factors And Violation Severity Levels For Critical Infrastructure Protection Reliability Standards dictated that this should read “...records pertaining to disposal **of** redeployment as specified in R7.3.” (Emphasis added) It has come to NERC’s attention that it should read “...records pertaining to disposal **or** redeployment as specified in R7.3.” (emphasis added) and NERC has made this change accordingly. NERC proposes to remove this footnote from the final approved list of VSLs.

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						<u>(Deleted text retired)</u>
CIP-007-3	R7.1.	Prior to the disposal of such assets, the Responsible Entity shall destroy or erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.	N/A	N/A	N/A	N/A
CIP-007-3	R7.2.	Prior to redeployment of such assets, the Responsible Entity shall, at a minimum, erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.	N/A	N/A	N/A	N/A
CIP-007-3	R7.3. <u>(Retired)</u>	The Responsible Entity shall maintain records that such assets were disposed of or redeployed in accordance with documented procedures.	N/A	N/A	N/A	N/A
CIP-007-3	R8	Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of all Cyber Assets within the Electronic Security Perimeter at least annually. The vulnerability assessment shall include, at a minimum, the following:	N/A	N/A	N/A	The Responsible Entity did not perform a Vulnerability Assessment on one or more Cyber Assets within the Electronic Security Perimeter at least annually. OR The vulnerability assessment did not include one (1) or more of the subrequirements 8.1, 8.2, 8.3, 8.4.
CIP-007-3	R8.1.	A document identifying the vulnerability assessment process;	N/A	N/A	N/A	N/A
CIP-007-3	R8.2.	A review to verify that only ports and services required for operation of the	N/A	N/A	N/A	N/A

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		Cyber Assets within the Electronic Security Perimeter are enabled;				
CIP-007-3	R8.3.	A review of controls for default accounts; and,	N/A	N/A	N/A	N/A
CIP-007-3	R8.4.	Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.	N/A	N/A	N/A	N/A
CIP-007-3	R9	Documentation Review and Maintenance — The Responsible Entity shall review and update the documentation specified in Standard CIP-007-3 at least annually. Changes resulting from modifications to the systems or controls shall be documented within thirty calendar days of the change being completed.	N/A	N/A	The Responsible Entity did not review and update the documentation specified in Standard CIP-007-3 at least annually. OR The Responsible Entity did not document changes resulting from modifications to the systems or controls within thirty calendar days of the change being completed.	The Responsible Entity did not review and update the documentation specified in Standard CIP-007-3 at least annually and changes resulting from modifications to the systems or controls were not documented within thirty calendar days of the change being completed.
CIP-007-4	R1.	Test Procedures —The Responsible Entity shall ensure that new Cyber Assets and significant changes to existing Cyber Assets within the Electronic Security Perimeter do not	N/A	The Responsible Entity did create, implement and maintain the test procedures as required	The Responsible Entity did not create, implement and maintain the test procedures as	The Responsible Entity did not create, implement and maintain the test procedures as

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		adversely affect existing cyber security controls. For purposes of Standard CIP-007-4, a significant change shall, at a minimum, include implementation of security patches, cumulative service packs, vendor releases, and version upgrades of operating systems, applications, database platforms, or other third-party software or firmware.		in R1.1, but did not document that testing is performed as required in R1.2. OR The Responsible Entity did not document the test results as required in R1.3.	required in R1.1.	required in R1.1, AND The Responsible Entity did not document that testing was performed as required in R1.2 AND The Responsible Entity did not document the test results as required in R1.3.
CIP-007-4	R1.1.	The Responsible Entity shall create, implement, and maintain cyber security test procedures in a manner that minimizes adverse effects on the production system or its operation.	N/A	N/A	N/A	N/A
CIP-007-4	R1.2.	The Responsible Entity shall document that testing is performed in a manner that reflects the production environment.	N/A	N/A	N/A	N/A
CIP-007-4	R1.3.	The Responsible Entity shall document test results.	N/A	N/A	N/A	N/A
CIP-007-4	R2.	Ports and Services —The Responsible Entity shall establish, document and implement a process to ensure that only those ports and services required for normal and emergency operations are enabled.	N/A	The Responsible Entity established (implemented) but did not document a process to ensure that only those ports and services required for normal and emergency operations are enabled.	The Responsible Entity documented but did not establish (implement) a process to ensure that only those ports and services required for normal and emergency operations are enabled.	The Responsible Entity did not establish (implement) nor document a process to ensure that only those ports and services required for normal and emergency operations are enabled.

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CIP-007-4	R2.1.	The Responsible Entity shall enable only those ports and services required for normal and emergency operations.	The Responsible Entity enabled ports and services not required for normal and emergency operations on at least one but less than 5% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity enabled ports and services not required for normal and emergency operations on 5% or more but less than 10% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity enabled ports and services not required for normal and emergency operations on 10% or more but less than 15% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity enabled ports and services not required for normal and emergency operations on 15% or more of the Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-4	R2.2.	The Responsible Entity shall disable other ports and services, including those used for testing purposes, prior to production use of all Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not disable other ports and services, including those used for testing purposes, prior to production use for at least one but less than 5% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not disable other ports and services, including those used for testing purposes, prior to production use for 5% or more but less than 10% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not disable other ports and services, including those used for testing purposes, prior to production use for 10% or more but less than 15% of the Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not disable other ports and services, including those used for testing purposes, prior to production use for 15% or more of the Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-4	R2.3.	In the case where unused ports and services cannot be disabled due to technical limitations, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	For cases where unused ports and services cannot be disabled due to technical limitations, the Responsible

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						Entity did not document compensating measure(s) applied to mitigate risk exposure.
CIP-007-4	R3.	Security Patch Management —The Responsible Entity, either separately or as a component of the documented configuration management process specified in CIP-003-4 Requirement R6, shall establish, document and implement a security patch management program for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).	The Responsible Entity established (implemented) and documented, either separately or as a component of the documented configuration management process specified in CIP-003-4 Requirement R6, a security patch management program but did not include one or more of the following: tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).	The Responsible Entity established (implemented) but did not document, either separately or as a component of the documented configuration management process specified in CIP-003-4 Requirement R6, a security patch management program for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).	The Responsible Entity documented but did not establish (implement), either separately or as a component of the documented configuration management process specified in CIP-003-4 Requirement R6, a security patch management program for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).	The Responsible Entity did not establish (implement) nor document, either separately or as a component of the documented configuration management process specified in CIP-003-4 Requirement R6, a security patch management program for tracking, evaluating, testing, and installing applicable cyber security software patches for all Cyber Assets within the Electronic Security Perimeter(s).
CIP-007-4	R3.1.	The Responsible Entity shall document the assessment of security patches and security upgrades for applicability within	The Responsible Entity documented the assessment of	The Responsible Entity documented the assessment of security	The Responsible Entity documented the assessment of	The Responsible Entity documented the assessment of

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		thirty calendar days of availability of the patches or upgrades.	security patches and security upgrades for applicability as required in Requirement R3 in more than 30 but less than 60 calendar days after the availability of the patches and upgrades.	patches and security upgrades for applicability as required in Requirement R3 in 60 or more but less than 90 calendar days after the availability of the patches and upgrades.	security patches and security upgrades for applicability as required in Requirement R3 in 90 or more but less than 120 calendar days after the availability of the patches and upgrades.	security patches and security upgrades for applicability as required in Requirement R3 in 120 calendar days or more after the availability of the patches and upgrades.
CIP-007-4	R3.2.	The Responsible Entity shall document the implementation of security patches. In any case where the patch is not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	The Responsible Entity did not document the implementation of applicable security patches as required in R3. OR Where an applicable patch was not installed, the Responsible Entity did not document the compensating measure(s) applied to mitigate risk exposure.
CIP-007-4	R4.	Malicious Software Prevention —The Responsible Entity shall use anti-virus software and other malicious software (“malware”) prevention tools, where technically feasible, to detect, prevent, deter, and mitigate the introduction, exposure, and propagation of malware on all Cyber Assets within the Electronic	The Responsible Entity, as technically feasible, did not use anti-virus software and other malicious software (“malware”)	The Responsible Entity, as technically feasible, did not use anti-virus software and other malicious software (“malware”) prevention tools, nor implemented	The Responsible Entity, as technically feasible, did not use anti-virus software and other malicious software (“malware”) prevention tools, nor implemented	The Responsible Entity, as technically feasible, did not use anti-virus software and other malicious software (“malware”) prevention tools, nor implemented

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		Security Perimeter(s).	prevention tools, nor implemented compensating measures, on at least one but less than 5% of Cyber Assets within the Electronic Security Perimeter(s).	compensating measures, on at least 5% but less than 10% of Cyber Assets within the Electronic Security Perimeter(s).	compensating measures, on at least 10% but less than 15% of Cyber Assets within the Electronic Security Perimeter(s).	compensating measures, on 15% or more Cyber Assets within the Electronic Security Perimeter(s).
CIP-007-4	R4.1.	The Responsible Entity shall document and implement anti-virus and malware prevention tools. In the case where anti-virus software and malware prevention tools are not installed, the Responsible Entity shall document compensating measure(s) applied to mitigate risk exposure.	N/A	N/A	N/A	The Responsible Entity did not document the implementation of antivirus and malware prevention tools for cyber assets within the electronic security perimeter. OR The Responsible Entity did not document the implementation of compensating measure(s) applied to mitigate risk exposure where antivirus and malware prevention tools are not installed.
CIP-007-4	R4.2.	The Responsible Entity shall document and implement a process for the update of anti-virus and malware prevention “signatures.” The process must address testing and installing the signatures.	The Responsible Entity, as technically feasible, documented and implemented a	The Responsible Entity, as technically feasible, did not document but implemented a process, including	The Responsible Entity, as technically feasible, documented but did not implement a process, including addressing	The Responsible Entity, as technically feasible, did not document nor implement a process including addressing

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			process for the update of anti-virus and malware prevention “signatures.”, but the process did not address testing and installation of the signatures.	addressing testing and installing the signatures, for the update of anti-virus and malware prevention “signatures.”	testing and installing the signatures, for the update of anti-virus and malware prevention “signatures.”	testing and installing the signatures for the update of anti-virus and malware prevention “signatures.”
CIP-007-4	R5.	Account Management — The Responsible Entity shall establish, implement, and document technical and procedural controls that enforce access authentication of, and accountability for, all user activity, and that minimize the risk of unauthorized system access.	N/A	The Responsible Entity implemented but did not document technical and procedural controls that enforce access authentication of, and accountability for, all user activity.	The Responsible Entity documented but did not implement technical and procedural controls that enforce access authentication of, and accountability for, all user activity.	The Responsible Entity did not document nor implement technical and procedural controls that enforce access authentication of, and accountability for, all user activity.
CIP-007-4	R5.1.	The Responsible Entity shall ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to know” with respect to work functions performed.	N/A	N/A	N/A	The Responsible Entity did not ensure that individual and shared system accounts and authorized access permissions are consistent with the concept of “need to know” with respect to work functions performed.
CIP-007-4	R5.1.1.	The Responsible Entity shall ensure that user accounts are implemented as approved by designated personnel. Refer to Standard CIP-003-4 Requirement R5.	At least one user account but less than 1% of user accounts	One (1) % or more of user accounts but less than 3% of user accounts implemented	Three (3) % or more of user accounts but less than 5% of user accounts	Five (5) % or more of user accounts implemented by the Responsible Entity

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			implemented by the Responsible Entity, were not approved by designated personnel.	by the Responsible Entity were not approved by designated personnel.	implemented by the Responsible Entity were not approved by designated personnel.	were not approved by designated personnel.
CIP-007-4	R5.1.2.	The Responsible Entity shall establish methods, processes, and procedures that generate logs of sufficient detail to create historical audit trails of individual user account access activity for a minimum of ninety days.	N/A	The Responsible Entity generated logs with sufficient detail to create historical audit trails of individual user account access activity, however the logs do not contain activity for a minimum of 90 days.	The Responsible Entity generated logs with insufficient detail to create historical audit trails of individual user account access activity.	The Responsible Entity did not generate logs of individual user account access activity.
CIP-007-4	R5.1.3.	The Responsible Entity shall review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003-4 Requirement R5 and Standard CIP-004-4 Requirement R4.	N/A	N/A	N/A	The Responsible Entity did not review, at least annually, user accounts to verify access privileges are in accordance with Standard CIP-003-4 Requirement R5 and Standard CIP-004-4 Requirement R4.
CIP-007-4	R5.2.	The Responsible Entity shall implement a policy to minimize and manage the scope and acceptable use of administrator, shared, and other generic account privileges including factory default accounts.	N/A	N/A	N/A	The Responsible Entity did not implement a policy to minimize and manage the scope and acceptable use of administrator, shared, and other generic

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						account privileges including factory default accounts.
CIP-007-4	R5.2.1.	The policy shall include the removal, disabling, or renaming of such accounts where possible. For such accounts that must remain enabled, passwords shall be changed prior to putting any system into service.	N/A	N/A	The Responsible Entity's policy did not include the removal, disabling, or renaming of such accounts where possible, however for accounts that must remain enabled, passwords were changed prior to putting any system into service.	For accounts that must remain enabled, the Responsible Entity did not change passwords prior to putting any system into service.
CIP-007-4	R5.2.2.	The Responsible Entity shall identify those individuals with access to shared accounts.	N/A	N/A	N/A	The Responsible Entity did not identify all individuals with access to shared accounts.
CIP-007-4	R5.2.3.	Where such accounts must be shared, the Responsible Entity shall have a policy for managing the use of such accounts that limits access to only those with authorization, an audit trail of the account use (automated or manual), and steps for securing the account in the event of personnel changes (for example, change in assignment or termination).	N/A	Where such accounts must be shared, the Responsible Entity has a policy for managing the use of such accounts, but is missing 1 of the following 3 items: a) limits access to only those with authorization,	Where such accounts must be shared, the Responsible Entity has a policy for managing the use of such accounts, but is missing 2 of the following 3 items: a) limits access to only those with authorization,	Where such accounts must be shared, the Responsible Entity does not have a policy for managing the use of such accounts that limits access to only those with authorization, an audit trail of the account use (automated or

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				b) has an audit trail of the account use (automated or manual), c) has specified steps for securing the account in the event of personnel changes (for example, change in assignment or termination).	b) has an audit trail of the account use (automated or manual), c) has specified steps for securing the account in the event of personnel changes (for example, change in assignment or termination).	manual), and steps for securing the account in the event of personnel changes (for example, change in assignment or termination).
CIP-007-4	R5.3.	At a minimum, the Responsible Entity shall require and use passwords, subject to the following, as technically feasible:	The Responsible Entity requires and uses passwords as technically feasible, but only addresses 2 of the requirements in R5.3.1, R5.3.2., R5.3.3.	The Responsible Entity requires and uses passwords as technically feasible but only addresses 1 of the requirements in R5.3.1, R5.3.2., R5.3.3.	The Responsible Entity requires but does not use passwords as required in R5.3.1, R5.3.2., R5.3.3 and did not demonstrate why it is not technically feasible.	The Responsible Entity does not require nor use passwords as required in R5.3.1, R5.3.2., R5.3.3 and did not demonstrate why it is not technically feasible.
CIP-007-4	R5.3.1.	Each password shall be a minimum of six characters.	N/A	N/A	N/A	N/A
CIP-007-4	R5.3.2.	Each password shall consist of a combination of alpha, numeric, and “special” characters.	N/A	N/A	N/A	N/A
CIP-007-4	R5.3.3.	Each password shall be changed at least annually, or more frequently based on	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		risk.				
CIP-007-4	R6.	Security Status Monitoring — The Responsible Entity shall ensure that all Cyber Assets within the Electronic Security Perimeter, as technically feasible, implement automated tools or organizational process controls to monitor system events that are related to cyber security.	The Responsible Entity, as technically feasible, did not implement automated tools or organizational process controls to monitor system events that are related to cyber security for at least one but less than 5% of Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity, as technically feasible, did not implement automated tools or organizational process controls to monitor system events that are related to cyber security for 5% or more but less than 10% of Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not implement automated tools or organizational process controls, as technically feasible, to monitor system events that are related to cyber security for 10% or more but less than 15% of Cyber Assets inside the Electronic Security Perimeter(s).	The Responsible Entity did not implement automated tools or organizational process controls, as technically feasible, to monitor system events that are related to cyber security for 15% or more of Cyber Assets inside the Electronic Security Perimeter(s).
CIP-007-4	R6.1.	The Responsible Entity shall implement and document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.	N/A	The Responsible Entity implemented but did not document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity documented but did not implement the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity did not implement nor document the organizational processes and technical and procedural mechanisms for monitoring for security events on all Cyber Assets within the Electronic Security Perimeter.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-007-4	R6.2.	The security monitoring controls shall issue automated or manual alerts for detected Cyber Security Incidents.	N/A	N/A	N/A	The Responsible entity's security monitoring controls do not issue automated or manual alerts for detected Cyber Security Incidents.
CIP-007-4	R6.3.	The Responsible Entity shall maintain logs of system events related to cyber security, where technically feasible, to support incident response as required in Standard CIP-008-4.	N/A	N/A	N/A	The Responsible Entity did not maintain logs of system events related to cyber security, where technically feasible, to support incident response as required in Standard CIP-008-4.
CIP-007-4	R6.4.	The Responsible Entity shall retain all logs specified in Requirement R6 for ninety calendar days.	The Responsible Entity retained the logs specified in Requirement R6, for at least 60 days, but less than 90 days.	The Responsible Entity retained the logs specified in Requirement R6, for at least 30 days, but less than 60 days.	The Responsible Entity retained the logs specified in Requirement R6, for at least one day, but less than 30 days.	The Responsible Entity did not retain any logs specified in Requirement R6.
CIP-007-4	R6.5.	The Responsible Entity shall review logs of system events related to cyber security and maintain records documenting review of logs.	N/A	N/A	N/A	The Responsible Entity did not review logs of system events related to cyber security nor maintain records documenting review of logs.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
CIP-007-4	R7.	Disposal or Redeployment — The Responsible Entity shall establish and implement formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-4.	The Responsible Entity established and implemented formal methods, processes, and procedures for disposal and redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-4 but did not maintain records as specified in R7.3. <i>(Retired)</i>	The Responsible Entity established and implemented formal methods, processes, and procedures for disposal of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-4 but did not address redeployment as specified in R7.2.	The Responsible Entity established and implemented formal methods, processes, and procedures for redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-4 but did not address disposal as specified in R7.1.	The Responsible Entity did not establish or implement formal methods, processes, and procedures for disposal or redeployment of Cyber Assets within the Electronic Security Perimeter(s) as identified and documented in Standard CIP-005-4.
CIP-007-4	R7.1.	Prior to the disposal of such assets, the Responsible Entity shall destroy or erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.	N/A	N/A	N/A	N/A
CIP-007-4	R7.2.	Prior to redeployment of such assets, the Responsible Entity shall, at a minimum, erase the data storage media to prevent unauthorized retrieval of sensitive cyber security or reliability data.	N/A	N/A	N/A	N/A

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CIP-007-4	R7.3. <i>(Retired)</i>	The Responsible Entity shall maintain records that such assets were disposed of or redeployed in accordance with documented procedures.	N/A	N/A	N/A	N/A
CIP-007-4	R8.	Cyber Vulnerability Assessment — The Responsible Entity shall perform a cyber vulnerability assessment of all Cyber Assets within the Electronic Security Perimeter at least annually. The vulnerability assessment shall include, at a minimum, the following:	The Responsible Entity performed at least annually a Vulnerability Assessment that included 95% or more but less than 100% of Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity performed at least annually a Vulnerability Assessment that included 90% or more but less than 95% of Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity performed at least annually a Vulnerability Assessment that included more than 85% but less than 90% of Cyber Assets within the Electronic Security Perimeter.	The Responsible Entity performed at least annually a Vulnerability Assessment for 85% or less of Cyber Assets within the Electronic Security Perimeter. OR The vulnerability assessment did not include one (1) or more of the subrequirements 8.1, 8.2, 8.3, 8.4.
CIP-007-4	R8.1.	A document identifying the vulnerability assessment process;	N/A	N/A	N/A	N/A
CIP-007-4	R8.2.	A review to verify that only ports and services required for operation of the Cyber Assets within the Electronic Security Perimeter are enabled;	N/A	N/A	N/A	N/A
CIP-007-4	R8.3.	A review of controls for default accounts; and,	N/A	N/A	N/A	N/A

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CIP-007-4	R8.4.	Documentation of the results of the assessment, the action plan to remediate or mitigate vulnerabilities identified in the assessment, and the execution status of that action plan.	N/A	N/A	N/A	N/A
CIP-007-4	R9.	Documentation Review and Maintenance —The Responsible Entity shall review and update the documentation specified in Standard CIP-007-4 at least annually. Changes resulting from modifications to the systems or controls shall be documented within thirty calendar days of the change being completed.	N/A	N/A	The Responsible Entity did not review and update the documentation specified in Standard CIP-007-4 at least annually. OR The Responsible Entity did not document changes resulting from modifications to the systems or controls within thirty calendar days of the change being completed.	The Responsible Entity did not review and update the documentation specified in Standard CIP-007-4 at least annually nor were changes resulting from modifications to the systems or controls documented within thirty calendar days of the change being completed.
CIP-008-3	R1.	Cyber Security Incident Response Plan — The Responsible Entity shall develop and maintain a Cyber Security Incident response plan and implement the plan in response to Cyber Security Incidents. The Cyber Security Incident response plan shall address, at a minimum, the following:	N/A	N/A	The Responsible Entity has developed a Cyber Security Incident response plan that addresses all of the components required by R1.1 through R1.6 but has not maintained the plan in accordance with those	The Responsible Entity has not developed a Cyber Security Incident response plan that addresses all of the components required by R1.1 through R1.6, or has not implemented the plan in response to a

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					components.	Cyber Security Incident.
CIP-008-3	R1.1.	Procedures to characterize and classify events as reportable Cyber Security Incidents.	N/A	N/A	N/A	N/A
CIP-008-3	R1.2.	Response actions, including roles and responsibilities of Cyber Security Incident response teams, Cyber Security Incident handling procedures, and communication plans.	N/A	N/A	N/A	N/A
CIP-008-3	R1.3.	Process for reporting Cyber Security Incidents to the Electricity Sector Information Sharing and Analysis Center (ES-ISAC). The Responsible Entity must ensure that all reportable Cyber Security Incidents are reported to the ES-ISAC either directly or through an intermediary.	N/A	N/A	N/A	N/A
CIP-008-3	R1.4.	Process for updating the Cyber Security Incident response plan within thirty calendar days of any changes.	N/A	N/A	N/A	N/A
CIP-008-3	R1.5.	Process for ensuring that the Cyber Security Incident response plan is reviewed at least annually.	N/A	N/A	N/A	N/A
CIP-008-3	R1.6.	Process for ensuring the Cyber Security Incident response plan is tested at least annually. A test of the Cyber Security Incident response plan can range from a paper drill, to a full operational exercise, to the response to an actual incident.	N/A	N/A	N/A	N/A
CIP-008-3	R2	Cyber Security Incident Documentation — The Responsible Entity shall keep relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for three calendar	N/A	N/A	N/A	The Responsible Entity has not kept relevant documentation related to Cyber

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		years.				Security Incidents reportable per Requirement R1.1 for at least three calendar years.
CIP-008-4	R1.	Cyber Security Incident Response Plan —The Responsible Entity shall develop and maintain a Cyber Security Incident response plan and implement the plan in response to Cyber Security Incidents. The Cyber Security Incident response plan shall address, at a minimum, the following:	N/A	The Responsible Entity has developed but not maintained a Cyber Security Incident response plan.	The Responsible Entity has developed a Cyber Security Incident response plan but the plan does not address one or more of the subrequirements R1.1 through R1.6.	The Responsible Entity has not developed a Cyber Security Incident response plan or has not implemented the plan in response to a Cyber Security Incident.
CIP-008-4	R1.1.	Procedures to characterize and classify events as reportable Cyber Security Incidents.	N/A	N/A	N/A	N/A
CIP-008-4	R1.2.	Response actions, including roles and responsibilities of Cyber Security Incident response teams, Cyber Security Incident handling procedures, and communication plans.	N/A	N/A	N/A	N/A
CIP-008-4	R1.3.	Process for reporting Cyber Security Incidents to the Electricity Sector Information Sharing and Analysis Center (ES-ISAC). The Responsible Entity must ensure that all reportable Cyber Security Incidents are reported to the ES-ISAC either directly or through an intermediary.	N/A	N/A	N/A	N/A
CIP-008-4	R1.4.	Process for updating the Cyber Security Incident response plan within thirty	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		calendar days of any changes.				
CIP-008-4	R1.5.	Process for ensuring that the Cyber Security Incident response plan is reviewed at least annually.	N/A	N/A	N/A	N/A
CIP-008-4	R1.6.	Process for ensuring the Cyber Security Incident response plan is tested at least annually. A test of the Cyber Security Incident response plan can range from a paper drill, to a full operational exercise, to the response to an actual incident.	N/A	N/A	N/A	N/A
CIP-008-4	R2.	Cyber Security Incident Documentation —The Responsible Entity shall keep relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for three calendar years.	The Responsible Entity has kept relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for two but less than three calendar years.	The Responsible Entity has kept relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for less than two calendar years.	The Responsible Entity has kept relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1 for less than one calendar year.	The Responsible Entity has not kept relevant documentation related to Cyber Security Incidents reportable per Requirement R1.1.
CIP-009-3	R1	Recovery Plans — The Responsible Entity shall create and annually review recovery plan(s) for Critical Cyber Assets. The recovery plan(s) shall address at a minimum the following:	N/A	N/A	N/A	The Responsible Entity has not created or has not annually reviewed their recovery plan(s) for Critical Cyber Assets OR has created a plan but did not address one or more of the requirements CIP-

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						009-1 R1.1 and R1.2.
CIP-009-3	R1.1.	Specify the required actions in response to events or conditions of varying duration and severity that would activate the recovery plan(s).	N/A	N/A	N/A	N/A
CIP-009-3	R1.2.	Define the roles and responsibilities of responders.	N/A	N/A	N/A	N/A
CIP-009-3	R2	Exercises — The recovery plan(s) shall be exercised at least annually. An exercise of the recovery plan(s) can range from a paper drill, to a full operational exercise, to recovery from an actual incident.	N/A	N/A	N/A	The Responsible Entity's recovery plan(s) have not been exercised at least annually.
CIP-009-3	R3	Change Control — Recovery plan(s) shall be updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. Updates shall be communicated to personnel responsible for the activation and implementation of the recovery plan(s) within thirty calendar days of the change being completed.	N/A	N/A	N/A	The Responsible Entity's recovery plan(s) have not been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. OR The Responsible Entity's recovery plan(s) have been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident but the updates were not communicated to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						personnel responsible for the activation and implementation of the recovery plan(s) within thirty calendar days of the change.
CIP-009-3	R4	Backup and Restore — The recovery plan(s) shall include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets. For example, backups may include spare electronic components or equipment, written documentation of configuration settings, tape backup, etc.	N/A	N/A	N/A	The Responsible Entity's recovery plan(s) do not include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets.
CIP-009-3	R5	Testing Backup Media — Information essential to recovery that is stored on backup media shall be tested at least annually to ensure that the information is available. Testing can be completed off site.	N/A	N/A	N/A	The Responsible Entity's information essential to recovery that is stored on backup media has not been tested at least annually to ensure that the information is available.
CIP-009-4	R1.	Recovery Plans —The Responsible Entity shall create and annually review recovery plan(s) for Critical Cyber Assets. The recovery plan(s) shall address at a minimum the following:	N/A	The Responsible Entity has not annually reviewed recovery plan(s) for Critical Cyber Assets.	The Responsible Entity has created recovery plan(s) for Critical Cyber Assets but did not address one of the requirements CIP-009-4 R1.1 or R1.2.	The Responsible Entity has not created recovery plan(s) for Critical Cyber Assets that address at a minimum both requirements CIP-009-4 R1.1 and R1.2.
CIP-009-4	R1.1.	Specify the required actions in response to events or conditions of varying duration and severity that would activate	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		the recovery plan(s).				
CIP-009-4	R1.2.	Define the roles and responsibilities of responders.	N/A	N/A	N/A	N/A
CIP-009-4	R2.	Exercises —The recovery plan(s) shall be exercised at least annually. An exercise of the recovery plan(s) can range from a paper drill, to a full operational exercise, to recovery from an actual incident.	N/A	N/A	N/A	The Responsible Entity's recovery plan(s) have not been exercised at least annually.
CIP-009-4	R3.	Change Control — Recovery plan(s) shall be updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. Updates shall be communicated to personnel responsible for the activation and implementation of the recovery plan(s) within thirty calendar days of the change being completed.	The Responsible Entity's recovery plan(s) have been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident but the updates were communicated to personnel responsible for the activation and implementation of the recovery plan(s) in more than 30 but less than or equal to 120 calendar days of the change.	The Responsible Entity's recovery plan(s) have been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident but the updates were communicated to personnel responsible for the activation and implementation of the recovery plan(s) in more than 120 but less than or equal to 150 calendar days of the change.	The Responsible Entity's recovery plan(s) have been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident but the updates were communicated to personnel responsible for the activation and implementation of the recovery plan(s) in more than 150 but less than or equal to 180 calendar days of the change.	The Responsible Entity's recovery plan(s) have not been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident. OR The Responsible Entity's recovery plan(s) have been updated to reflect any changes or lessons learned as a result of an exercise or the recovery from an actual incident but the updates were communicated to personnel responsible for the activation and

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						implementation of the recovery plan(s) in more than 180 calendar days of the change.
CIP-009-4	R4.	Backup and Restore — The recovery plan(s) shall include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets. For example, backups may include spare electronic components or equipment, written documentation of configuration settings, tape backup, etc.	N/A	N/A	N/A	The Responsible Entity's recovery plan(s) do not include processes and procedures for the backup and storage of information required to successfully restore Critical Cyber Assets.
CIP-009-4	R5.	Testing Backup Media — Information essential to recovery that is stored on backup media shall be tested at least annually to ensure that the information is available. Testing can be completed off site.	N/A	N/A	N/A	The Responsible Entity's information essential to recovery that is stored on backup media has not been tested at least annually to ensure that the information is available.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
COM-001-1.1	R1.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall provide adequate and reliable telecommunications facilities for the exchange of Interconnection and operating information:	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 or 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
COM-001-1.1	R1.1.	Internally.	N/A	N/A	N/A	N/A
COM-001-1.1	R1.2.	Between the Reliability Coordinator and its Transmission Operators and Balancing Authorities.	N/A	N/A	N/A	N/A
COM-001-1.1	R1.3.	With other Reliability Coordinators, Transmission Operators, and Balancing Authorities as necessary to maintain reliability.	N/A	N/A	N/A	N/A
COM-001-1.1	R1.4.	Where applicable, these facilities shall be redundant and diversely routed.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
COM-001-1.1	R2.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall manage, alarm, test and/or actively monitor vital telecommunications facilities. Special attention shall be given to emergency telecommunications facilities and equipment not used for routine communications.	N/A	The responsible entity failed to give special attention to emergency telecommunications facilities and equipment not used for routine communications.	N/A	The responsible entity failed to manage, alarm, test and/or actively monitor its vital telecommunications facilities.
COM-001-1.1	R3.	Each Reliability Coordinator, Transmission Operator and Balancing Authority shall provide a means to coordinate telecommunications among their respective areas. This coordination shall include the ability to investigate and recommend solutions to telecommunications problems within the area and with other areas.	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 with other areas.
COM-001-1.1	R4.	Unless agreed to otherwise, each Reliability Coordinator, Transmission Operator, and Balancing Authority shall use English as the language for all communications between and among operating personnel responsible for the real-time generation control and operation of the interconnected Bulk Electric System. Transmission Operators and Balancing Authorities may use an alternate language for internal operations.	N/A	N/A	N/A	The responsible entity used a language other than English and failed to have an agreement to do so.
COM-001-	R5.	Each Reliability Coordinator, Transmission Operator, and Balancing	N/A	N/A	N/A	The responsible entity did not have

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
1.1		Authority shall have written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.				written operating instructions and procedures to enable continued operation of the system during the loss of telecommunications facilities.
COM-001-1.1	R6.	Each NERCNet User Organization shall adhere to the requirements in Attachment 1-COM-001-0, "NERCNet Security Policy."	The NERCNet User Organization failed to adhere to 5% or less of the requirements listed in Attachment 1-COM-001, , "NERCNet Security Policy".	The NERCNet User Organization failed to adhere to more than 5% up to (and including) 10% of the requirements listed in Attachment 1 - COM-001, "NERCNet Security Policy".	The NERCNet User Organization failed to adhere to more than 10% up to (and including) 15% of the requirements listed in Attachment 1-COM-001 "NERCNet Security Policy".	The NERCNet User Organization failed to more than 15% of the requirements listed in Attachment 1-COM-001, "NERCNet Security Policy".
COM-002-2	R1.	Each Transmission Operator, Balancing Authority, and Generator Operator shall have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. Such communications shall be staffed and available for addressing a real-time emergency condition.	N/A	The responsible entity did not have data links with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. OR The responsible entity did not have voice links with appropriate Reliability Coordinators, Balancing Authorities, and	N/A	The responsible entity failed to have communications (voice and data links) with appropriate Reliability Coordinators, Balancing Authorities, and Transmission Operators. OR The responsible entity's communications were not staffed and available for addressing real time emergency

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Transmission Operators.		conditions.
COM-002-2	R1.1.	Each Balancing Authority and Transmission Operator shall 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 is anticipated.	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 through predetermined communication paths of any condition that could threaten the reliability of its area or when firm load shedding was anticipated.
COM-002-2	R2.	Each Reliability Coordinator, Transmission Operator, and Balancing Authority shall issue directives in a clear, concise, and definitive manner; shall ensure the recipient of the directive repeats the information back correctly; and shall acknowledge the response as correct or repeat the original statement to resolve any misunderstandings.	N/A	The responsible entity provided a clear directive in a clear, concise and definitive manner and required the recipient to repeat the directive, but did not acknowledge the recipient was correct in the repeated directive.	The responsible entity provided a clear directive in a clear, concise and definitive manner, but did not require the recipient to repeat the directive.	The responsible entity failed to provide a clear directive in a clear, concise and definitive manner when required.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
EOP-001-0.1b	R1.	Balancing Authorities shall have operating agreements with adjacent Balancing Authorities that shall, at a minimum, contain provisions for emergency assistance, including provisions to obtain emergency assistance from remote Balancing Authorities.	N/A	The Balancing Authority demonstrated the existence of an operating agreement with at least one adjacent Balancing Authority for emergency assistance, but the agreement did not include provision for obtaining emergency assistance from any remote Balancing Authority.	N/A	The Balancing Authority did not demonstrate the existence of any operating agreements with adjacent Balancing Authorities that include provision for emergency assistance with adjacent Balancing Authorities.
EOP-001-0.1b	R2.	The Transmission Operator shall have an emergency load reduction plan for all identified IROLs. The plan shall include the details on how the Transmission Operator will implement load reduction in sufficient amount and time to mitigate the IROL violation before system separation or collapse would occur. The load reduction plan must be capable of being implemented within 30 minutes.	N/A	N/A	The Transmission Operator demonstrated the existence of an emergency load reduction plan for each identified IROL but at least one of the plans will take longer than 30 minutes to implement.	The Transmission Operator failed to demonstrate the existence of an emergency load reduction plan for all identified IROLs.
EOP-001-0.1b	R3.	Each Transmission Operator and Balancing Authority shall:	N/A	N/A	N/A	N/A
EOP-001-0.1b	R3.1.	Develop, maintain, and implement a set of plans to mitigate operating emergencies for insufficient generating capacity.	N/A	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans to mitigate operating	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans to mitigate operating emergencies for insufficient	The Transmission Operator or Balancing Authority failed to demonstrate the existence of a set of plans to mitigate operating emergencies

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				emergencies for insufficient generating capacity and the plans are implemented but the plans are not maintained.	generating capacity but the plans are neither maintained nor implemented.	for insufficient generating capacity.
EOP-001-0.1b	R3.2.	Develop, maintain, and implement a set of plans to mitigate operating emergencies on the transmission system.	N/A	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans to mitigate operating emergencies on the transmission system and the plans are implemented but the plans are not maintained.	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans to mitigate operating emergencies on the transmission system but the plans are neither maintained nor implemented.	The Transmission Operator or Balancing Authority failed to demonstrate the existence of a set of plans to mitigate operating emergencies on the transmission system.
EOP-001-0.1b	R3.3.	Develop, maintain, and implement a set of plans for load shedding.	N/A	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans for load shedding and the plans are implemented but the plans are not maintained.	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans for load shedding but the plans are neither maintained nor implemented.	The Transmission Operator or Balancing Authority failed to demonstrate the existence of a set of plans for load shedding.
EOP-001-0.1b	R3.4.	Develop, maintain, and implement a set of plans for system restoration.	N/A	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans for system restoration and the	The Transmission Operator or Balancing Authority demonstrated the existence of a set of plans for system restoration but the plans are neither maintained	The Transmission Operator or Balancing Authority failed to demonstrate the existence of a set of plans for system restoration.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				plans are implemented but the plans are not maintained.	not implemented.	
EOP-001-0.1b	R4.	Each Transmission Operator and Balancing Authority shall have emergency plans that will enable it to mitigate operating emergencies. At a minimum, Transmission Operator and Balancing Authority emergency plans shall include:	The Transmission Operator or Balancing Authority demonstrated the existence of emergency plans that will enable it to mitigate operating emergencies but the plans do not include sub-requirement R4.4.	The Transmission Operator or Balancing Authority demonstrated the existence of emergency plans that will enable it to mitigate operating emergencies but the plans do not include sub-requirement R4.3.	The Transmission Operator or Balancing Authority demonstrated the existence of emergency plans that will enable it to mitigate operating emergencies but the plans do not include either sub-requirement R4.1 or R4.2.	The Transmission Operator or Balancing Authority demonstrated the existence of emergency plans that will enable it to mitigate operating emergencies but the plans are missing two (2) or more of the sub-requirements identified for R4.
EOP-001-0.1b	R4.1.	Communications protocols to be used during emergencies.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R4.2.	A list of controlling actions to resolve the emergency. Load reduction, in sufficient quantity to resolve the emergency within NERC-established timelines, shall be one of the controlling actions.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R4.3.	The tasks to be coordinated with and among adjacent Transmission Operators and Balancing Authorities.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R4.4.	Staffing levels for the emergency.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R5.	Each Transmission Operator and Balancing Authority shall include the applicable elements in Attachment 1-EOP-001 when developing an emergency plan.	The Transmission Operator and Balancing Authority emergency plan has complied with 90% or more of the number of sub-components.	The Transmission Operator and Balancing Authority emergency plan has complied with 70% to 90% of the number of sub-	The Transmission Operator and Balancing Authority emergency plan has complied with between 50% to 70% of the number of sub-components.	The Transmission Operator and Balancing Authority emergency plan has complied with 50% or less of the number of sub-components

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				components.		
EOP-001-0.1b	R6.	The Transmission Operator and Balancing Authority shall annually review and update each emergency plan. The Transmission Operator and Balancing Authority shall provide a copy of its updated emergency plans to its Reliability Coordinator and to neighboring Transmission Operators and Balancing Authorities.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to provide evidence that it completed an annual review, and updated each of its emergency plans appropriately. OR The Transmission Operator or Balancing Authority failed to provide a copy of one of its updated emergency plans to its Reliability Coordinator, all its neighboring Transmission Operators, and all its neighboring Balancing Authorities.
EOP-001-0.1b	R7.	The Transmission Operator and Balancing Authority shall coordinate its emergency plans with other Transmission Operators and Balancing Authorities as appropriate. This coordination includes the following steps, as applicable:	The Transmission Operator or Balancing Authority demonstrated that it coordinated its emergency plans with other Transmission Operators and Balancing Authorities as appropriate but the coordination specified in R7.4 was applicable and was not included.	The Transmission Operator or Balancing Authority demonstrated that it coordinated its emergency plans with other Transmission Operators and Balancing Authorities as appropriate but the coordination specified in R7.3 was applicable and	The Transmission Operator or Balancing Authority demonstrated that it coordinated its emergency plans with other Transmission Operators and Balancing Authorities as appropriate but the coordination specified in either R7.1 or R7.2 was applicable and was not included. .	The Transmission Operator or Balancing Authority demonstrated that it coordinated its emergency plans with other Transmission Operators and Balancing Authorities as appropriate but the coordination specified in two (2) or more of the sub-requirements was applicable and was not included.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				was not included.		
EOP-001-0.1b	R7.1.	The Transmission Operator and Balancing Authority shall establish and maintain reliable communications between interconnected systems.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R7.2.	The Transmission Operator and Balancing Authority shall arrange new interchange agreements to provide for emergency capacity or energy transfers if existing agreements cannot be used.	N/A	N/A	N/A	N/A
EOP-001-0.1b	R7.3.	The Transmission Operator and Balancing Authority shall coordinate transmission and generator maintenance schedules to maximize capacity or conserve the fuel in short supply. (This includes water for hydro generators.)	N/A	N/A	N/A	N/A
EOP-001-0.1b	R7.4.	The Transmission Operator and Balancing Authority shall arrange deliveries of electrical energy or fuel from remote systems through normal operating channels.	N/A	N/A	N/A	N/A
EOP-002-3.1	R1.	Each Balancing Authority and Reliability Coordinator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its respective area and shall exercise specific authority to alleviate capacity and energy emergencies.	N/A	N/A	N/A	The Balancing Authority or Reliability Coordinator does not have responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its respective area OR The Balancing Authority or Reliability Coordinator did not exercise its authority

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						to alleviate capacity and energy emergencies.
EOP-002-3.1	R2.	Each Balancing Authority shall, when required and as appropriate, take one or more actions as described in its capacity and energy emergency plan, to reduce risks to the interconnected system.	N/A	N/A	N/A	The Balancing Authority did not implement its capacity and energy emergency plan, when required and as appropriate, to reduce risks to the interconnected system.
EOP-002-3.1	R3.	A Balancing Authority that is experiencing an operating capacity or energy emergency shall communicate its current and future system conditions to its Reliability Coordinator and neighboring Balancing Authorities.	N/A	N/A	The Balancing Authority communicated its current and future system conditions to its Reliability Coordinator but did not communicate to one or more of its neighboring Balancing Authorities.	The Balancing Authority has failed to communicate its current and future system conditions to its Reliability Coordinator and neighboring Balancing Authorities.
EOP-002-3.1	R4.	A Balancing Authority anticipating an operating capacity or energy emergency shall perform all actions necessary including bringing on all available generation, postponing equipment maintenance, scheduling interchange purchases in advance, and being prepared to reduce firm load.	N/A	N/A	N/A	The Balancing Authority has failed to perform the necessary actions as required and stated in the requirement.
EOP-002-3.1	R5.	A deficient Balancing Authority shall only use the assistance provided by the Interconnection's frequency bias for the time needed to implement corrective actions. The Balancing Authority shall not unilaterally adjust generation in an attempt to return Interconnection frequency to	N/A	N/A	The Balancing Authority used the assistance provided by the Interconnection's frequency bias for more time than needed to implement corrective	The Balancing Authority used the assistance provided by the Interconnection's frequency bias for more time than needed to implement

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		normal beyond that supplied through frequency bias action and Interchange Schedule changes. Such unilateral adjustment may overload transmission facilities.			actions.	corrective actions and unilaterally adjust generation in an attempt to return Interconnection frequency to normal beyond that supplied through frequency bias action and Interchange Schedule changes.
EOP-002-3.1	R6.	If the Balancing Authority cannot comply with the Control Performance and Disturbance Control Standards, then it shall immediately implement remedies to do so. These remedies include, but are not limited to:	The Balancing Authority failed to comply with one of the sub-components.	The Balancing Authority failed to comply with 2 of the sub-components.	The Balancing Authority failed to comply with 3 of the sub-components.	The Balancing Authority failed to comply with more than 3 of the sub-components.
EOP-002-3.1	R6.1.	Loading all available generating capacity.	N/A	N/A	N/A	The Balancing Authority did not use all available generating capacity.
EOP-002-3.1	R6.2.	Deploying all available operating reserve	N/A	N/A	N/A	The Balancing Authority did not deploy all of its available operating reserve.
EOP-002-3.1	R6.3.	Interrupting interruptible load and exports.	N/A	N/A	N/A	The Balancing Authority did not interrupt interruptible load and exports.
EOP-002-3.1	R6.4.	Requesting emergency assistance from other Balancing Authorities.	N/A	N/A	N/A	The Balancing Authority did not request emergency assistance from other Balancing Authorities.
EOP-002-3.1	R6.5.	Declaring an Energy Emergency through its	N/A	N/A	N/A	The Balancing

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		Reliability Coordinator; and				Authority did not declare an Energy Emergency through its Reliability Coordinator.
EOP-002-3.1	R6.6.	Reducing load, through procedures such as public appeals, voltage reductions, curtailing interruptible loads and firm loads.	N/A	N/A	N/A	The Balancing Authority did not implement one or more of the procedures stated in the requirement.
EOP-002-3.1	R7.	Once the Balancing Authority has exhausted the steps listed in Requirement 6, or if these steps cannot be completed in sufficient time to resolve the emergency condition, the Balancing Authority shall:	N/A	N/A	The Balancing Authority has met only one of the two requirements	The Balancing Authority has not met either of the two requirements
EOP-002-3.1	R7.1.	Manually shed firm load without delay to return its ACE to zero; and	N/A	N/A	N/A	The Balancing Authority did not manually shed firm load without delay to return its ACE to zero.
EOP-002-3.1	R7.2.	Request the Reliability Coordinator to declare an Energy Emergency Alert in accordance with Attachment 1-EOP-002 “Energy Emergency Alerts.”	The Balancing Authority’s implementation of an Energy Emergency Alert has missed minor program/procedural elements in Attachment 1-EOP-002-0.	N/A	N/A	The Balancing Authority has failed to meet one or more of the requirements of Attachment 1-EOP-002-0.
EOP-002-3.1	R8.	A Reliability Coordinator that has any Balancing Authority within its Reliability Coordinator area experiencing a potential or actual Energy Emergency shall initiate an Energy Emergency Alert as detailed in	The Reliability Coordinator’s implementation of an Energy Emergency Alert has missed	N/A	N/A	The Reliability Coordinator has failed to meet one or more of the requirements of Attachment 1-EOP-

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		Attachment 1-EOP-002 “Energy Emergency Alerts.” The Reliability Coordinator shall act to mitigate the emergency condition, including a request for emergency assistance if required.	minor program/procedural elements in Attachment 1-EOP-002-0.			002-0.
EOP-002-3.1	R9.	When a Transmission Service Provider expects to elevate the transmission service priority of an Interchange Transaction from Priority 6 (Network Integration Transmission Service from Non-designated Resources) to Priority 7 (Network Integration Transmission Service from designated Network Resources) as permitted in its transmission tariff:	The Reliability Coordinator failed to comply with one (1) of the sub-components.	The Reliability Coordinator failed to comply with two (2) of the sub-components.	The Reliability Coordinator has failed to comply with three (3) of the sub-components.	The Reliability Coordinator has failed to comply with all four (4) of the sub-components.
EOP-002-3.1	R9.1.	The deficient Load-Serving Entity shall request its Reliability Coordinator to initiate an Energy Emergency Alert in accordance with Attachment 1-EOP-002 “Energy Emergency Alerts.”	N/A	N/A	N/A	The Load-Serving Entity failed to request its Reliability Coordinator to initiate an Energy Emergency Alert.
EOP-002-3.1	R9.2.	The Reliability Coordinator shall submit the report to NERC for posting on the NERC Website, noting the expected total MW that may have its transmission service priority changed.	N/A	N/A	N/A	The Reliability Coordinator has failed to report to NERC as directed in the requirement.
EOP-002-3.1	R9.3.	The Reliability Coordinator shall use EEA 1 to forecast the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to Priority 7.	N/A	N/A	N/A	The Reliability Coordinator failed to use EEA 1 to forecast the change of the priority of transmission service as directed in the requirement.
EOP-002-3.1	R9.4.	The Reliability Coordinator shall use EEA 2 to announce the change of the priority of transmission service of an Interchange Transaction on the system from Priority 6 to	N/A	N/A	N/A	The Reliability Coordinator failed to use EEA 2 to announce the change

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		Priority 7.				of the priority of transmission service as directed in the requirement.
EOP-003-1	R1.	After taking all other remedial steps, a Transmission Operator or Balancing Authority operating with insufficient generation or transmission capacity shall shed customer load rather than risk an uncontrolled failure of components or cascading outages of the Interconnection.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to shed customer load.
EOP-003-1	R2.	Each Transmission Operator and Balancing Authority shall establish plans for automatic load shedding for underfrequency or undervoltage conditions.	N/A	N/A	N/A	The responsible entity did not establish plans for automatic load shedding as directed by the requirement.
EOP-003-1	R3.	Each Transmission Operator and Balancing Authority shall coordinate load shedding plans among other interconnected Transmission Operators and Balancing Authorities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting 5% or less of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 5% up to (and including) 10% of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 10%, up to (and including) 15% or less, of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 15% of its required entities.
EOP-003-1	R4.	A Transmission Operator or Balancing Authority shall consider one or more of these factors in designing an automatic load shedding scheme: frequency, rate of frequency decay, voltage level, rate of voltage decay, or power flow levels.	N/A	N/A	N/A	The applicable entity did not consider one of the five required elements, as directed by the requirement.
EOP-003-1	R5.	A Transmission Operator or Balancing Authority shall implement load shedding in steps established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to implement load shedding in steps

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						established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.
EOP-003-1	R6.	After a Transmission Operator or Balancing Authority Area separates from the Interconnection, if there is insufficient generating capacity to restore system frequency following automatic underfrequency load shedding, the Transmission Operator or Balancing Authority shall shed additional load.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to shed additional load after it had separated from the Interconnection when there was insufficient generating capacity to restore system frequency following automatic underfrequency load shedding.
EOP-003-1	R7.	The Transmission Operator and Balancing Authority shall coordinate automatic load shedding throughout their areas with underfrequency isolation of generating units, tripping of shunt capacitors, and other automatic actions that will occur under abnormal frequency, voltage, or power flow conditions.	The applicable entity did not coordinate automatic load shedding, as directed by the requirement, affecting 5% or less of its automatic actions.	The applicable entity did not coordinate automatic load shedding, as directed by the requirement, affecting between 5 - 10% of its automatic actions.	The applicable entity did not coordinate automatic load shedding, as directed by the requirement, affecting 10-15%, inclusive, of its automatic actions.	The applicable entity did not coordinate automatic load shedding, as directed by the requirement, affecting greater than 15% of its automatic actions.
EOP-003-1	R8.	Each Transmission Operator or Balancing Authority shall have plans for operator-controlled manual load shedding to respond to real-time emergencies. The Transmission Operator or Balancing Authority shall be capable of implementing the load shedding in a timeframe adequate for responding to the emergency.	N/A	The responsible entity did not have plans for operator controlled manual load shedding, as directed by the requirement.	The responsible entity has plans for manual load shedding but did not have the capability to implement the load shedding, as directed by the requirement.	The responsible entity did not have plans for operator controlled manual load shedding, as directed by the requirement nor had the capability to implement the load shedding, as directed by the requirement.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
EOP-003-2	R1.	After taking all other remedial steps, a Transmission Operator or Balancing Authority operating with insufficient generation or transmission capacity shall shed customer load rather than risk an uncontrolled failure of components or cascading outages of the Interconnection.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to shed customer load.
EOP-003-2	R2.	Each Transmission Operator shall establish plans for automatic load shedding for undervoltage conditions if the Transmission Operator or its associated Transmission Planner(s) or Planning Coordinator(s) determine that an under-voltage load shedding scheme is required.	N/A	N/A	N/A	The Transmission Operator did not establish plans for automatic load shedding for undervoltage conditions as directed by the requirement.
EOP-003-2	R3.	Each Transmission Operator and Balancing Authority shall coordinate load shedding plans, excluding automatic under-frequency load shedding plans, among other interconnected Transmission Operators and Balancing Authorities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting 5% or less of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 5% up to (and including) 10% of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 10%, up to (and including) 15% or less, of its required entities.	The responsible entity did not coordinate load shedding plans, as directed by the requirement, affecting more than 15% of its required entities.
EOP-003-2	R4.	A Transmission Operator shall consider one or more of these factors in designing an automatic under voltage load shedding scheme: voltage level, rate of voltage decay, or power flow levels.	N/A	N/A	N/A	The Transmission Operator failed to consider at least one of the three elements (voltage level, rate of voltage decay, or power flow levels) listed in the requirement.
EOP-003-2	R5.	A Transmission Operator or Balancing Authority shall implement load shedding, excluding automatic under-frequency load	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to

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		shedding, in steps established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.				implement load shedding in steps established to minimize the risk of further uncontrolled separation, loss of generation, or system shutdown.
EOP-003-2	R6.	After a Transmission Operator or Balancing Authority Area separates from the Interconnection, if there is insufficient generating capacity to restore system frequency following automatic underfrequency load shedding, the Transmission Operator or Balancing Authority shall shed additional load.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority failed to shed additional load after it had separated from the Interconnection when there was insufficient generating capacity to restore system frequency following automatic underfrequency load shedding.
EOP-003-2	R7.	The Transmission Operator shall coordinate automatic undervoltage load shedding throughout their areas with tripping of shunt capacitors, and other automatic actions that will occur under abnormal voltage, or power flow conditions.	The Transmission Operator did not coordinate automatic undervoltage load shedding with 5% or less of the types of automatic actions described in the Requirement.	The Transmission Operator did not coordinate automatic undervoltage load shedding with more than 5% up to (and including) 10% of the types of automatic actions described in the Requirement.	The Transmission Operator did not coordinate automatic undervoltage load shedding with more than 10% up to (and including) 15% of the types of automatic actions described in the Requirement.	The Transmission Operator did not coordinate automatic undervoltage load shedding with more than 15% of the types of automatic actions described in the Requirement.
EOP-003-2	R8.	Each Transmission Operator or Balancing Authority shall have plans for operator controlled manual load shedding to respond to real-time emergencies. The Transmission Operator or Balancing Authority shall be	N/A	The responsible entity did not have plans for operator controlled manual load shedding, as	The responsible entity has plans for manual load shedding but did not have the capability to implement the load	The responsible entity did not have plans for operator controlled manual load shedding, as directed by the

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		capable of implementing the load shedding in a timeframe adequate for responding to the emergency.		directed by the requirement.	shedding, as directed by the requirement.	requirement nor had the capability to implement the load shedding, as directed by the requirement.
EOP-004-1	R1.	Each Regional Reliability Organization shall establish and maintain a Regional reporting procedure to facilitate preparation of preliminary and final disturbance reports.	The Regional Reliability Organization has demonstrated the existence of a regional reporting procedure, but the procedure is missing minor details or minor program/procedural elements.	The Regional Reliability Organization Regional reporting procedure have been is missing one element that would make the procedure meet the requirement.	The Regional Reliability Organization Regional has a regional reporting procedure but the procedure is not current.	The Regional Reliability Organization does not have a regional reporting procedure.
EOP-004-1	R2.	A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall promptly analyze Bulk Electric System disturbances on its system or facilities.	The responsible entity failed to promptly analyze 5% or less of its disturbances on the BES.	The responsible entity failed to promptly analyze more than 5% up to (and including) 10% of its disturbances on the BES.	The responsible entity failed to promptly analyze more than 10% up to (and including) 15% of its disturbances on the BES.	The responsible entity failed to promptly analyze more than 15% of its disturbances on the BES.
EOP-004-1	R3.	A Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity experiencing a reportable incident shall provide a preliminary written report to its Regional Reliability Organization and NERC.	N/A	N/A	N/A	The responsible entities failed to provide a preliminary written report as directed by the requirement.
EOP-004-1	R3.1.	The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator or Load-Serving Entity shall submit within 24 hours of the disturbance or unusual occurrence either a copy of the report submitted to DOE, or, if no DOE report is required, a	The responsible entity submitted the report as required in R3.1 more than 24 but less than or equal to 36 hours after the disturbance or unusual occurrence,	The responsible entity submitted the report as required in R3.1 more than 36 hours but less than or equal to 48 hours after the disturbance	The responsible entities submitted the report as required in R3.1 more than 48 hours but less than or equal to 72 hours after the disturbance or unusual	The responsible entities submitted the report as required in R3.1 more than 72-hours after the disturbance or unusual occurrence or

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		copy of the NERC Interconnection Reliability Operating Limit and Preliminary Disturbance Report form. Events that are not identified until some time after they occur shall be reported within 24 hours of being recognized.	or discovery of the disturbance or unusual occurrence.	or unusual occurrence, or discovery of the disturbance or unusual occurrence.	occurrence, or discovery of the disturbance or unusual occurrence.	discovery of the disturbance or unusual occurrence.
EOP-004-1	R3.2.	Applicable reporting forms are provided in Attachments 022-1 and 022-2.	N/A	N/A	N/A	N/A
EOP-004-1	R3.3.	Under certain adverse conditions, e.g., severe weather, it may not be possible to assess the damage caused by a disturbance and issue a written Interconnection Reliability Operating Limit and Preliminary Disturbance Report within 24 hours. In such cases, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall promptly notify its Regional Reliability Organization(s) and NERC, and verbally provide as much information as is available at that time. The affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall then provide timely, periodic verbal updates until adequate information is available to issue a written Preliminary Disturbance Report.	N/A	N/A	N/A	The responsible entity did not provide its Regional Reliability Organization(s) and NERC with verbal notification or updates about a disturbance as specified in R3.3.
EOP-004-1	R3.4.	If, in the judgment of the Regional Reliability Organization, after consultation with the Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity in which a disturbance occurred, a final report is required, the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity shall prepare this	The responsible entity submitted the final report no more than 30 days past the 60 day due date; or the final report was missing one of the three elements specified in R3.4.	The responsible entity submitted the final report between 31 days and 60 days inclusive past the 60 day due date. OR The final report was missing two of the	The responsible entity submitted the final report between 61 days and 90 days inclusive past the 60 day due date	The responsible entity failed to submit the final report. OR The responsible entity submitted the final report 91 days or more past the 60 day due date

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		report within 60 days. As a minimum, the final report shall have a discussion of the events and its cause, the conclusions reached, and recommendations to prevent recurrence of this type of event. The report shall be subject to Regional Reliability Organization approval.		three elements specified in R3.4.		OR The responsible entity submitted a final report that was missing all three of the elements specified in R3.4.
EOP-004-1	R4.	When a Bulk Electric System disturbance occurs, the Regional Reliability Organization shall make its representatives on the NERC Operating Committee and Disturbance Analysis Working Group available to the affected Reliability Coordinator, Balancing Authority, Transmission Operator, Generator Operator, or Load-Serving Entity immediately affected by the disturbance for the purpose of providing any needed assistance in the investigation and to assist in the preparation of a final report.	N/A	N/A	N/A	The RRO did not make its representatives on the NERC Operating Committee and Disturbance Analysis Working Group available for the purpose of providing any needed assistance in the investigation and to assist in the preparation of a final report.
EOP-004-1	R5.	The Regional Reliability Organization shall track and review the status of all final report recommendations at least twice each year to ensure they are being acted upon in a timely manner. If any recommendation has not been acted on within two years, or if Regional Reliability Organization tracking and review indicates at any time that any recommendation is not being acted on with sufficient diligence, the Regional Reliability Organization shall notify the NERC Planning Committee and Operating Committee of the status of the recommendation(s) and the steps the Regional Reliability Organization has taken to accelerate implementation.	The Regional Reliability Organization reviewed all final report recommendations less than twice a year.	The Regional Reliability Organization reviewed 75% or more final report recommendations twice a year.	The Regional Reliability Organization has not reported on any recommendation has not been acted on within two years to the NERC Planning and Operating Committees.	The Regional Reliability Organization has not reviewed the final report recommendations or did not notify the NERC Planning and Operating Committees.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
EOP-005-1	R1.	Each Transmission Operator shall have a restoration plan to reestablish its electric system in a stable and orderly manner in the event of a partial or total shutdown of its system, including necessary operating instructions and procedures to cover emergency conditions, and the loss of vital telecommunications channels. Each Transmission Operator shall include the applicable elements listed in Attachment 1-EOP-005 in developing a restoration plan.	The responsible entity has a restoration plan that includes 75 % or more but less than 100% of the applicable elements listed in Attachment 1.	The responsible entity has a restoration plan that includes 50% to 75% of the applicable elements listed in Attachment 1.	The responsible entity has a restoration plan that includes 25% - 50% of the applicable elements listed in Attachment 1.	The responsible entity has a restoration plan that includes less than 25% of the applicable elements listed in Attachment 1 OR the responsible entity has no restoration plan.
EOP-005-1	R2.	Each Transmission Operator shall review and update its restoration plan at least annually and whenever it makes changes in the power system network, and shall correct deficiencies found during the simulated restoration exercises.	The Transmission Operator failed to review or update its restoration plan when it made changes in the power system network.	The Transmission Operator failed to review and update its restoration plan at least annually.	The Transmission Operator failed to review and update its restoration plan at least annually or whenever it made changes in the power system network, and failed to correct deficiencies found during the simulated restoration exercises.	The Transmission Operator failed to review and update its restoration plan at least annually and whenever it made changes in the power system network, and failed to correct deficiencies found during the simulated restoration exercises.
EOP-005-1	R3.	Each Transmission Operator shall develop restoration plans with a priority of restoring the integrity of the Interconnection.	N/A	N/A	N/A	The Transmission Operator's restoration plans failed to make restoration of the integrity of the Interconnection a priority.
EOP-005-1	R4.	Each Transmission Operator shall coordinate its restoration plans with the Generator Owners and Balancing Authorities within its area, its Reliability Coordinator, and neighboring Transmission Operators and Balancing Authorities.	The Transmission Operator failed to coordinate its restoration plans with 5% or less of the entities identified in the requirement.	The Transmission Operator failed to coordinate its restoration plans with more than 5% up to (and including) 10% of the entities identified in the	The Transmission Operator failed to coordinate its restoration plans with more than 10% up to (and including) 15% of the entities identified in	The Transmission Operator failed to coordinate its restoration plans with more than 15% of the entities identified in the requirement.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				requirement.	the requirement.	
EOP-005-1	R5.	Each Transmission Operator and Balancing Authority shall periodically test its telecommunication facilities needed to implement the restoration plan.	N/A	N/A	N/A	The responsible entity failed to periodically test its telecommunication facilities needed to implement the restoration plan.
EOP-005-1	R6.	Each Transmission Operator and Balancing Authority shall train its operating personnel in the implementation of the restoration plan. Such training shall include simulated exercises, if practicable.	The Transmission Operator or Balancing Authority failed to train 5% or less of its operating personnel in the implementation of the restoration plan.	The Transmission Operator or Balancing Authority failed to train more than 5% up to (and including) 10 % of its operating personnel in the implementation of the restoration plan.	The Transmission Operator or Balancing Authority failed to train more than 10 % up to (and including) 15% of its operating personnel in the implementation of the restoration plan.	The Transmission Operator or Balancing Authority failed to train more than 15% of its operating personnel in the implementation of the restoration plan.
EOP-005-1	R7.	Each Transmission Operator and Balancing Authority shall verify the restoration procedure by actual testing or by simulation.	N/A	N/A	N/A	The Transmission Operator or Balancing Authority did not verify the restoration procedure by actual testing or by simulation.
EOP-005-1	R8.	Each Transmission Operator shall verify that the number, size, availability, and location of system blackstart generating units are sufficient to meet Regional Reliability Organization restoration plan requirements for the Transmission Operator's area.	N/A	N/A	N/A	The Transmission Operator failed to verify that the number, size, availability, and location of system blackstart generating units are sufficient to meet Regional Reliability Organization restoration plan

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						requirements for the Transmission Operator's area.
EOP-005-1	R9.	The Transmission Operator shall document the Cranking Paths, including initial switching requirements, between each blackstart generating unit and the unit(s) to be started and shall provide this documentation for review by the Regional Reliability Organization upon request. Such documentation may include Cranking Path diagrams.	N/A	N/A	The Transmission Operator documented the Cranking Paths, including initial switching requirements, between each blackstart generating unit and the unit(s) to be started, but did not provide the documentation as requested by the Regional Reliability Organization.	The Transmission Operator failed to document the Cranking Paths, including initial switching requirements, between each blackstart generating unit and the unit(s) to be started.
EOP-005-1	R10.	The Transmission Operator shall demonstrate, through simulation or testing, that the blackstart generating units in its restoration plan can perform their intended functions as required in the regional restoration plan.	For less than 25% of the blackstart generating units in its restoration plan, the Transmission Operator failed to demonstrate, through simulation or testing, that these blackstart generating units can perform their intended functions as required in the regional restoration plan.	For 25% or more, but less than 50% of the blackstart generating units in its restoration plan, the Transmission Operator failed to demonstrate, through simulation or testing, that these blackstart generating units can perform their intended functions as required in the regional restoration plan.	For 50% or more, but less than 75% of the blackstart generating units in its restoration plan, the Transmission Operator failed to demonstrate, through simulation or testing, that these blackstart generating units can perform their intended functions as required in the regional restoration plan.	For 75% or more of the blackstart generating units in its restoration plan, the Transmission Operator failed to demonstrate, through simulation or testing, that these blackstart generating units can perform their intended functions as required in the regional restoration plan.
EOP-005-1	R10.1.	The Transmission Operator shall perform this simulation or testing at least once every five years.	N/A	N/A	N/A	The Transmission Operator failed to perform the required simulation or testing at least once every five years.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
EOP-005-1	R11.	Following a disturbance in which one or more areas of the Bulk Electric System become isolated or blacked out, the affected Transmission Operators and Balancing Authorities shall begin immediately to return the Bulk Electric System to normal.	The responsible entity failed to comply with less than 25% of the number of sub-components.	The responsible entity failed to comply with 25% or more and less than 50% of the number of sub-components.	The responsible entity failed to comply with 50% or more and less than 75% of the number of sub-components.	The responsible entity failed to comply with more than 75% of the number of sub-components.
EOP-005-1	R11.1.	The affected Transmission Operators and Balancing Authorities shall work in conjunction with their Reliability Coordinator(s) to determine the extent and condition of the isolated area(s).	N/A	N/A	N/A	The responsible entity failed to work in conjunction with their Reliability Coordinator to determine the extent and condition of the isolated area(s)
EOP-005-1	R11.2.	The affected Transmission Operators and Balancing Authorities shall take the necessary actions to restore Bulk Electric System frequency to normal, including adjusting generation, placing additional generators on line, or load shedding.	N/A	N/A	N/A	The affected Transmission Operators and Balancing Authorities failed to take the necessary actions to restore Bulk Electric System frequency to normal.
EOP-005-1	R11.3.	The affected Balancing Authorities, working with their Reliability Coordinator(s), shall immediately review the Interchange Schedules between those Balancing Authority Areas or fragments of those Balancing Authority Areas within the separated area and make adjustments as needed to facilitate the restoration. The affected Balancing Authorities shall make all attempts to maintain the adjusted Interchange Schedules, whether generation control is manual or automatic.	N/A	N/A	The responsible entity failed to make all attempts to maintain adjusted Interchange Schedules as required in R11.3	The responsible entity failed to immediately review the Interchange Schedules between those Balancing Authority Areas or fragments of those Balancing Authority Areas within the separated area and make adjustments to facilitate the restoration as required

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						in R11.3.
EOP-005-1	R11.4.	The affected Transmission Operators shall give high priority to restoration of off-site power to nuclear stations.	N/A	N/A	N/A	The affected Transmission Operators failed to give high priority to restoration of off-site power to nuclear stations.
EOP-005-1	R11.5.	The affected Transmission Operators may resynchronize the isolated area(s) with the surrounding area(s) when the following conditions are met:	N/A	N/A	N/A	The Transmission Operator attempted to resynchronize an isolated area(s) with a surrounding area(s) when one (1) or more of the sub-requirements of R11.5 were not met.
EOP-005-1	R11.5.1.	Voltage, frequency, and phase angle permit.	N/A	N/A	N/A	N/A
EOP-005-1	R11.5.2.	The size of the area being reconnected and the capacity of the transmission lines effecting the reconnection and the number of synchronizing points across the system are considered.	N/A	N/A	N/A	N/A
EOP-005-1	R11.5.3.	Reliability Coordinator(s) and adjacent areas are notified and Reliability Coordinator approval is given.	N/A	N/A	N/A	N/A
EOP-005-1	R11.5.4.	Load is shed in neighboring areas, if required, to permit successful interconnected system restoration.	N/A	N/A	N/A	N/A
EOP-006-1	R1.	Each Reliability Coordinator shall be aware of the restoration plan of each Transmission Operator in its Reliability Coordinator Area in accordance with NERC and regional requirements.	The Reliability Coordinator is not aware of 5% or less of its Transmission Operators' restoration plans.	The Reliability Coordinator is not aware of more than 5% up to (and including) 10% of its Transmission Operators'	The Reliability Coordinator is not aware of more than 10% up to (and including) 15% of its Transmission Operators' restoration	The Reliability Coordinator is not aware of more than 15% of its Transmission Operators' restoration

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				restoration plans.	plans.	plans.
EOP-006-1	R2.	The Reliability Coordinator shall monitor restoration progress and coordinate any needed assistance.	N/A	N/A	The Reliability Coordinator failed to monitor restoration progress or failed to coordinate assistance.	The Reliability Coordinator failed to monitor restoration progress and failed to coordinate assistance.
EOP-006-1	R3.	The Reliability Coordinator shall have a Reliability Coordinator Area restoration plan that provides coordination between individual Transmission Operator restoration plans and that ensures reliability is maintained during system restoration events.	N/A	The Reliability Coordinator's Reliability Coordinator Area restoration plan did not provide coordination between less than 10% of its individual Transmission Operator restoration plans.	The Reliability Coordinator's Reliability Coordinator Area restoration plan did not provide coordination between 10% or more of the Transmission Operator restoration plans.	The Reliability Coordinator does not have a Reliability Coordinator Area restoration plan. OR The Reliability Coordinator's Reliability Coordinator Area restoration plan does not ensure reliability is maintained during system restoration events.
EOP-006-1	R4.	The Reliability Coordinator shall serve as the primary contact for disseminating information regarding restoration to neighboring Reliability Coordinators and Transmission Operators or Balancing Authorities not immediately involved in restoration.	N/A	N/A	N/A	The Reliability Coordinator failed to serve as primary contact for disseminating information regarding restoration in accordance with Requirement R4.
EOP-006-1	R5.	Reliability Coordinators shall approve, communicate, and coordinate the re-synchronizing of major system islands or synchronizing points so as not to cause a Burden on adjacent Transmission Operator, Balancing Authority, or Reliability	N/A	N/A	N/A	The Reliability Coordinator failed to approve, communicate, and coordinate the re-synchronizing of

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		Coordinator Areas.				major system islands or synchronizing points as stated in Requirement R5.
EOP-006-1	R6.	The Reliability Coordinator shall take actions to restore normal operations once an operating emergency has been mitigated in accordance with its restoration plan.	N/A	N/A	N/A	The Reliability Coordinator failed to take actions to restore normal operations once an operating emergency was mitigated in accordance with its restoration plan.
EOP-008-0	R1.	Each Reliability Coordinator, Transmission Operator and Balancing Authority shall have a plan to continue reliability operations in the event its control center becomes inoperable. The contingency plan must meet the following requirements:	The Reliability Coordinator, Transmission Operator and Balancing Authority failed to comply with one of the sub-requirements.	The Reliability Coordinator, Transmission Operator and Balancing Authority failed to comply with two of the sub-requirements.	The Reliability Coordinator, Transmission Operator and Balancing Authority failed to comply with three or four of the sub-requirements.	The Reliability Coordinator, Transmission Operator and Balancing Authority failed to comply with more than four of the sub-requirements.
EOP-008-0	R1.1.	The contingency plan shall not rely on data or voice communication from the primary control facility to be viable.	The responsible entity's contingency plan relies on data or voice communication from the primary control facility for up to 25% of the functions identified in R1.2 and R1.3.	The responsible entity's contingency plan relies on data or voice communication from the primary control facility for 25% to 50% of the functions identified in R1.2 and R1.3.	The responsible entity's contingency plan relies on data or voice communication from the primary control facility for 50% to 75% of the functions identified in R1.2 and R1.3.	The responsible entity's contingency plan relies on data and voice communication from the primary control facility for more than 75% of the functions identified in R1.2 and R1.3.
EOP-008-0	R1.2.	The plan shall include procedures and responsibilities for providing basic tie line control and procedures and for maintaining the status of all inter-area schedules, such that there is an hourly accounting of all schedules.	N/A	N/A	N/A	The responsible entity's plan failed to include procedures and responsibilities for providing basic tie line control and

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						procedures and for maintaining the status of all inter-area schedules, such that there is an hourly accounting of all schedules.
EOP-008-0	R1.3.	The contingency plan must address monitoring and control of critical transmission facilities, generation control, voltage control, time and frequency control, control of critical substation devices, and logging of significant power system events. The plan shall list the critical facilities.	The responsible entity's contingency plan failed to address one of the elements listed in the requirement.	The responsible entity's contingency plan failed to address two of the elements listed in the requirement.	The responsible entity's contingency plan failed to address three of the elements listed in the requirement.	The responsible entity's contingency plan failed to address four or more of the elements listed in the requirement.
EOP-008-0	R1.4.	The plan shall include procedures and responsibilities for maintaining basic voice communication capabilities with other areas.	N/A	N/A	N/A	The responsible entity's plan failed to include procedures and responsibilities for maintaining basic voice communication capabilities with other areas.
EOP-008-0	R1.5.	The plan shall include procedures and responsibilities for conducting periodic tests, at least annually, to ensure viability of the plan.	N/A	N/A	N/A	The responsible entity's plan failed to include procedures and responsibilities for conducting periodic tests, at least annually, to ensure viability of the plan.
EOP-008-0	R1.6.	The plan shall include procedures and responsibilities for providing annual training to ensure that operating personnel are able to implement the contingency plans.	N/A	N/A	N/A	The responsible entity's plan failed to include procedures and responsibilities for providing annual training to ensure that operating personnel

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						are able to implement the contingency plans.
EOP-008-0	R1.7.	The plan shall be reviewed and updated annually.	The responsible entity's plan was reviewed within 3 months of passing its annual review date.	The responsible entity's plan was reviewed within 6 months of passing its annual review date.	The responsible entity's plan was reviewed within 9 months of passing its annual review date.	The responsible entity's plan was reviewed more than 9 months of passing its annual review date.
EOP-008-0	R1.8.	Interim provisions must be included if it is expected to take more than one hour to implement the contingency plan for loss of primary control facility.	N/A	N/A	N/A	The responsible entity failed to make interim provisions when it is took more than one hour to implement the contingency plan for loss of primary control facility.
EOP-009-0	R1.	The Generator Operator of each blackstart generating unit shall test the startup and operation of each system blackstart generating unit identified in the BCP as required in the Regional BCP (Reliability Standard EOP-007-0_R1). Testing records shall include the dates of the tests, the duration of the tests, and an indication of whether the tests met Regional BCP requirements.	The Generator Operator Blackstart unit testing and recording is missing minor program/procedural elements.	Startup and testing of each Blackstart unit was performed, but the testing records are incomplete. The testing records are missing 25% or less of data requested in the requirement'.	The Generator Operator's failed to test 25% or less of the Blackstart units or testing records are incomplete. The testing records are missing between 25% and 50% of data requested in the requirement.	The Generator Operator failed to test more than 25% of its Blackstart units or does not have Blackstart testing records or is missing more than 50% of the required data.
EOP-009-0	R2.	The Generator Owner or Generator Operator shall provide documentation of the test results of the startup and operation of each blackstart generating unit to the Regional Reliability Organizations and upon request to NERC.	N/A	N/A	N/A	The Generator Owner or Generator Operator did not provide the required blackstart documentation to its Regional Reliability Organization or upon request to NERC.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
FAC-001-0	R1.	The Transmission Owner shall document, maintain, and publish facility connection requirements to ensure compliance with NERC Reliability Standards and applicable Regional Reliability Organization, subregional, Power Pool, and individual Transmission Owner planning criteria and facility connection requirements. The Transmission Owner's facility connection requirements shall address connection requirements for:	Not Applicable.	The Transmission Owner failed to do one of the following: Document or maintain or publish facility connection requirements as specified in the Requirement OR Failed to include one (1) of the components and specified in R1.1, R1.2 or R1.3.	The Transmission Owner failed to do one of the following: Document or maintain or publish its facility connection requirements as specified in the Requirement. OR Failed to include (2) of the components as specified in R1.1, R1.2 or R1.3 OR Failed to document or maintain or publish its facility connection requirements as specified in the Requirement and failed to include one (1) of the components as specified in R1.1, R1.2 or R1.3	The Transmission Owner did not develop facility connection requirements
FAC-001-0	R1.1.	Generation facilities,	N/A	N/A	N/A	N/A
FAC-001-0	R1.2.	Transmission facilities, and	N/A	N/A	N/A	N/A
FAC-001-0	R1.3.	End-user facilities	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
FAC-001-0	R2.	The Transmission Owner's facility connection requirements shall address, but are not limited to, the following items:	The Transmission Owner's facility connection requirements do not address one to four of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address five to eight of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address nine to twelve of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address thirteen or more of the sub-components. (R2.1.1 to R2.1.16)
FAC-001-0	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	The Transmission Owner's facility connection requirements do not address one to four of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address five to eight of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address nine to twelve of the sub-components. (R2.1.1 to R2.1.16)	The Transmission Owner's facility connection requirements do not address thirteen or more of the sub-components. (R2.1.1 to R2.1.16)
FAC-001-0	R2.1.1.	Procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.2.	Procedures for notification of new or modified facilities to others (those responsible for the reliability of the interconnected transmission systems) as soon as feasible.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.

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FAC-001-0	R2.1.3.	Voltage level and MW and MVAR capacity or demand at point of connection.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.4.	Breaker duty and surge protection.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.5.	System protection and coordination.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.6.	Metering and telecommunications.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected

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						transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.7.	Grounding and safety issues.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.8.	Insulation and insulation coordination.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.9.	Voltage, Reactive Power, and power factor control.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.10.	Power quality impacts.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new

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						facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.11.	Equipment Ratings.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.12.	Synchronizing of facilities.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.13.	Maintenance coordination.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.14.	Operational issues (abnormal frequency and	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission

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		voltages).				owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.15.	Inspection requirements for existing or new facilities.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R2.1.16.	Communications and procedures during normal and emergency operating conditions.	Not Applicable.	Not Applicable.	Not Applicable.	The Transmission owner's procedures for coordinated joint studies of new facilities and their impacts on the interconnected transmission systems failed to include this subrequirement.
FAC-001-0	R3.	The Transmission Owner shall maintain and update its facility connection requirements as required. The Transmission Owner shall make documentation of these requirements available to the users of the transmission system, the Regional Reliability Organization, and NERC on request (five business days).	The responsible entity made the requirements available more than five business days but less than or equal to 10 business days after a request.	The responsible entity made the requirements available more than 10 business days but less than or equal to 20 business days after a request.	The responsible entity made the requirements available more than 20 business days less than or equal to 30 business days after a request.	The responsible entity made the requirements available more than 30 business days after a request.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
FAC-002-1	R1.	The Generator Owner, Transmission Owner, Distribution Provider, and Load-Serving Entity seeking to integrate generation facilities, transmission facilities, and electricity end-user facilities shall each coordinate and cooperate on its assessments with its Transmission Planner and Planning Authority. The assessment shall include:	The Responsible Entity failed to include in their assessment one of the subrequirements.	The Responsible Entity failed to include in their assessment two of the subrequirements.	The Responsible Entity failed to include in their assessment three of the subrequirements.	The Responsible Entity failed to include in their assessment four or more of the subrequirements.
FAC-002-1	R1.1.	Evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems.	Not Applicable.	Not Applicable.	Not Applicable.	The responsible entity's assessment did not include the evaluation.
FAC-002-1	R1.2.	Ensurance of compliance with NERC Reliability Standards and applicable Regional, subregional, Power Pool, and individual system planning criteria and facility connection requirements.	Not Applicable.	Not Applicable.	Not Applicable.	The responsible entity's assessment did not include the ensurance of compliance.
FAC-002-1	R1.3.	Evidence that the parties involved in the assessment have coordinated and cooperated on the assessment of the reliability impacts of new facilities on the interconnected transmission systems. While these studies may be performed independently, the results shall be jointly evaluated and coordinated by the entities involved.	Not Applicable.	Not Applicable.	Not Applicable.	The responsible entity's assessment did not include the evidence of coordination.
FAC-002-1	R1.4.	Evidence that the assessment included steady-state, short-circuit, and dynamics studies as necessary to evaluate system performance under both normal and contingency conditions in accordance with Reliability Standards TPL-001-0, TPL-002-0, and TPL-003-0.	Not Applicable.	Not Applicable.	Not Applicable.	The responsible entity's assessment did not include the evidence of the studies.
FAC-002-1	R1.5.	Documentation that the assessment included study assumptions, system performance, alternatives considered, and jointly	Not Applicable.	Not Applicable.	Not Applicable.	The responsible entity's assessment did not include the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		coordinated recommendations.				documentation.
FAC-002-1	R2. <u>(Retired)</u>	The Planning Authority, Transmission Planner, Generator Owner, Transmission Owner, Load-Serving Entity, and Distribution Provider shall each retain its documentation (of its evaluation of the reliability impact of the new facilities and their connections on the interconnected transmission systems) for three years and shall provide the documentation to the Regional Reliability Organization(s) and NERC on request (within 30 calendar days).	The responsible entity provided the documentation more than 30 calendar days, but not more than 45 calendar days, after a request.	The responsible entity provided the documentation more than 45 calendar days, but not more than 60 calendar days, after a request.	The responsible entity provided the documentation more than 60 calendar days, but not more than 120 calendar days, after a request.	The responsible entity provided the documentation more than 120 calendar days after a request or was unable to provide the documentation.
FAC-003-1	R1.	The Transmission owner shall prepare, and keep current, a formal transmission vegetation management program (TVMP). The TVMP shall include the Transmission Owner's objectives, practices, approved procedures, and work Specifications. 1. ANSI A300, Tree Care Operations – Tree, Shrub, and Other Woody Plant Maintenance – Standard Practices, while not a requirement of this standard, is considered to be an industry best practice.	The responsible entity did not include and keep current one of the four required elements of its TVMP, as directed by the requirement.	The responsible entity did not include and keep current two of the four required elements of its TVMP, as directed by the requirement.	The responsible entity did not include and keep current three of the four required elements of its TVMP, as directed by the requirement.	The responsible entity did not include and keep current all required elements of the TVMP, as directed by the requirement.
FAC-003-1	R1.1.	The TVMP shall define a schedule for and the type (aerial, ground) of ROW vegetation inspections. This schedule should be flexible enough to adjust for changing conditions. The inspection schedule shall be based on the anticipated growth of vegetation and any other environmental or operational factors that could impact the relationship of vegetation to the Transmission Owner's transmission lines.	N/A	N/A	The applicable entity TVMP did not define a schedule, as directed by the requirement, or the type of ROW vegetation inspections, as directed by the requirement.	The applicable entity TVMP did not define a schedule, as directed by the requirement, nor the type of ROW vegetation inspections, as directed by the requirement.
FAC-003-1	R1.2.	The Transmission Owner, in the TVMP, shall identify and document clearances between vegetation and any overhead, ungrounded supply conductors, taking into	N/A	N/A	N/A	The responsible entity, in its TVMP, failed to identify and document clearances between

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		<p>consideration transmission line voltage, the effects of ambient temperature on conductor sag under maximum design loading, and the effects of wind velocities on conductor sway. Specifically, the Transmission Owner shall establish clearances to be achieved at the time of vegetation management work identified herein as Clearance 1, and shall also establish and maintain a set of clearances identified herein as Clearance 2 to prevent flashover between vegetation and overhead ungrounded supply conductors.</p>				<p>vegetation and any overhead, ungrounded supply conductors. OR The responsible entity, in its TVMP, failed to take into consideration transmission line voltage, or the effects of ambient temperature on conductor sag under maximum design loading, or the effects of wind velocities on conductor sway. OR The responsible entity, in its TVMP, failed to establish Clearance 1 or Clearance 2 values.</p>
FAC-003-1	R1.2.1.	<p>Clearance 1 — The Transmission Owner shall determine and document appropriate clearance distances to be achieved at the time of transmission vegetation management work based upon local conditions and the expected time frame in which the Transmission Owner plans to return for future vegetation management work. Local conditions may include, but are not limited to: operating voltage, appropriate vegetation management techniques, fire risk, reasonably anticipated tree and conductor movement, species types and growth rates, species failure characteristics, local climate and rainfall patterns, line terrain and elevation, location</p>	N/A	N/A	N/A	<p>The responsible entity failed to determine and document an appropriate clearance distance to be achieved at the time of transmission vegetation management work taking into account local conditions and the expected time frame in which the responsible entity expects to return for future vegetation</p>

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		of the vegetation within the span, and worker approach distance requirements. Clearance 1 distances shall be greater than those defined by Clearance 2 below.				management work. OR The responsible entity documented a Clearance 1 value that was smaller than its Clearance 2 value.
FAC-003-1	R1.2.2.	Clearance 2 — The Transmission Owner shall determine and document specific radial clearances to be maintained between vegetation and conductors under all rated electrical operating conditions. These minimum clearance distances are necessary to prevent flashover between vegetation and conductors and will vary due to such factors as altitude and operating voltage. These Transmission Owner-specific minimum clearance distances shall be no less than those set forth in the Institute of Electrical and Electronics Engineers (IEEE) Standard 516-2003 (<i>Guide for Maintenance Methods on Energized Power Lines</i>) and as specified in its Section 4.2.2.3, Minimum Air Insulation Distances without Tools in the Air Gap.	N/A	N/A	N/A	The responsible entity failed to determine and document Clearance 2 values taking into account local conditions and the expected time frame in which the responsible entity expects to return for future vegetation management work.
FAC-003-1	R1.2.2.1.	Where transmission system transient overvoltage factors are not known, clearances shall be derived from Table 5, IEEE 516-2003, phase-to-ground distances, with appropriate altitude correction factors applied.	N/A	N/A	N/A	Where transmission system transient overvoltage factors were not known, clearances were not derived from Table 5, IEEE 516-2003, phase-to-ground distances, with appropriate altitude correction factors applied.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
FAC-003-1	R1.2.2.2.	Where transmission system transient overvoltage factors are known, clearances shall be derived from Table 7, IEEE 516-2003, phase-to-phase voltages, with appropriate altitude correction factors applied.	Not Applicable.	Not Applicable.	Not Applicable.	Where transmission system transient overvoltage factors are known, clearances were not derived from Table 7, IEEE 516-2003, phase-to-phase voltages, with appropriate altitude correction factors applied.
FAC-003-1	R1.3.	All personnel directly involved in the design and implementation of the TVMP shall hold appropriate qualifications and training, as defined by the Transmission Owner, to perform their duties.	<p>For responsible entities directly involving fewer than 20 persons in the design and implementation of the TVMP, one of those persons did not hold appropriate qualifications and training to perform their duties.</p> <p>For responsible entities directly involving 20 or more persons in the design and implementation of the TVMP, 5% or less of those persons did not hold appropriate qualifications and training to perform their duties.</p>	<p>For responsible entities directly involving fewer than 20 persons in the design and implementation of the TVMP, two of those persons did not hold appropriate qualifications and training to perform their duties.</p> <p>For responsible entities directly involving 20 or more persons in the design and implementation of the TVMP, more than 5% up to (and including) 10% of those persons did not hold appropriate qualifications and training to perform their duties.</p>	<p>For responsible entities directly involving fewer than 20 persons in the design and implementation of the TVMP, three of those persons did not hold appropriate qualifications and training to perform their duties.</p> <p>For responsible entities directly involving 20 or more persons in the design and implementation of the TVMP, more than 10% up to (and including) 15% of those persons did not hold appropriate qualifications and training to perform their duties.</p>	<p>For responsible entities directly involving fewer than 20 persons in the design and implementation of the TVMP, more than three of those persons did not hold appropriate qualifications and training to perform their duties.</p> <p>For responsible entities directly involving 20 or more persons in the design and implementation of the TVMP, more than 15% of those persons did not hold appropriate qualifications and training to perform their duties.</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
FAC-003-1	R1.4.	Each Transmission Owner shall develop mitigation measures to achieve sufficient clearances for the protection of the transmission facilities when it identifies locations on the ROW where the Transmission Owner is restricted from attaining the clearances specified in Requirement 1.2.1.	N/A	N/A	N/A	The responsible entity's TVMP does not include mitigation measures to achieve sufficient clearances where restrictions to the ROW are in effect.
FAC-003-1	R1.5.	Each Transmission Owner shall establish and document a process for the immediate communication of vegetation conditions that present an imminent threat of a transmission line outage. This is so that action (temporary reduction in line rating, switching line out of service, etc.) may be taken until the threat is relieved.	N/A	N/A	N/A	The responsible entity did not establish or did not document a process for the immediate communication of vegetation conditions that present an imminent threat of line outage, as directed by the requirement.
FAC-003-1	R2.	The Transmission Owner shall create and implement an annual plan for vegetation management work to ensure the reliability of the system. The plan shall describe the methods used, such as manual clearing, mechanical clearing, herbicide treatment, or other actions. The plan should be flexible enough to adjust to changing conditions, taking into consideration anticipated growth of vegetation and all other environmental factors that may have an impact on the reliability of the transmission systems. Adjustments to the plan shall be documented as they occur. The plan should take into consideration the time required to obtain permissions or permits from landowners or regulatory authorities. Each Transmission Owner shall have systems and procedures for documenting and tracking	The responsible entity did not meet one of the three required elements (including in the annual plan a description of methods used for vegetation management, maintaining documentation of adjustments to the annual plan, or having systems and procedures for tracking work performed as part of the annual plan) specified in the	The responsible entity did not meet two of the three required elements (including in the annual plan a description of methods used for vegetation management, maintaining documentation of adjustments to the annual plan, or having systems and procedures for tracking work performed as part of the annual plan)	The responsible entity did not meet the three required elements (including in the annual plan a description of methods used for vegetation management, maintaining documentation of adjustments to the annual plan, or having systems and procedures for tracking work performed as part of the annual plan) specified in the requirement.	The responsible entity does not have an annual plan for vegetation management. OR The responsible entity has not implemented the annual plan for vegetation management.

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		the planned vegetation management work and ensuring that the vegetation management work was completed according to work specifications.	requirement.	specified in the requirement.		
FAC-003-1	R3.	The Transmission Owner shall report quarterly to its RRO, or the RRO's designee, sustained transmission line outages determined by the Transmission Owner to have been caused by vegetation.	The responsible entity failed to provide a quarterly outage report, but did not experience any reportable outages. OR The responsible entity provided a quarterly report, but failed to report in the manner specified by one or more of the following subcomponents of R3: R3.1 or R3.2.	The responsible entity provided a quarterly report, but failed to include information required by R3.3.	The responsible entity provided a quarterly outage report, but failed to include a reportable Category 3 outage as described in R3.4.3.	The responsible entity experienced reportable outages but failed to provide a quarterly report. OR The responsible entity provided a quarterly outage report, but failed to include a reportable Category 1 (as described in R3.4.1) or Category 2 outage (as described in R3.4.2).
FAC-003-1	R3.1.	Multiple sustained outages on an individual line, if caused by the same vegetation, shall be reported as one outage regardless of the actual number of outages within a 24-hour period.	N/A	N/A	N/A	N/A
FAC-003-1	R3.2.	The Transmission Owner is not required to report to the RRO, or the RRO's designee, certain sustained transmission line outages caused by vegetation: (1) Vegetation-related outages that result from vegetation falling into lines from outside the ROW that result from natural disasters shall not be considered reportable (examples of disasters that could create non-reportable outages include, but are not limited to, earthquakes, fires, tornados, hurricanes, landslides, wind shear, major storms as defined either by the Transmission Owner or an applicable	N/A	N/A	N/A	N/A

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		regulatory body, ice storms, and floods), and (2) Vegetation-related outages due to human or animal activity shall not be considered reportable (examples of human or animal activity that could cause a non-reportable outage include, but are not limited to, logging, animal severing tree, vehicle contact with tree, arboricultural activities or horticultural or agricultural activities, or removal or digging of vegetation).				
FAC-003-1	R3.3.	The outage information provided by the Transmission Owner to the RRO, or the RRO's designee, shall include at a minimum: the name of the circuit(s) outaged, the date, time and duration of the outage; a description of the cause of the outage; other pertinent comments; and any countermeasures taken by the Transmission Owner.	N/A	N/A	N/A	N/A
FAC-003-1	R3.4.	An outage shall be categorized as one of the following:	N/A	N/A	N/A	N/A
FAC-003-1	R3.4.1.	Category 1 — Grow-ins: Outages caused by vegetation growing into lines from vegetation inside and/or outside of the ROW;	N/A	N/A	N/A	N/A
FAC-003-1	R3.4.2.	Category 2 — Fall-ins: Outages caused by vegetation falling into lines from inside the ROW;	N/A	N/A	N/A	N/A
FAC-003-1	R3.4.3.	Category 3 — Fall-ins: Outages caused by vegetation falling into lines from outside the ROW.	N/A	N/A	N/A	N/A
FAC-003-1	R4.	The RRO shall report the outage information provided to it by Transmission Owner's, as required by Requirement 3, quarterly to NERC, as well as any actions	Not applicable.	Not applicable.	The RRO did not submit a quarterly report to NERC for a	The RRO did not submit a quarterly report to NERC for more than two

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		taken by the RRO as a result of any of the reported outages.			single quarter.	consecutive quarters.
FAC-008-1	R1.	The Transmission Owner and Generator Owner shall each document its current methodology used for developing Facility Ratings (Facility Ratings Methodology) of its solely and jointly owned Facilities. The methodology shall include all of the following:	The responsible entity failed to include in their methodology one of the subcomponents of R1.3, (R1.3.1 to R1.3.5).	The responsible entity failed to include in their methodology two of the subcomponents of R1.3, (R1.3.1 to R1.3.5).	The responsible entity rating methodology did not address either of the sub-components of R1.2 (R1.2.1 or R1.2.2). OR The responsible entity failed to include in their methodology three of the subcomponents of R1.3, (R1.3.1 to R1.3.5).	The Transmission Owner or Generation Owner does not have a documented Facility Ratings Methodology for use in developing facility ratings. The responsible entity's rating methodology failed to recognize a facility's rating based on the most limiting component rating as required in R1.1. OR The responsible entity rating methodology did not address the components of R1.2, (R1.2.1 and R1.2.2). OR The responsible entity failed to include in their methodology four or more of the subcomponents of R1.3, (R1.3.1 to R1.3.5).
FAC-008-1	R1.1.	A statement that a Facility Rating shall equal the most limiting applicable Equipment Rating of the individual equipment that comprises that Facility.	N/A	N/A	N/A	N/A
FAC-008-1	R1.2.	The method by which the Rating (of major BES equipment that comprises a Facility) is	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		determined.				
FAC-008-1	R1.2.1.	The scope of equipment addressed shall include, but not be limited to, generators, transmission conductors, transformers, relay protective devices, terminal equipment, and series and shunt compensation devices.	N/A	N/A	N/A	N/A
FAC-008-1	R1.2.2.	The scope of Ratings addressed shall include, as a minimum, both Normal and Emergency Ratings.	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.	Consideration of the following:	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.1.	Ratings provided by equipment manufacturers.	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.2.	Design criteria (e.g., including applicable references to industry Rating practices such as manufacturer's warranty, IEEE, ANSI or other standards).	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.3.	Ambient conditions.	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.4.	Operating limitations.	N/A	N/A	N/A	N/A
FAC-008-1	R1.3.5.	Other assumptions.	N/A	N/A	N/A	N/A
FAC-008-1	R2. <i>(Retired)</i>	The Transmission Owner and Generator Owner shall each make its Facility Ratings Methodology available for inspection and technical review by those Reliability Coordinators, Transmission Operators, Transmission Planners, and Planning Authorities that have responsibility for the area in which the associated Facilities are located, within 15 business days of receipt of a request.	The responsible entity made the Facility Ratings Methodology available within more than 15 business days but less than or equal to 25 business days after a request.	The responsible entity made the Facility Ratings Methodology available within more than 25 business days but less than or equal to 35 business days after a request.	The responsible entity made the Facility Ratings Methodology available within more than 35 business days but less than or equal to 45 business days after a request.	The responsible entity failed to make available the Facility Ratings Methodology available in more than 45 business days after a request.
FAC-008-1	R3. <i>(Retired)</i>	If a Reliability Coordinator, Transmission Operator, Transmission Planner, or Planning Authority provides written comments on its technical review of a	The responsible entity provided a response in more than 45 calendar days but less than or	The responsible entity provided a response in more than 60 calendar	The responsible entity provided a response in more than 70 calendar days but less than or	The responsible entity failed to provide a response as required in more than 80 calendar

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		Transmission Owner's or Generator Owner's Facility Ratings Methodology, the Transmission Owner or Generator Owner shall provide a written response to that commenting entity within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Facility Ratings Methodology and, if no change will be made to that Facility Ratings Methodology, the reason why.	equal to 60 calendar days after a request.	days but less than or equal to 70 calendar days after a request. OR The responsible entity provided a response within 45 calendar days, and the response indicated that a change will not be made to the Facility Ratings Methodology but did not indicate why no change will be made.	equal to 80 calendar days after a request. OR The responsible entity provided a response within 45 calendar days, but the response did not indicate whether a change will be made to the Facility Ratings Methodology.	days after a request.
FAC-008-3	R1.	Each Generator Owner shall have documentation for determining the Facility Ratings of its solely and jointly owned generator Facility(ies) up to the low side terminals of the main step up transformer if the Generator Owner does not own the main step up transformer and the high side terminals of the main step up transformer if the Generator Owner owns the main step up transformer. [See standard for documentation requirements]	N/A	The Generator Owner's Facility Rating documentation did not address Requirement R1, Part 1.1.	The Generator Owner's Facility Rating documentation did not address Requirement R1, Part 1.2.	The Generator Owner failed to provide documentation for determining its Facility Ratings.
FAC-008-3	R2.	Each Generator Owner shall have a documented methodology for determining Facility Ratings (Facility Ratings methodology) of its solely and jointly owned equipment connected between the location specified in R1 and the point of interconnection with the Transmission Owner that contains all of the following. [See standard for methodology	The Generator Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R2: <ul style="list-style-type: none"> 2.1. 	The Generator Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R2: <ul style="list-style-type: none"> 2.1 	The Generator Owner's Facility Rating methodology did not address all the components of Requirement R2, Part 2.4. OR	The Generator Owner's Facility Rating methodology failed to recognize a facility's rating based on the most limiting component rating as required in Requirement R2, Part

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		requirements]	<ul style="list-style-type: none"> • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4 	<ul style="list-style-type: none"> • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4 	<p>The Generator Owner failed to include in its Facility Rating Methodology, three of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> • 2.1. • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4 	<p>2.3</p> <p>OR</p> <p>The Generator Owner failed to include in its Facility Rating Methodology four or more of the following Parts of Requirement R2:</p> <ul style="list-style-type: none"> • 2.1 • 2.2.1 • 2.2.2 • 2.2.3 • 2.2.4
FAC-008-3	R3.	Each Transmission Owner shall have a documented methodology for determining Facility Ratings (Facility Ratings methodology) of its solely and jointly owned Facilities (except for those generating unit Facilities addressed in R1 and R2) that contains all of the following: [See standard for methodology requirements]	<p>The Transmission Owner failed to include in its Facility Rating methodology one of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4 	<p>The Transmission Owner failed to include in its Facility Rating methodology two of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4 	<p>The Transmission Owner's Facility Rating methodology did not address either of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> • 3.4.1 • 3.4.2 <p>OR</p> <p>The Transmission Owner failed to include in its Facility Rating methodology three of the following Parts of Requirement R3:</p> <ul style="list-style-type: none"> • 3.1 	<p>The Transmission Owner's Facility Rating methodology failed to recognize a Facility's rating based on the most limiting component rating as required in Requirement R3, Part 3.3</p> <p>OR</p> <p>The Transmission Owner failed to include in its Facility Rating methodology four or more of the following Parts of Requirement R3:</p>

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					<ul style="list-style-type: none"> • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4 	<ul style="list-style-type: none"> • 3.1 • 3.2.1 • 3.2.2 • 3.2.3 • 3.2.4
FAC-008-3	R4. <u>(Retired)</u>	Each Transmission Owner shall make its Facility Ratings methodology and each Generator Owner shall each make its documentation for determining its Facility Ratings and its Facility Ratings methodology available for inspection and technical review by those Reliability Coordinators, Transmission Operators, Transmission Planners and Planning Coordinators that have responsibility for the area in which the associated Facilities are located, within 21 calendar days of receipt of a request.	The responsible entity made its Facility Ratings methodology or Facility Ratings documentation available within more than 21 calendar days but less than or equal to 31 calendar days after a request.	The responsible entity made its Facility Ratings methodology or Facility Ratings documentation available within more than 31 calendar days but less than or equal to 41 calendar days after a request.	The responsible entity made its Facility Rating methodology or Facility Ratings documentation available within more than 41 calendar days but less than or equal to 51 calendar days after a request.	The responsible entity failed to make its Facility Ratings methodology or Facility Ratings documentation available in more than 51 calendar days after a request. (R3)
FAC-008-3	R5. <u>(Retired)</u>	If a Reliability Coordinator, Transmission Operator, Transmission Planner or Planning Coordinator provides documented comments on its technical review of a Transmission Owner's Facility Ratings methodology or Generator Owner's documentation for determining its Facility Ratings and its Facility Rating methodology, the Transmission Owner or Generator Owner shall provide a response to that commenting entity within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Facility Ratings methodology and, if no change will be made to that Facility Ratings methodology, the reason why.	The responsible entity provided a response in more than 45 calendar days but less than or equal to 60 calendar days after a request. (R5)	The responsible entity provided a response in more than 60 calendar days but less than or equal to 70 calendar days after a request. OR The responsible entity provided a response within 45 calendar days, and the response indicated that a change will not be made to the Facility	The responsible entity provided a response in more than 70 calendar days but less than or equal to 80 calendar days after a request. OR The responsible entity provided a response within 45 calendar days, but the response did not indicate whether a change will be made to the Facility Ratings methodology or Facility Ratings documentation.	The responsible entity failed to provide a response as required in more than 80 calendar days after the comments were received. (R5)

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Ratings methodology or Facility Ratings documentation but did not indicate why no change will be made. (R5)	(R5)	
FAC-008-3	R6.	Each Transmission Owner and Generator Owner shall have Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings methodology or documentation for determining its Facility Ratings.	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for 5% or less of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 5% or more, but less than up to (and including) 10% of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 10% up to (and including) 15% of its solely owned and jointly owned Facilities. (R6)	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings methodology or documentation for determining the Facility Ratings for more than 15% of its solely owned and jointly owned Facilities. (R6)
FAC-008-3	R7.	Each Generator Owner shall provide Facility Ratings (for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities) to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), Transmission Owner(s) and Transmission Operator(s) as scheduled by such requesting entities.	The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by up to and including 15 calendar days.	The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 15 calendar days but less than or equal to 25 calendar days.	The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 25 calendar days but less than or equal to 35 calendar days.	The Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 35 calendar days. OR The Generator Owner failed to provide its Facility Ratings to the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						requesting entities.
FAC-008-3	R8.	Each Transmission Owner (and each Generator Owner subject to Requirement R2) shall provide requested information as specified below (for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities) to its associated Reliability Coordinator(s), Planning Coordinator(s), Transmission Planner(s), Transmission Owner(s) and Transmission Operator(s): [See standard for requirements of providing requested information]	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by up to and including 15 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 100%, but not less than or equal to 95% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but the information was provided up to and including 15 calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 100%, but not less than or equal to 95% of the required Rating information to the</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 15 calendar days but less than or equal to 25 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 95%, but not less than or equal to 90% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more than 15 calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 25 calendar days but less than or equal to 35 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 90%, but not less than or equal to 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more than 25 calendar days but less than or equal to 35 calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 90%, but no less than or equal to 85% of the</p>	<p>The responsible entity provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by more than 35 calendar days. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided less than 85% of the required Rating information to all of the requesting entities. (R8, Part 8.1)</p> <p>OR</p> <p>The responsible entity provided the required Rating information to the requesting entity, but did so more than 35 calendar days late. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity provided less than 85% of the required Rating information to the requesting entity. (R8, Part 8.2)</p> <p>OR</p> <p>The responsible entity failed to provide its</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			requesting entity. (R8, Part 8.2)	entity provided less than 95%, but not less than or equal to 90% of the required Rating information to the requesting entity. (R8, Part 8.2)	required Rating information to the requesting entity. (R8, Part 8.2)	Rating information to the requesting entity. (R8, Part 8.1)
FAC-009-1	R1.	The Transmission Owner and Generator Owner shall each establish Facility Ratings for its solely and jointly owned Facilities that are consistent with the associated Facility Ratings Methodology.	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings Methodology for 5% or less of its solely owned and jointly owned Facilities.	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings Methodology for more than 5% up to (and including) 10% of its solely owned and jointly owned Facilities.	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings Methodology for more than 10% up to (and including) 15% of its solely owned and jointly owned Facilities.	The responsible entity failed to establish Facility Ratings consistent with the associated Facility Ratings Methodology for more than 15% of its solely owned and jointly owned Facilities.
FAC-009-1	R2.	The Transmission Owner and Generator Owner shall each provide Facility Ratings for its solely and jointly owned Facilities that are existing Facilities, new Facilities, modifications to existing Facilities and re-ratings of existing Facilities to its associated Reliability Coordinator(s), Planning Authority(ies), Transmission Planner(s), and Transmission Operator(s) as scheduled by such requesting entities.	The Transmission Owner or Generator Owner provided its Facility Ratings to all of the requesting entities but missed meeting the schedules by up to 15 calendar days.	The Transmission Owner or Generator Owner provided its Facility Ratings to all but one of the requesting entities.	The Transmission Owner or Generator Owner provided its Facility Ratings to two of the requesting entities.	The Transmission Owner or Generator Owner has provided its Facility Ratings to none of the requesting entities within 30 calendar days of the associated schedules.
FAC-010-2.1	R1	The Planning Authority shall have a documented SOL Methodology for use in developing SOLs within its Planning Authority Area. This SOL Methodology shall:	Not applicable.	The Planning Authority has a documented SOL Methodology for use in developing SOLs within its Planning Authority Area, but it does not	The Planning Authority has a documented SOL Methodology for use in developing SOLs within its Planning Authority Area, but it does not address R1.3.	The Planning Authority has a documented SOL Methodology for use in developing SOLs within its Planning Authority Area, but it does not address R1.1.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				address R1.2		OR The Planning Authority has no documented SOL Methodology for use in developing SOLs within its Planning Authority Area.
FAC-010-2.1	R2.	The Planning Authority’s SOL Methodology shall include a requirement that SOLs provide BES performance consistent with the following:	The Planning Authority’s SOL Methodology requires that SOLs are set to meet BES performance following single and multiple contingencies, but does not address the pre-contingency state (R2.1)	The Planning Authority’s SOL Methodology requires that SOLs are set to meet BES performance in the pre-contingency state and following single contingencies, but does not address multiple contingencies. (R2.5-R2.6)	The Planning Authority’s SOL Methodology requires that SOLs are set to meet BES performance in the pre-contingency state and following multiple contingencies, but does not meet the performance for response to single contingencies. (R2.2 – R2.4)	The Planning Authority’s SOL Methodology requires that SOLs are set to meet BES performance in the pre-contingency state but does not require that SOLs be set to meet the BES performance specified for response to single contingencies (R2.2-R2.4) and does not require that SOLs be set to meet the BES performance specified for response to multiple contingencies. (R2.5-R2.6)
FAC-010-2.1	R3.	The Planning Authority’s methodology for determining SOLs, shall include, as a minimum, a description of the following, along with any reliability margins applied for each:	The Planning Authority has a methodology for determining SOLs that includes a description for all but one of the following: R3.1	The Planning Authority has a methodology for determining SOLs that includes a description for all but two of the following: R3.1	The Planning Authority has a methodology for determining SOLs that includes a description for all but three of the following: R3.1 through R3.6.	The Planning Authority has a methodology for determining SOLs that is missing a description of four or more of the following:

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			through R3.6.	through R3.6.		R3.1 through R3.6.
FAC-010-2.1	R4.	The Planning Authority shall issue its SOL Methodology, and any change to that methodology, to all of the following prior to the effectiveness of the change:	<p>One or both of the following: The Planning Authority issued its SOL Methodology and changes to that methodology to all but one of the required entities.</p> <p>For a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of the change.</p>	<p>One of the following: The Planning Authority issued its SOL Methodology and changes to that methodology to all but one of the required entities AND for a change in methodology, the changed methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change.</p> <p>OR The Planning Authority issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of</p>	<p>One of the following: The Planning Authority issued its SOL Methodology and changes to that methodology to all but one of the required entities AND for a change in methodology, the changed methodology was provided 60 calendar days or more, but less than 90 calendar days after the effectiveness of the change.</p> <p>OR The Planning Authority issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change.</p> <p>OR The Planning Authority issued its SOL Methodology and</p>	<p>One of the following: The Planning Authority failed to issue its SOL Methodology and changes to that methodology to more than three of the required entities.</p> <p>The Planning Authority issued its SOL Methodology and changes to that methodology to all but one of the required entities AND for a change in methodology, the changed methodology was provided 90 calendar days or more after the effectiveness of the change.</p> <p>OR The Planning Authority issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided 60</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				the change.	changes to that methodology to all but three of the required entities AND for a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of the change.	calendar days or more, but less than 90 calendar days after the effectiveness of the change. OR The Planning Authority issued its SOL Methodology and changes to that methodology to all but three of the required entities AND for a change in methodology, the changed methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change. The Planning Authority issued its SOL Methodology and changes to that methodology to all but four of the required entities AND for a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of the change.
FAC-010-2.1	R5. <u>(Retired)</u>	If a recipient of the SOL Methodology provides documented technical comments on the methodology, the Planning Authority	The Planning Authority received documented technical	The Planning Authority received documented	The Planning Authority received documented technical comments on	The Planning Authority received documented technical

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		shall provide a documented response to that recipient within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the SOL Methodology and, if no change will be made to that SOL Methodology, the reason why.	comments on its SOL Methodology and provided a complete response in a time period that was longer than 45 calendar days but less than 60 calendar days.	technical comments on its SOL Methodology and provided a complete response in a time period that was 60 calendar days or longer but less than 75 calendar days.	its SOL Methodology and provided a complete response in a time period that was 75 calendar days or longer but less than 90 calendar days. OR The Planning Authority's response to documented technical comments on its SOL Methodology indicated that a change will not be made, but did not include an explanation of why the change will not be made.	comments on its SOL Methodology and provided a complete response in a time period that was 90 calendar days or longer. OR The Planning Authority's response to documented technical comments on its SOL Methodology did not indicate whether a change will be made to the SOL Methodology.
FAC-011-2	R1.	The Reliability Coordinator shall have a documented methodology for use in developing SOLs (SOL Methodology) within its Reliability Coordinator Area. This SOL Methodology shall:	Not applicable.	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.2	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.3.	The Reliability Coordinator has a documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area, but it does not address R1.1. OR The Reliability Coordinator has no documented SOL Methodology for use in developing SOLs within its Reliability Coordinator Area.
FAC-011-2	R2.	The Reliability Coordinator's SOL Methodology shall include a requirement that SOLs provide BES performance	The Reliability Coordinator's SOL Methodology	Not applicable.	The Reliability Coordinator's SOL Methodology	The Reliability Coordinator's SOL Methodology

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		consistent with the following:	requires that SOLs are set to meet BES performance following single contingencies, but does not require that SOLs are set to meet BES performance in the pre-contingency state. (R2.1)		requires that SOLs are set to meet BES performance in the precontingency state, but does not require that SOLs are set to meet BES performance following single contingencies. (R2.2 – R2.4)	does not require that SOLs are set to meet BES performance in the pre-contingency state and does not require that SOLs are set to meet BES performance following single contingencies. (R2.1 through R2.4)
FAC-011-2	R3.	The Reliability Coordinator’s methodology for determining SOLs, shall include, as a minimum, a description of the following, along with any reliability margins applied for each:	The Reliability Coordinator has a methodology for determining SOLs that includes a description for all but one of the following: R3.1 through R3.7.	The Reliability Coordinator has a methodology for determining SOLs that includes a description for all but two of the following: R3.1 through R3.7.	The Reliability Coordinator has a methodology for determining SOLs that includes a description for all but three of the following: R3.1 through R3.7.	The Reliability Coordinator has a methodology for determining SOLs that is missing a description of three or more of the following: R3.1 through R3.7.
FAC-011-2	R4	The Reliability Coordinator shall issue its SOL Methodology and any changes to that methodology, prior to the effectiveness of the Methodology or of a change to the Methodology, to all of the following:	One or both of the following : The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but one of the required entities. For a change in methodology, the changed methodology was provided up to 30	One of the following: The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but one of the required entities AND for a change in methodology, the changed	One of the following : The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but one of the required entities AND for a change in methodology, the changed methodology was provided 60 calendar days or more, but less	One of the following: The Reliability Coordinator failed to issue its SOL Methodology and changes to that methodology to more than three of the required entities. The Reliability Coordinator issued its SOL Methodology and

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			calendar days after the effectiveness of the change.	methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change. OR The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of the change.	than 90 calendar days after the effectiveness of the change. OR The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change. OR The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but three of the required entities AND for a change in methodology, the changed methodology was provided up to 30 calendar days after the effectiveness of the change.	changes to that methodology to all but one of the required entities AND for a change in methodology, the changed methodology was provided 90 calendar days or more after the effectiveness of the change. OR The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but two of the required entities AND for a change in methodology, the changed methodology was provided 60 calendar days or more, but less than 90 calendar days after the effectiveness of the change.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						<p>OR</p> <p>The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but three of the required entities AND for a change in methodology, the changed methodology was provided 30 calendar days or more, but less than 60 calendar days after the effectiveness of the change.</p> <p>OR</p> <p>The Reliability Coordinator issued its SOL Methodology and changes to that methodology to all but four of the required entities AND for a change in methodology, the changed</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						methodology was provided up to 30 calendar days after the effectiveness of the change.
FAC-011-2	R5. <u>(Retired)</u>	If a recipient of the SOL Methodology provides documented technical comments on the methodology, the Reliability Coordinator shall provide a documented response to that recipient within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the SOL Methodology and, if no change will be made to that SOL Methodology, the reason why.	The Reliability Coordinator received documented technical comments on its SOL Methodology and provided a complete response in a time period that was longer than 45 calendar days but less than 60 calendar days.	The Reliability Coordinator received documented technical comments on its SOL Methodology and provided a complete response in a time period that was 60 calendar days or longer but less than 75 calendar days.	The Reliability Coordinator received documented technical comments on its SOL Methodology and provided a complete response in a time period that was 75 calendar days or longer but less than 90 calendar days. OR The Reliability Coordinator's response to documented technical comments on its SOL Methodology indicated that a change will not be made, but did not include an explanation of why the change will not be made.	The Reliability Coordinator received documented technical comments on its SOL Methodology and provided a complete response in a time period that was 90 calendar days or longer. OR The Reliability Coordinator's response to documented technical comments on its SOL Methodology did not indicate whether a change will be made to the SOL Methodology.
FAC-013-1	R1.	The Reliability Coordinator and Planning Authority shall each establish a set of inter-regional and intra-regional Transfer Capabilities that is consistent with its current Transfer Capability Methodology.	The responsible entity has established a set of Transfer Capabilities, but 5% or less of all Transfer Capabilities required to be established, are inconsistent with the current Transfer Capability	The responsible entity has established a set of Transfer Capabilities, but more than 5% up to (and including) 10% of all Transfer Capabilities required to be established,	The responsible entity has established a set of Transfer Capabilities, but more than 10% up to (and including) 15% of all Transfer Capabilities required to be established, are inconsistent with the current Transfer	The responsible entity has established a set of Transfer Capabilities, but more than 15% of those Transfer Capabilities are not consistent with the current Transfer Capability Methodology

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			Methodology.	are inconsistent with the current Transfer Capability Methodology.	Capability Methodology.	OR The responsible entity has not established a set of Transfer Capabilities.
FAC-013-1	R2.	The Reliability Coordinator and Planning Authority shall each provide its inter-regional and intra-regional Transfer Capabilities to those entities that have a reliability-related need for such Transfer Capabilities and make a written request that includes a schedule for delivery of such Transfer Capabilities as follows:	The Reliability Coordinator or Planning Authority has provided its Transfer Capabilities but missed meeting one schedule by up to 15 calendar days.	The Reliability Coordinator or Planning Authority has provided its Transfer Capabilities but missed meeting two schedules.	The Reliability Coordinator or Planning Authority has provided its Transfer Capabilities but missed meeting more than two schedules.	The Reliability Coordinator or Planning Authority has provided its Transfer Capabilities but missed meeting all schedules within 30 calendar days of the associated schedules.
FAC-013-1	R2.1.	The Reliability Coordinator shall provide its Transfer Capabilities to its associated Regional Reliability Organization(s), to its adjacent Reliability Coordinators, and to the Transmission Operators, Transmission Service Providers and Planning Authorities that work in its Reliability Coordinator Area.	The responsible entity failed to provide Transfer Capabilities to 5% or less of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 5% up to (and including) 10% of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 10% up to (and including) 15% of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 15% of the required entities.
FAC-013-1	R2.2.	The Planning Authority shall provide its Transfer Capabilities to its associated Reliability Coordinator(s) and Regional Reliability Organization(s), and to the Transmission Planners and Transmission Service Provider(s) that work in its Planning Authority Area.	The responsible entity failed to provide Transfer Capabilities 5% or less of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 5% up to (and including) 10% of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 10% up to (and including) 15% of the required entities.	The responsible entity failed to provide Transfer Capabilities to more than 15% of the required entities.
FAC-013-2	R1.	Each Planning Coordinator shall have a documented methodology it uses to perform an annual assessment of Transfer Capability in the Near-Term Transmission Planning Horizon (Transfer Capability methodology). The Transfer Capability methodology shall include, at a minimum, the following	The Planning Coordinator has a Transfer Capability methodology but failed to address one or two of the items listed in Requirement R1, Part 1.4.	The Planning Coordinator has a Transfer Capability methodology, but failed to incorporate one of the following Parts of Requirement R1	The Planning Coordinator has a Transfer Capability methodology, but failed to incorporate two of the following Parts of Requirement R1 into that methodology:	The Planning Coordinator did not have a Transfer Capability methodology. OR The Planning Coordinator has a

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		information: [See standard pdf for requirements of the Transfer Capability methodology]		<p>into that methodology:</p> <ul style="list-style-type: none"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address three of the items listed in Requirement R1, Part 1.4.</p>	<ul style="list-style-type: none"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address four of the items listed in Requirement R1, Part 1.4.</p>	<p>Transfer Capability methodology, but failed to incorporate three or more of the following Parts of Requirement R1 into that methodology:</p> <ul style="list-style-type: none"> • Part 1.1 • Part 1.2 • Part 1.3 • Part 1.5 <p>OR</p> <p>The Planning Coordinator has a Transfer Capability methodology but failed to address more than four of the items listed in Requirement R1, Part 1.4.</p>
FAC-013-2	R2.	Each Planning Coordinator shall issue its Transfer Capability methodology, and any revisions to the Transfer Capability methodology, to the following entities subject to the following: [See standard pdf for requirements of issuing the Transfer Capability Methodology]	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology after its implementation, but not more than 30 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the transfer Capability</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 30 calendar days after its implementation, but not more than 60 calendar days after its implementation.</p> <p>OR</p> <p>The Planning</p>	<p>The Planning Coordinator notified one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 60 calendar days, but not more than 90 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the Transfer Capability methodology more than</p>	<p>The Planning Coordinator failed to notify one or more of the parties specified in Requirement R2 of a new or revised Transfer Capability methodology more than 90 calendar days after its implementation.</p> <p>OR</p> <p>The Planning Coordinator provided the Transfer Capability</p>

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			methodology more than 30 calendar days but not more than 60 calendar days after the receipt of a request.	Coordinator provided the Transfer Capability methodology more than 60 calendar days but not more than 90 calendar days after receipt of a request	90 calendar days but not more than 120 calendar days after receipt of a request.	methodology more than 120 calendar days after receipt of a request.
FAC-013-2	R3. <u>(Retired)</u>	If a recipient of the Transfer Capability methodology provides documented concerns with the methodology, the Planning Coordinator shall provide a documented response to that recipient within 45 calendar days of receipt of those comments. The response shall indicate whether a change will be made to the Transfer Capability methodology and, if no change will be made to that Transfer Capability methodology, the reason why.	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 45 calendar days, but not more than 60 calendar days after receipt of the concern.	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 60 calendar days, but not more than 75 calendar days after receipt of the concern.	The Planning Coordinator provided a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 more than 75 calendar days, but not more than 90 calendar days after receipt of the concern.	The Planning Coordinator failed to provide a documented response to a documented concern with its Transfer Capability methodology as required in Requirement R3 by more than 90 calendar days after receipt of the concern. OR The Planning Coordinator failed to respond to a documented concern with its Transfer Capability methodology.
FAC-013-2	R4.	During each calendar year, each Planning Coordinator shall conduct simulations and document an assessment based on those simulations in accordance with its Transfer Capability methodology for at least one year in the Near-Term Transmission	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, but not by more than 30	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, by	The Planning Coordinator conducted a Transfer Capability assessment outside the calendar year, by more than 60 calendar days,	The Planning Coordinator failed to conduct a Transfer Capability assessment outside the calendar year by more than 90

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Planning Horizon.	calendar days.	more than 30 calendar days, but not by more than 60 calendar days.	but not by more than 90 calendar days.	calendar days. OR The Planning Coordinator failed to conduct a Transfer Capability assessment.
FAC-013-2	R5.	Each Planning Coordinator shall make the documented Transfer Capability assessment results available within 45 calendar days of the completion of the assessment to the recipients of its Transfer Capability methodology pursuant to Requirement R2, Parts 2.1 and Part 2.2. However, if a functional entity that has a reliability related need for the results of the annual assessment of the Transfer Capabilities makes a written request for such an assessment after the completion of the assessment, the Planning Coordinator shall make the documented Transfer Capability assessment results available to that entity within 45 calendar days of receipt of the request	The Planning Coordinator made its documented Transfer Capability assessment available to one or more of the recipients of its Transfer Capability methodology more than 45 calendar days after the requirements of R5., but not more than 60 calendar days after completion of the assessment.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its Transfer Capability methodology more than 60 calendar days after the requirements of R5, but not more than 75 calendar days after completion of the assessment.	The Planning Coordinator made its Transfer Capability assessment available to one or more of the recipients of its Transfer Capability methodology more than 75 calendar days after the requirements of R5, but not more than 90 days after completion of the assessment.	The Planning Coordinator failed to make its documented Transfer Capability assessment available to one or more of the recipients of its Transfer Capability methodology more than 90 days after the requirements of R5. OR The Planning Coordinator failed to make its documented Transfer Capability assessment available to any of the recipients of its Transfer Capability methodology under the requirements of R5.
FAC-013-2	R6.	If a recipient of a documented Transfer Capability assessment requests data to support the assessment results, the Planning Coordinator shall provide such data to that entity within 45 calendar days of receipt of the request. The provision of such data	The Planning Coordinator provided the requested data as required in Requirement R6 more than 45 calendar days	The Planning Coordinator provided the requested data as required in Requirement R6	The Planning Coordinator provided the requested data as required in Requirement R6 more than 75 calendar days	The Planning Coordinator provided the requested data as required in Requirement R6 more than 90 after the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		shall be subject to the legal and regulatory obligations of the Planning Coordinator's area regarding the disclosure of confidential and/or sensitive information.	after receipt of the request for data, but not more than 60 calendar days after the receipt of the request for data.	more than 60 calendar days after receipt of the request for data, but not more than 75 calendar days after the receipt of the request for data.	after receipt of the request for data, but not more than 90 calendar days after the receipt of the request for data.	receipt of the request for data. OR The Planning Coordinator failed to provide the requested data as required in Requirement R6.
FAC-014-2	R1.	The Reliability Coordinator shall ensure that SOLs, including Interconnection Reliability Operating Limits (IROLs), for its Reliability Coordinator Area are established and that the SOLs (including Interconnection Reliability Operating Limits) are consistent with its SOL Methodology.	There are SOLs, for the Reliability Coordinator Area, but from 1% up to but less than 25% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R1)	There are SOLs, for the Reliability Coordinator Area, but 25% or more, but less than 50% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R1)	There are SOLs, for the Reliability Coordinator Area, but 50% or more, but less than 75% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R1)	There are SOLs for the Reliability Coordinator Area, but 75% or more of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R1)
FAC-014-2	R2.	The Transmission Operator shall establish SOLs (as directed by its Reliability Coordinator) for its portion of the Reliability Coordinator Area that are consistent with its Reliability Coordinator's SOL Methodology.	The Transmission Operator has established SOLs for its portion of the Reliability Coordinator Area, but from 1% up to but less than 25% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R2)	The Transmission Operator has established SOLs for its portion of the Reliability Coordinator Area, but 25% or more, but less than 50% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R2)	The Transmission Operator has established SOLs for its portion of the Reliability Coordinator Area, but 50% or more, but less than 75% of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R2)	The Transmission Operator has established SOLs for its portion of the Reliability Coordinator Area, but 75% or more of these SOLs are inconsistent with the Reliability Coordinator's SOL Methodology. (R2)
FAC-014-2	R3.	The Planning Authority shall establish SOLs, including IROLs, for its Planning Authority Area that are consistent with its SOL Methodology.	There are SOLs, for the Planning Coordinator Area, but from 1% up to, but less than, 25% of these	There are SOLs, for the Planning Coordinator Area, but 25% or more, but less than 50% of	There are SOLs for the Planning Coordinator Area, but 50% or more, but less than 75% of these SOLs are	There are SOLs, for the Planning Coordinator Area, but 75% or more of these SOLs are inconsistent

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R3)	these SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R3)	inconsistent with the Planning Coordinator's SOL Methodology. (R3)	with the Planning Coordinator's SOL Methodology. (R3)
FAC-014-2	R4.	The Transmission Planner shall establish SOLs, including IROLs, for its Transmission Planning Area that are consistent with its Planning Authority's SOL Methodology.	The Transmission Planner has established SOLs for its portion of the Planning Coordinator Area, but up to 25% of these SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R4)	The Transmission Planner has established SOLs for its portion of the Planning Coordinator Area, but 25% or more, but less than 50% of these SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R4)	The Transmission Planner has established SOLs for its portion of the Reliability Coordinator Area, but 50% or more, but less than 75% of these SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R4)	The Transmission Planner has established SOLs for its portion of the Planning Coordinator Area, but 75% or more of these SOLs are inconsistent with the Planning Coordinator's SOL Methodology. (R4)
FAC-014-2	R5.	The Reliability Coordinator, Planning Authority and Transmission Planner shall each provide its SOLs and IROLs to those entities that have a reliability-related need for those limits and provide a written request that includes a schedule for delivery of those limits as follows:	The responsible entity provided its SOLs (including the subset of SOLs that are IROLs) to all the requesting entities but missed meeting one or more of the schedules by less than 15 calendar days. (R5)	One of the following: The responsible entity provided its SOLs (including the subset of SOLs that are IROLs) to all but one of the requesting entities within the schedules provided. (R5) Or The responsible entity provided its SOLs to all the requesting entities but missed meeting one or more of the	One of the following: The responsible entity provided its SOLs (including the subset of SOLs that are IROLs) to all but two of the requesting entities within the schedules provided. (R5) Or The responsible entity provided its SOLs to all the requesting entities but missed meeting one or more of the schedules for 30	One of the following: The responsible entity failed to provide its SOLs (including the subset of SOLs that are IROLs) to more than two of the requesting entities within 45 calendar days of the associated schedules. (R5) OR The supporting information provided with the IROLs does not address 5.1.1 and 5.1.2.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				schedules for 15 or more but less than 30 calendar days. (R5) OR The supporting information provided with the IROLs does not address 5.1.4	or more but less than 45 calendar days. (R5) OR The supporting information provided with the IROLs does not address 5.1.3	
FAC-014-2	R6.	The Planning Authority shall identify the subset of multiple contingencies (if any), from Reliability Standard TPL-003 which result in stability limits.	The Planning Authority failed to notify the Reliability Coordinator in accordance with R6.2	Not applicable.	The Planning Authority identified the subset of multiple contingencies which result in stability limits but did not provide the list of multiple contingencies and associated limits to one Reliability Coordinator that monitors the Facilities associated with these limits. (R6.1)	The Planning Authority did not identify the subset of multiple contingencies which result in stability limits. (R6) OR The Planning Authority identified the subset of multiple contingencies which result in stability limits but did not provide the list of multiple contingencies and associated limits to more than one Reliability Coordinator that monitors the Facilities associated with these limits. (R6.1)
FAC-501-WECC-1	R1.	Transmission Owners shall have a TMIP detailing their inspection and maintenance	The TMIP does not include associated	The TMIP does not include associated	The TMIP does not include associated	The TMIP does not include associated

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		requirements that apply to all transmission facilities necessary for System Operating Limits associated with each of the transmission paths identified in table titled “Major WECC Transfer Paths in the Bulk Electric System.”	Facilities for one of the Paths identified in Attachment 1 FAC-501-WECC-1 as required by R.1 but Transmission Owners are performing maintenance and inspection for the missing Facilities.	Facilities for two of the Paths identified in the most current Table titled “Major WECC Transfer Paths in the Bulk Electric System” as required by R.1 and Transmission Owners are not performing maintenance and inspection for the missing Facilities.	Facilities for three of the Paths identified in the most current Table titled “Major WECC Transfer Paths in the Bulk Electric System” as required by R.1 and Transmission Owners are not performing maintenance and inspection for the missing Facilities.	Facilities for more than three of the Paths identified in the most current Table titled “Major WECC Transfer Paths in the Bulk Electric System” as required by R.1 and Transmission Owners are not performing maintenance and inspection for the missing Facilities.
FAC-501-WECC-1	R1.1.	Transmission Owners shall annually review their TMIP and update as required.	Transmission Owners did not review their TMIP annually as required by R.1.1.	N/A	N/A	N/A
FAC-501-WECC-1	R2.	Transmission Owners shall include the maintenance categories in Attachment 1- FAC-501-WECC-1 when developing their TMIP.	The TMIP does not include one maintenance category identified in Attachment 1 FAC-501-WECC-1 as required by R.2 but Transmission Owners are performing maintenance and inspection for the missing maintenance categories.	The TMIP does not include two maintenance categories identified in Attachment 1 FAC-501-WECC-1 as required by R.2 but Transmission Owners are performing maintenance and inspection for the missing maintenance categories.	The TMIP does not include three maintenance categories identified in Attachment 1 FAC-501-WECC-1 as required by R.2 but Transmission Owners are performing maintenance and inspection for the missing maintenance categories.	The TMIP does not exist or does not include more than three maintenance categories identified in Attachment 1 FAC-501-WECC-1 as required by R.2 but Transmission Owners are performing maintenance and inspection for the missing maintenance categories.
FAC-501-WECC-1	R3.	Transmission Owners shall implement and follow their TMIP.	Transmission Owners do not have maintenance and inspection records as	Transmission Owners are not performing maintenance and	Transmission Owners are not performing maintenance and inspection for two	Transmission Owners are not performing maintenance and inspection for more

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			required by R.3 but have evidence that they are implementing and following their TMIP.	inspection for one maintenance category identified in Attachment 1 FAC-501-WECC-1 as required in R3.	maintenance categories identified in Attachment 1 FAC-501-WECC-1 as required in R3.	than two maintenance categories identified in Attachment 1 FAC-501-WECC-1 as required in R3.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
INT-001-3	R1.	The Load-Serving, Purchasing-Selling Entity shall ensure that Arranged Interchange is submitted to the Interchange Authority for:	The Load-Serving, Purchasing-Selling Entity experienced one instance of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for: (see below)	The Load-Serving, Purchasing-Selling Entity experienced two instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for: (see below)	The Load-Serving, Purchasing-Selling Entity experienced three instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for: (see below)	The Load-Serving, Purchasing-Selling Entity experienced four instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for: (see below)
INT-001-3	R1.1.	All Dynamic Schedules at the expected average MW profile for each hour.	The Load-Serving, Purchasing-Selling Entity experienced one instance of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour.	The Load-Serving, Purchasing-Selling Entity experienced two instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour.	The Load-Serving, Purchasing-Selling Entity experienced three instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour.	The Load-Serving, Purchasing-Selling Entity experienced four instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for all Dynamic Schedules at the expected average MW profile for each hour.
INT-001-3	R2.	The Sink Balancing Authority shall ensure that Arranged Interchange is submitted to the Interchange Authority:	The Sink Balancing Authority experienced one instance of failing to ensure that Arranged Interchange was submitted to the Interchange Authority (see below)	The Sink Balancing Authority experienced two instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority (see below)	The Sink Balancing Authority experienced three instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority (see below)	The Sink Balancing Authority experienced four instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority (see below)

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
INT-001-3	R2.1.	If a Purchasing-Selling Entity is not involved in the Interchange, such as delivery from a jointly owned generator.	The Sink Balancing Authority experienced one instance of failing to ensure that Arranged Interchange was submitted to the Interchange Authority if a Purchasing-Selling Entity was not involved in the Interchange, such as delivery from a jointly owned generator.	The Sink Balancing Authority experienced two instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority if a Purchasing-Selling Entity was not involved in the Interchange, such as delivery from a jointly owned generator.	The Sink Balancing Authority experienced three instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority if a Purchasing-Selling Entity was not involved in the Interchange, such as delivery from a jointly owned generator.	The Sink Balancing Authority experienced four instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority if a Purchasing-Selling Entity was not involved in the Interchange, such as delivery from a jointly owned generator.
INT-001-3	R2.2.	For each bilateral Inadvertent Interchange payback.	The Sink Balancing Authority experienced one instance of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for each bilateral Inadvertent Interchange payback.	The Sink Balancing Authority experienced two instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for each bilateral Inadvertent Interchange payback.	The Sink Balancing Authority experienced three instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for each bilateral Inadvertent Interchange payback.	The Sink Balancing Authority experienced four instances of failing to ensure that Arranged Interchange was submitted to the Interchange Authority for each bilateral Inadvertent Interchange payback.
INT-003-3	R1.	Each Receiving Balancing Authority shall confirm Interchange Schedules with the Sending Balancing Authority prior to implementation in the Balancing Authority's ACE equation.	There shall be a separate Lower VSL, if either of the following conditions exists: One instance of entering a schedule into its ACE equation without confirming the	There shall be a separate Moderate VSL, if either of the following conditions exists: Two instances of entering a schedule into its ACE equation	There shall be a separate High VSL, if either of the following conditions exists: Three instances of entering a schedule into its ACE equation without confirming the schedule	There shall be a separate Severe VSL, if either of the following conditions exists: Four or more instances of entering a schedule into its ACE equation without

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			schedule as specified in R1, R1.1, R1.1.1 and R1.1.2. One instance of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2. Two instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	as specified in R1, R1.1, R1.1.1 and R1.1.2. Three instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2. Four or more instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2
INT-003-3	R1.1.	The Sending Balancing Authority and Receiving Balancing Authority shall agree on Interchange as received from the Interchange Authority, including:	The Balancing Authority experienced one instance of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced two instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced three instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced four instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.
INT-003-3	R1.1.1.	Interchange Schedule start and end time.	The Balancing Authority experienced one instance of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced two instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced three instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	The Balancing Authority experienced four instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.
INT-003-3	R1.1.2	Energy profile.	The Balancing Authority experienced	The Balancing Authority	The Balancing Authority experienced	The Balancing Authority experienced

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			one instance of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	experienced two instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	three instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.	four instances of entering a schedule into its ACE equation without confirming the schedule as specified in R1, R1.1, R1.1.1 and R1.1.2.
INT-003-3	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.	The sending or receiving Balancing Authority experienced one instance of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	The sending or receiving Balancing Authority experienced two instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	The sending or receiving Balancing Authority experienced three instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2	The sending or receiving Balancing Authority experienced four instances of not coordinating the Interchange Schedule with the Transmission Operator of the HVDC tie as specified in R1.2
INT-004-2	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.	The entity that initiated the curtailment failed to communicate the transaction reload to the Sink Balancing Authority	The entity that initiated the curtailment failed to reload the transaction and failed to communicate to the Sink Balancing Authority	N/A	N/A
INT-004-2	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 following occurs:	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.
INT-004-2	R2.1.	The average energy profile in an hour is greater than 250 MW and in that hour the	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		actual hourly integrated energy deviates from the hourly average energy profile indicated on the tag by more than +10%.				
INT-004-2	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.	N/A	N/A	N/A	N/A
INT-004-2	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.	N/A	N/A	N/A	N/A
INT-005-3	R1.	Prior to the expiration of the time period defined in the timing requirements tables in this standard, Column A, the Interchange Authority shall distribute the Arranged Interchange information for reliability assessment to all reliability entities involved in the Interchange.	The Interchange Authority experienced one occurrence of not distributing information to all involved reliability entities.	The Interchange Authority experienced two occurrences of not distributing information to all involved reliability entities	The Interchange Authority experienced three occurrences of not distributing information to all involved reliability entities	The Interchange Authority experienced four occurrences of not distributing information to all involved reliability entities
INT-005-3	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.	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.
INT-006-3	R1.	Prior to the expiration of the reliability	The Responsible	The Responsible	The Responsible Entity	The Responsible

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		assessment period defined in the timing requirements tables in this standard, Column B, the Balancing Authority and Transmission Service Provider shall respond to each On-time Request for Interchange (RFI), and to each Emergency RFI and Reliability Adjustment RFI from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange	Entity failed on one occasion to respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.	Entity failed on two occasions to respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.	failed on three occasions to respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.	Entity failed on four occasions to respond to a request from an Interchange Authority to transition an Arranged Interchange to a Confirmed Interchange.
INT-006-3	R1.1.	Each involved Balancing Authority shall evaluate the Arranged Interchange with respect to:	The Balancing Authority failed to evaluate arranged interchange with respect to one of the requirements in the 3 sub-components.	N/A	The Balancing Authority failed to evaluate arranged interchange with respect to two of the requirements in the 3 sub-components.	The Balancing Authority failed to evaluate arranged interchange with respect to three of the requirements in the 3 sub-components.
INT-006-3	R1.1.1.	Energy profile (ability to support the magnitude of the Interchange).	N/A	N/A	N/A	The Balancing Authority failed to evaluate Energy profile (ability to support the magnitude of the Interchange).
INT-006-3	R1.1.2.	Ramp (ability of generation maneuverability to accommodate).	N/A	N/A	N/A	The Balancing Authority failed to evaluate Ramp (ability of generation maneuverability to accommodate).
INT-006-3	R1.1.3.	Scheduling path (proper connectivity of Adjacent Balancing Authorities).	N/A	N/A	N/A	The Balancing Authority failed to evaluate Scheduling path (proper connectivity of Adjacent Balancing Authorities).

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INT-006-3	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	The Transmission Service Provider experienced one instance of failing 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.	The Transmission Service Provider experienced two instances of failing 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.	The Transmission Service Provider experienced three instances of failing 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.	The Transmission Service Provider experience four instances of failing 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.
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:	The Interchange Authority failed to verify one time, as indicated in R1.1, R1.2 , R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange. <u>(R1.2 retired)</u>	The Interchange Authority failed to verify two times, as indicated in R1.1, R1.2 , R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange. <u>(R1.2 retired)</u>	The Interchange Authority failed to verify three times, as indicated in R1.1, R1.2 , R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange. <u>(R1.2 retired)</u>	The Interchange Authority failed to verify four times, as indicated in R1.1, R1.2 , R1.3, R1.3.1, R1.3.2, R1.3.3, or R1.3.4 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange. <u>(R1.2 retired)</u>
INT-007-1	R1.1.	Source Balancing Authority megawatts equal sink Balancing Authority megawatts	The Interchange Authority failed to	The Interchange Authority failed to	The Interchange Authority failed to	The Interchange Authority failed to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		(adjusted for losses, if appropriate).	verify one time, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	verify two times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	verify three times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	verify four times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.2. (Retired)	All reliability entities involved in the Arranged Interchange are currently in the NERC registry.	The Interchange Authority failed to verify one time, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify two times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify three times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify four times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.3.	The following are defined:	The Interchange Authority failed to verify one time, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify two times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify three times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify four times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.3.1.	Generation source and load sink.	The Interchange Authority failed to verify one time, as	The Interchange Authority failed to verify two times, as	The Interchange Authority failed to verify three times, as	The Interchange Authority failed to verify four times, as

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.3.2.	Megawatt profile.	The Interchange Authority failed to verify one time, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify two times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify three times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify four times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.3.3.	Ramp start and stop times.	The Interchange Authority failed to verify one time, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify two times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify three times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	The Interchange Authority failed to verify four times, as indicated in R1 that Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
INT-007-1	R1.3.4.	Interchange duration.	The Interchange Authority failed to verify one time, as indicated in R1 that	The Interchange Authority failed to verify two times, as indicated in R1 that	The Interchange Authority failed to verify three times, as indicated in R1 that	The Interchange Authority failed to verify four times, as indicated in R1 that

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			Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.	Arranged Interchange was balanced and valid prior to transitioning Arranged Interchange to Confirmed Interchange.
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.	Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment has provided approval, with minor exception and is substantially compliant with the directives of the requirement.	Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment has provided approval, with some exception and is mostly compliant with the directives of the requirement.	Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment has provided approval but was substantially deficient in meeting the directives of the requirement.	Each Balancing Authority and Transmission Service Provider that received the Arranged Interchange information from the Interchange Authority for reliability assessment did not provide approval and failed to meet the requirement.
INT-008-3	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.	The Interchange Authority experienced one occurrence of not distributing information to all involved reliability entities as delineated in R1.1, R1.1.1 or R1.1.2.	The Interchange Authority experienced two occurrences of not distributing information to all involved reliability entities.	The Interchange Authority experienced three occurrences of not distributing information to all involved reliability entities.	The Interchange Authority experienced four occurrences of not distributing information to all involved reliability entities or no evidence provided.
INT-008-3	R1.1.	For Confirmed Interchange, the Interchange	The Interchange	The Interchange	The Interchange	The Interchange

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		Authority shall also communicate:	Authority experienced one occurrence of not distributing information to all involved reliability entities as defined in R1.	Authority experienced two occurrences of not distributing information to all involved reliability entities as defined in R1.	Authority experienced three occurrences of not distributing information to all involved reliability entities as defined in R1.	Authority experienced four occurrences of not distributing information to all involved reliability entities as defined in R1 or no evidence provided.
INT-008-3	R1.1.1.	Start and stop times, ramps, and megawatt profile to Balancing Authorities.	The Interchange Authority experienced one occurrence of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced two occurrences of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced three occurrences of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced four occurrences of not distributing information to all involved reliability entities as defined in R1 or no evidence provided.
INT-008-3	R1.1.2.	Necessary Interchange information to NERC-identified reliability analysis services.	The Interchange Authority experienced one occurrence of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced two occurrences of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced three occurrences of not distributing information to all involved reliability entities as defined in R1.	The Interchange Authority experienced four occurrences of not distributing information to all involved reliability entities as defined in R1 or no evidence provided.
INT-009-1	R1.	The Balancing Authority shall implement Confirmed Interchange as received from the Interchange Authority.	N/A	N/A	N/A	The responsible entity failed to implement a Confirmed Interchange as received from the Interchange Authority.
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	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an	The responsible entity that experienced a loss of resources that exceeded 60	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an	The responsible entity that experienced a loss of resources that exceeded 60 minutes and was covered by an

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		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.	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.	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.	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.	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. OR 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.
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.	N/A	N/A	N/A	The responsible entity failed to direct a Balancing Authority to submit the modified Arranged Interchange reflecting the modification, within 60 minutes of the initiation of the event.
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	N/A	N/A	N/A	The responsible entity failed to direct a Balancing Authority to submit an Arranged Interchange reflecting the new Interchange schedule within 60

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		the initiation of the event.				minutes of the initiation of the event.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
IRO-001-1.1	R1.	Each Regional Reliability Organization, subregion, or interregional coordinating group shall establish one or more Reliability Coordinators to continuously assess transmission reliability and coordinate emergency operations among the operating entities within the region and across the regional boundaries.	The RRO, subregion or interregional coordinating group did not communicate the assignment of the Reliability Coordinators to operating entities clearly.	The RRO, subregion or interregional coordinating group did not clearly identify the coordination of Reliability Coordinator areas within the region.	The RRO, subregion or interregional coordinating group did not coordinate assignment of the Reliability Coordinators across regional boundaries.	The RRO, subregion or interregional coordinating group did not assign any Reliability Coordinators.
IRO-001-1.1	R2.	The Reliability Coordinator shall comply with a regional reliability plan approved by the NERC Operating Committee.	The Reliability Coordinator has failed to follow the administrative portions of its regional reliability plan.	The Reliability Coordinator has failed to follow steps in its regional reliability plan that requires operator interventions or actions.	The Reliability Coordinator does not have a regional reliability plan approved by the NERC OC.	The Reliability Coordinator does not have an unapproved regional reliability plan.
IRO-001-1.1	R3.	The Reliability Coordinator shall have clear decision-making authority to act and to direct actions to be taken by Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities within its Reliability Coordinator Area to preserve the integrity and reliability of the Bulk Electric System. These actions shall be taken without delay, but no longer than 30 minutes.	N/A	N/A	The Reliability Coordinator cannot demonstrate that it has clear authority to act or direct actions to preserve transmission security and reliability of the Bulk Electric System.	The Reliability Coordinator failed to take or direct to preserve the reliability and security of the Bulk Electric System within 30 minutes of identifying those actions.
IRO-001-1.1	R4.	Reliability Coordinators that delegate tasks to other entities shall have formal operating agreements with each entity to which tasks are delegated. The Reliability Coordinator shall verify that all delegated tasks are understood, communicated, and addressed within its Reliability Coordinator Area. All	1. Less than 25% of the tasks are not documented in the agreement or 2. Less than 25% of the tasks are not performed according	1. More than 25% but 50% or less of the tasks are not documented in the agreement or 2. More than 25% but 50% or less of	1. More than 50% but 75% or less of the tasks are not documented in the agreement or 2. More than 50% but 75% or less of the tasks are not performed	1. There is no formal operating agreement for tasks delegated by the Reliability Coordinator, 2. More than 75% of the tasks are not

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		responsibilities for complying with NERC and regional standards applicable to Reliability Coordinators shall remain with the Reliability Coordinator.	to the agreement.	the tasks are not performed according to the agreement.	according to the agreement.	documented in the agreement or 3. More than 75% of the tasks are not performed according to the agreement.
IRO-001-1.1	R5.	The Reliability Coordinator shall list within its reliability plan all entities to which the Reliability Coordinator has delegated required tasks.	5% or less of the delegate entities are not identified in the reliability plan.	More than 5% up to (and including) 10% of the delegate entities are not identified in the reliability plan.	More than 10% up to (and including) 15% of the delegate entities are not identified in the reliability plan.	There is no reliability plan. OR More than 15% of the delegate entities are not identified in the reliability plan.
IRO-001-1.1	R6.	The Reliability Coordinator shall verify that all delegated tasks are carried out by NERC-certified Reliability Coordinator operating personnel.	The Reliability Coordinator failed to demonstrate that 5% or less of its delegated tasks were being performed by NERC certified Reliability Coordinator operating personnel.	The Reliability Coordinator failed to demonstrate that more than 5% up to (and including) 10% of its delegated tasks were being performed by NERC certified Reliability Coordinator operating personnel.	The Reliability Coordinator failed to demonstrate that more than 10% up to (and including) 15% of its delegated tasks were being performed by NERC certified Reliability Coordinator operating personnel.	The Reliability Coordinator failed to demonstrate that more than 15% of its delegated tasks were being performed by NERC certified Reliability Coordinator operating personnel.
IRO-001-1.1	R7.	The Reliability Coordinator shall have clear, comprehensive coordination agreements with adjacent Reliability Coordinators to ensure that System Operating Limit or Interconnection Reliability Operating Limit violation mitigation requiring actions in adjacent Reliability Coordinator Areas are coordinated.	The Reliability Coordinator has demonstrated the existence of coordination agreements with adjacent Reliability Coordinators but the agreements are not clear or comprehensive.	The Reliability Coordinator has demonstrated the existence of the coordination agreements with adjacent Reliability Coordinators but the agreements do not coordinate actions required in the adjacent Reliability Coordinator to	The Reliability Coordinator has demonstrated the existence of the coordination agreements with adjacent Reliability Coordinators but the agreements do not coordinate actions required in the adjacent Reliability Coordinator to mitigate SOL and	The Reliability Coordinator has failed to demonstrate the existence of any coordination agreements with adjacent Reliability Coordinators.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				mitigate SOL or IROL violations in its own Reliability Coordinator area.	IROL violations in its own Reliability Coordinator area.	
IRO-001-1.1	R8.	Transmission Operators, Balancing Authorities, Generator Operators, Transmission Service Providers, Load-Serving Entities, and Purchasing-Selling Entities shall comply with Reliability Coordinator directives unless such actions would violate safety, equipment, or regulatory or statutory requirements. Under these circumstances, the Transmission Operator, Balancing Authority, Generator Operator, Transmission Service Provider, Load-Serving Entity, or Purchasing-Selling Entity shall immediately inform the Reliability Coordinator of the inability to perform the directive so that the Reliability Coordinator may implement alternate remedial actions.	N/A	The responsible entity could not comply with a directive due to qualified reasons (violation of safety, equipment or regulatory or statutory requirements) and did not immediately inform the Reliability Coordinator.	N/A	The responsible entity did not follow the Reliability Coordinator's directive.
IRO-001-1.1	R9.	The Reliability Coordinator shall act in the interests of reliability for the overall Reliability Coordinator Area and the Interconnection before the interests of any other entity.	N/A	N/A	N/A	The Reliability Coordinator did not act in the interests of reliability for the overall Reliability Coordinator Area and the Interconnection before the interests of one or more other entities.
IRO-003-2	R1.	Each Reliability Coordinator shall monitor all Bulk Electric System facilities, which may include sub-transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time,	N/A	N/A	The Reliability Coordinator failed to monitor all Bulk Electric System facilities, which may include sub-	The Reliability Coordinator failed to monitor Bulk Electric System facilities, which may include sub-transmission

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.			transmission information, within its Reliability Coordinator Area and adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.	information, within adjacent Reliability Coordinator Areas, as necessary to ensure that, at any time, regardless of prior planned or unplanned events, the Reliability Coordinator is able to determine any potential System Operating Limit and Interconnection Reliability Operating Limit violations within its Reliability Coordinator Area.
IRO-003-2	R2.	Each Reliability Coordinator shall know the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation. Reliability Coordinators shall also know the status of any facilities that may be required to assist area restoration objectives.	N/A	N/A	The Reliability Coordinator failed to know either the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation or the status of any facilities that may be required to assist area restoration objectives.	The Reliability Coordinator failed to know the current status of all critical facilities whose failure, degradation or disconnection could result in an SOL or IROL violation and the status of any facilities that may be required to assist area restoration objectives.
IRO-006-5	R1.	Each Reliability Coordinator and Balancing Authority that receives a request pursuant to an Interconnection-wide transmission loading relief procedure (such as Eastern Interconnection TLR, WECC Unscheduled Flow Mitigation, or congestion management procedures from the ERCOT Protocols) from	N/A	N/A	N/A	The responsible entity received a request to curtail an Interchange Transaction crossing an Interconnection boundary pursuant to an Interconnection-

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		any Reliability Coordinator, Balancing Authority, or Transmission Operator in another Interconnection to curtail an Interchange Transaction that crosses an Interconnection boundary shall comply with the request, unless it provides a reliability reason to the requestor why it cannot comply with the request.				wide transmission loading relief procedure from a Reliability Coordinator, Balancing Authority, or Transmission Operator, but the entity neither complied with the request, nor provided a reliability reason why it could not comply with the request.
IRO-006-EAST-1	R1.	<p>When acting or instructing others to act to mitigate the magnitude and duration of the instance of exceeding an IROL within that IROL's TV, each Reliability Coordinator shall initiate, prior to or concurrently with the initiation of the Eastern Interconnection TLR procedure (or continuing management of this procedure if already initiated), one or more of the following actions:</p> <ul style="list-style-type: none"> • Inter-area redispatch of generation • Intra-area redispatch of generation • Reconfiguration of the transmission system • Voluntary load reductions (e.g., Demand-side Management) • Controlled load reductions (e.g., load shedding) 	N/A	N/A	N/A	When acting or instructing others to act to mitigate the magnitude and duration of the instance of exceeding an IROL within that IROL's Tv, the Reliability Coordinator did not initiate one or more of the actions listed under R1 prior to or in conjunction with the initiation of the Eastern Interconnection TLR procedure (or continuing management of this procedure if already initiated).
IRO-006-EAST-1	R2.	To ensure operating entities are provided with information needed to maintain an	The Reliability Coordinator initiating	The Reliability Coordinator	The Reliability Coordinator initiating	The Reliability Coordinator initiating

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>awareness of changes to the Transmission System, when initiating the Eastern Interconnection TLR procedure to prevent or mitigate an SOL or IROL exceedance, and at least every clock hour (with the exception of TLR-1, where an hourly update is not required) after initiation up to and including the hour when the TLR level has been identified as TLR Level 0, the Reliability Coordinator shall identify:</p> <p>2.1. A list of congestion management actions to be implemented, and</p> <p>2.2. One of the following TLR levels: TLR-1, TLR-2, TLR-3A, TLR-3B, TLR-4, TLR-5A, TLR-5B, TLR-6, TLR-0</p>	<p>the Eastern Interconnection TLR procedure missed identifying the TLR Level and/or a list of congestion management actions to take as specified by the requirement for one clock hour during the period from initiation up to the hour when the TLR level was identified as TLR Level 0.</p>	<p>initiating the Eastern Interconnection TLR procedure missed identifying the TLR Level and/or a list of congestion management actions to take as specified by the requirement for two clock hours during the period from initiation up to the hour when the TLR level was identified as TLR Level 0.</p>	<p>the Eastern Interconnection TLR procedure missed identifying the TLR Level and/or a list of congestion management actions to take as specified by the requirement for three clock hours during the period from initiation up to the hour when the TLR level was identified as TLR Level 0.</p>	<p>the Eastern Interconnection TLR procedure missed identifying the TLR Level and/or a list of congestion management actions to take as specified by the requirement for four or more clock hours during the period from initiation up to the hour when the TLR level was identified as TLR Level 0.</p>
IRO-006-EAST-1	R3.	<p>Upon the identification of the TLR level and a list of congestion management actions to be implemented, the Reliability Coordinator initiating this TLR procedure shall:</p> <ul style="list-style-type: none"> ○ Notify all Reliability Coordinators in the Eastern Interconnection of the identified TLR level ○ Communicate the list of congestion management actions to be implemented to 1.) all Reliability Coordinators in the Eastern Interconnection, and 2.) those Reliability Coordinators in other Interconnections responsible for curtailing Interchange Transactions crossing Interconnection boundaries identified in the list of congestion management actions. ○ Request that the congestion management actions identified in Requirement R2, Part 2.1 be 	<p>The initiating Reliability Coordinator did not notify one or more Reliability Coordinators in the Eastern Interconnection of the TLR Level (3.1).</p>	N/A	<p>The initiating Reliability Coordinator did not communicate the list of congestion management actions to one or more of the Reliability Coordinators listed in Requirement R3, Part 3.2.</p> <p>OR</p> <p>The initiating Reliability Coordinator requested some, but not all, of the Reliability Coordinators identified in Requirement R3, Part 3.3 to implement the identified</p>	<p>The initiating Reliability Coordinator requested none of the Reliability Coordinators identified in Requirement R3, Part 3.3 to implement the identified congestion management actions.</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>implemented by:</p> <ol style="list-style-type: none"> 1.) Each Reliability Coordinator associated with a Sink Balancing Authority for which Interchange Transactions are to be curtailed, 2.) Each Reliability Coordinator associated with a Balancing Authority in the Eastern Interconnection for which Network Integration Transmission Service or Native Load is to be curtailed, and 3.) Each Reliability Coordinator associated with a Balancing Authority in the Eastern Interconnection for which its Market Flow is to be curtailed. 			congestion management actions.	
IRO-006-EAST-1	R4.	<p>Each Reliability Coordinator that receives a request as described in Requirement R3, Part 3.3. shall, within 15 minutes of receiving the request, implement the congestion management actions requested by the issuing Reliability Coordinator as follows:</p> <ul style="list-style-type: none"> • Instruct its Balancing Authorities to implement the Interchange Transaction schedule change requests. • Instruct its Balancing Authorities to implement the Network Integration Transmission Service and Native Load schedule changes for which the Balancing Authorities are responsible. • Instruct its Balancing Authorities to implement the Market Flow schedule changes for which the Balancing Authorities are responsible. • If an assessment determines shows that 	N/A	N/A	N/A	<p>The responding Reliability Coordinator did not, within 15 minutes of receiving a request, either 1.) implement all the requested congestion management actions, or 2.) implement none or some of the requested congestion management actions and replace the remainder with alternate congestion management actions, provided that: assessment showed that the actions replaced would have</p>

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		<p>one or more of the congestion management actions communicated in Requirement R3, Part 3.3 will result in a reliability concern or will be ineffective, the Reliability Coordinator may replace those specific actions with alternate congestion management actions, provided that:</p> <ul style="list-style-type: none"> ○ The alternate congestion management actions have been agreed to by the initiating Reliability Coordinator, and ○ The assessment shows that the alternate congestion management actions will not adversely affect reliability. 				<p>resulted in a reliability concern or would have been ineffective, the alternate congestion management actions were agreed to by the initiating Reliability Coordinator, and assessment determined that the alternate congestion management actions would not adversely affect reliability.</p>
IRO-006-TRE-1	R1.	<p>The RC shall have procedures to identify and mitigate exceedances of identified Interconnection Reliability Operating Limits (IROL) and System Operating Limits (SOL) that will not be resolved by the automatic actions of the ERCOT Nodal market operations system. The procedures shall address, but not be limited to, one or more of the following: redispatch of generation; reconfiguration of the Transmission system; controlled load reductions (including both firm and non-firm load shedding).</p>	N/A	N/A	N/A	<p>The RC did not have procedures to identify and mitigate exceedances of identified IROLs and SOLs.</p>
IRO-006-TRE-1	R2.	<p>The RC shall act to identify and mitigate exceedances of identified Interconnection Reliability Operating Limits and System Operating Limits that will not be resolved by the automatic actions of the ERCOT Nodal market operations system, in accordance with the procedures required by R1.</p>	N/A	N/A	<p>The RC failed to follow its procedures in identifying and mitigating an exceedance of an SOL.</p>	<p>The RC failed to follow its procedures in identifying and mitigating an exceedance of an IROL.</p>

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IRO-006-WECC-1	R1.	Upon receiving a request of Step 4 or greater (see Attachment 1-IRO-006-WECC-1) from the Transmission Operator of a Qualified Transfer Path, the Reliability Coordinator shall approve (actively or passively) or deny that request within five minutes.	There shall be a Lower Level of non-compliance if there is one instance during a calendar month in which the Reliability Coordinator approved (actively or passively) or denied a Step 4 or greater request greater than five minutes after receipt of notification from the Transmission Operator of a Qualified Transfer Path.	N/A	N/A	N/A
IRO-006-WECC-1	R2.	The Balancing Authorities shall approve curtailment requests to the schedules as submitted, implement alternative actions, or a combination there of that collectively meets the Relief Requirement.	There shall be a Lower Level of non-compliance if there is less than 100% Relief Requirement provided but greater than or equal to 90% Relief Requirement provided or the Relief Requirement was less than 5 MW and was not provided.	There shall be a Moderate Level of non-compliance if there is less than 90% Relief Requirement provided but greater than or equal to 75% Relief Requirement provided and the Relief Requirement was greater than 5 MW and was not provided.	There shall be a High Level of non-compliance if there is less than 75% Relief Requirement provided but greater than or equal to 60% Relief Requirement provided and the Relief Requirement was greater than 5 MW and was not provided.	There shall be a Severe Level of non-compliance if there is less than 60% Relief Requirement provided and the Relief Requirement was greater than 5 MW and was not provided.
IRO-014-1	R1.	The Reliability Coordinator shall have Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability. These Operating Procedures, Processes, or Plans shall address Scenarios	N/A	N/A	The Reliability Coordinator has Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or	The Reliability Coordinator failed to have Operating Procedures, Processes, or Plans in place for activities that require notification, exchange of information or

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		that affect other Reliability Coordinator Areas as well as those developed in coordination with other Reliability Coordinators.			coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability, but failed to address Scenarios that affect other Reliability Coordinator Areas.	coordination of actions with one or more other Reliability Coordinators to support Interconnection reliability.
IRO-014-1	R1.1.	These Operating Procedures, Processes, or Plans shall collectively address, as a minimum, the following:	N/A	The Reliability Coordinator failed to include one of the elements listed in IRO-014-1 R1.1.1 through R1.1.6 in its Operating Procedures, Processes, or Plans.	The Reliability Coordinator failed to include two of the elements listed in IRO-014-1 R1.1.1 through R1.1.6 in its Operating Procedures, Processes, or Plans.	The Reliability Coordinator failed to include more than two of the elements listed in IRO-014-1 R1.1.1 through R1.1.6 in its Operating Procedures, Processes, or Plans.
IRO-014-1	R1.1.1.	Communications and notifications, including the conditions under which one Reliability Coordinator notifies other Reliability Coordinators; the process to follow in making those notifications; and the data and information to be exchanged with other Reliability Coordinators.	N/A	N/A	N/A	N/A
IRO-014-1	R1.1.2.	Energy and capacity shortages.	N/A	N/A	N/A	N/A
IRO-014-1	R1.1.3.	Planned or unplanned outage information.	N/A	N/A	N/A	N/A
IRO-014-1	R1.1.4.	Voltage control, including the coordination of reactive resources for voltage control.	N/A	N/A	N/A	N/A
IRO-014-1	R1.1.5.	Coordination of information exchange to support reliability assessments.	N/A	N/A	N/A	N/A
IRO-014-1	R1.1.6.	Authority to act to prevent and mitigate instances of causing Adverse Reliability Impacts to other Reliability Coordinator Areas.	N/A	N/A	N/A	N/A

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IRO-014-1	R2.	Each Reliability Coordinator's Operating Procedure, Process, or Plan that requires one or more other Reliability Coordinators to take action (e.g., make notifications, exchange information, or coordinate actions) shall be:	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan failed to comply with either IRO-014-1 R2.1 or R2.2.
IRO-014-1	R2.1.	Agreed to by all the Reliability Coordinators required to take the indicated action(s).	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan was not agreed to by all the Reliability Coordinators required to take the indicated action(s).
IRO-014-1	R2.2.	Distributed to all Reliability Coordinators that are required to take the indicated action(s).	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan was not distributed to all Reliability Coordinators that are required to take the indicated action(s).
IRO-014-1	R3.	A Reliability Coordinator's Operating Procedures, Processes, or Plans developed to support a Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan shall include:	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan failed to comply with either IRO-014-1 R3.1 or R3.2.
IRO-014-1	R3.1.	A reference to the associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan failed to reference the

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						associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.
IRO-014-1	R3.2.	The agreed-upon actions from the associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.	N/A	N/A	N/A	The Reliability Coordinator's Operating Procedure, Process, or Plan failed to include the agreed-upon actions from the associated Reliability Coordinator-to-Reliability Coordinator Operating Procedure, Process, or Plan.
IRO-014-1	R4.	Each of the Operating Procedures, Processes, and Plans addressed in Reliability Standard IRO-014 Requirement 1 and Requirement 3 shall:	N/A	The Operating Procedures, Processes and Plans did not include one of the elements listed in IRO-014-1 R4.1 through R4.3.	The Operating Procedures, Processes and Plans did not include two of the elements listed in IRO-014-1 R4.1 through R4.3.	The Operating Procedures, Processes and Plans did not include any of the elements listed in IRO-014-1 R4.1 through R4.3.
IRO-014-1	R4.1.	Include version control number or date	N/A	N/A	N/A	N/A
IRO-014-1	R4.2.	Include a distribution list.	N/A	N/A	N/A	N/A
IRO-014-1	R4.3.	Be reviewed, at least once every three years, and updated if needed.	N/A	N/A	N/A	N/A
IRO-015-1	R1.	The Reliability Coordinator shall follow its Operating Procedures, Processes, or Plans for making notifications and exchanging reliability-related information with other Reliability Coordinators.	N/A	The Reliability Coordinator failed to follow its Operating Procedures, Processes, or Plans for making	N/A	The Reliability Coordinator failed to follow its Operating Procedures, Processes, or Plans for making notifications and exchanging reliability-

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				notifications and exchanging reliability-related information with other Reliability Coordinators but no adverse reliability impacts resulted from the incident.		related information with other Reliability Coordinators and adverse reliability impacts resulted from the incident.
IRO-015-1	R1.1.	The Reliability Coordinator shall make notifications to other Reliability Coordinators of conditions in its Reliability Coordinator Area that may impact other Reliability Coordinator Areas.	N/A	The Reliability Coordinator failed to make notifications to other Reliability Coordinators of conditions in its Reliability Coordinator Area that may impact other Reliability Coordinator Areas but no adverse reliability impacts resulted from the incident.	N/A	The Reliability Coordinator failed to make notifications to other Reliability Coordinators of conditions in its Reliability Coordinator Area that may impact other Reliability Coordinator Areas and adverse reliability impacts resulted from the incident.
IRO-015-1	R2.	The Reliability Coordinator shall participate in agreed upon conference calls and other communication forums with adjacent Reliability Coordinators.	N/A	N/A	N/A	The Reliability Coordinator failed to participate in agreed upon conference calls and other communication forums with adjacent Reliability Coordinators.
IRO-015-1	R2.1.	The frequency of these conference calls shall be agreed upon by all involved Reliability Coordinators and shall be at least weekly.	N/A	N/A	N/A	The Reliability Operator failed to participate in the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						assessment of the need and frequency of conference calls with other Reliability Operators.
IRO-015-1	R3.	The Reliability Coordinator shall provide reliability-related information as requested by other Reliability Coordinators.				The Reliability Coordinator failed to provide reliability-related information as requested by other Reliability Coordinators.
IRO-016-1	R1.	The Reliability Coordinator that identifies a potential, expected, or actual problem that requires the actions of one or more other Reliability Coordinators shall contact the other Reliability Coordinator(s) to confirm that there is a problem and then discuss options and decide upon a solution to prevent or resolve the identified problem.	The Reliability Coordinator that identified a potential, expected, or actual problem that required the actions of one or more other Reliability Coordinators, contacted the other Reliability Coordinator(s) to confirm that there was a problem, discussed options and decided upon a solution to prevent or resolve the identified problem, but failed to have evidence that it coordinated with other Reliability Coordinators.	N/A	N/A	The Reliability Coordinator that identified a potential, expected, or actual problem that required the actions of one or more other Reliability Coordinators failed to contact the other Reliability Coordinator(s) to confirm that there was a problem, discuss options and decide upon a solution to prevent or resolve the identified problem.
IRO-016-1	R1.1.	If the involved Reliability Coordinators agree on the problem and the actions to take to prevent or mitigate the system condition, each involved Reliability Coordinator shall	The responsible entity agreed on the problem and the actions to take to prevent or mitigate	N/A	N/A	The responsible entity agreed on the problem and the actions to take to prevent or mitigate

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		implement the agreed-upon solution, and notify the involved Reliability Coordinators of the action(s) taken.	the system condition, implemented the agreed-upon solution, but failed to notify the involved Reliability Coordinators of the action(s) taken.			the system condition, but failed to implement the agreed-upon solution.
IRO-016-1	R1.2.	If the involved Reliability Coordinators cannot agree on the problem(s) each Reliability Coordinator shall re-evaluate the causes of the disagreement (bad data, status, study results, tools, etc.).	N/A	N/A	N/A	The involved Reliability Coordinators could not agree on the problem(s), but a Reliability Coordinator failed to re-evaluate the causes of the disagreement (bad data, status, study results, tools, etc.).
IRO-016-1	R1.2.1.	If time permits, this re-evaluation shall be done before taking corrective actions.	N/A	N/A	N/A	The Reliability Coordinator failed to re-evaluate the problem prior to taking corrective actions, during periods when time was not an issue.
IRO-016-1	R1.2.2.	If time does not permit, then each Reliability Coordinator shall operate as though the problem(s) exist(s) until the conflicting system status is resolved.	N/A	N/A	N/A	The Reliability Coordinator failed to operate as though the problem(s) exist(s) until the conflicting system status was resolved, during periods when time was an issue.
IRO-016-1	R1.3.	If the involved Reliability Coordinators cannot agree on the solution, the more	N/A	N/A	N/A	The Reliability Coordinator

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		conservative solution shall be implemented.				implemented a solution other than the most conservative solution, when agreement on the solution could not be reached.
IRO-016-1	R2. <u>(Retired)</u>	The Reliability Coordinator shall document (via operator logs or other data sources) its actions taken for either the event or for the disagreement on the problem(s) or for both.	N/A	N/A	N/A	The Reliability Coordinator failed to document (via operator logs or other data sources) its actions taken for either the event or for the disagreement on the problem(s) or for both.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
MOD-010-0	R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R 1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide less than or equal to 25% of the appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R 1	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 25% but less than or equal to 50% of the appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 50% but less than or equal to 75% of the appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 75% of the appropriate equipment characteristics, system data, and existing and future Interchange Schedules in compliance with its respective Interconnection Regional steady-state modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-011-0_R1.
MOD-010-0	R2.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-011-0_R1) shall provide this steady-state modeling and simulation data to the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. If no schedule exists, then	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide less than or equal to 25% of the steady-state modeling and simulation data to	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 25% but less than or equal to	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 50% but less than or equal to 75% of the steady-state modeling	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 75% of the steady-state modeling and simulation data to the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		these entities shall provide the data on request (30 calendar days).	the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners provided data more than 30 but less than or equal to 35 calendar days following the request.	50% of the steady-state modeling and simulation data to the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners provided data more than 35 but less than or equal to 40 calendar days following the request.	and simulation data to the Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners provided data more than 40 but less than or equal to 45 calendar days following the request.	Regional Reliability Organizations, NERC, and those entities specified within Reliability Standard MOD-011-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide data more than 45 calendar days following the request.
MOD-012-0	R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-013-0_R1) shall provide appropriate equipment characteristics and system data in compliance with the respective Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide less than or equal to 25% of the appropriate equipment characteristics and system data in compliance with the respective	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 25% but less than 50% of the appropriate equipment characteristics and	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 50% but less than 75% of the appropriate equipment characteristics and system data in compliance with the	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 75% of the appropriate equipment characteristics and system data in compliance with the respective

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1	system data in compliance with the respective Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1.	respective Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1.	Interconnection-wide Regional dynamics system modeling and simulation data requirements and reporting procedures as defined in Reliability Standard MOD-013-0_R1.
MOD-012-0	R2.	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners (specified in the data requirements and reporting procedures of MOD-013-0_R4) shall provide dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1. If no schedule exists, then these entities shall provide data on request (30 calendar days).	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide less than or equal to 25% of the dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1 OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 25% but less than 50% of the dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1. OR If no schedule exists, The	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 50% but less than 75% of the dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners provided data	The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to provide greater than 75% of the dynamics system modeling and simulation data to its Regional Reliability Organization(s), NERC, and those entities specified within the applicable reporting procedures identified in Reliability Standard MOD-013-0_R 1. OR If no schedule exists, The Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners failed to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			Planners provided data more than 30 but less than or equal to 35 calendar days following the request.	Transmission Owners, Transmission Planners, Generator Owners, and Resource Planners provided data more than 35 but less than or equal to 40 calendar days following the request.	more than 40 but less than or equal to 45 calendar days following the request.	provide data more than 45 calendar days following the request.
MOD-016-1.1	R1.	The Planning Authority and Regional Reliability Organization shall have documentation identifying the scope and details of the actual and forecast (a) Demand data, (b) Net Energy for Load data, and (c) controllable DSM data to be reported for system modeling and reliability analyses.	N/A	The responsible entity did not have documentation identifying the scope and details of the actual and forecast data for one (1) of the following types of data to be reported for system modeling and reliability analyses: <ul style="list-style-type: none"> • Demand data • Net Energy for Load data • Controllable DSM data 	The responsible entity did not have documentation identifying the scope and details of the actual and forecast data for two (2) of the following to be reported for system modeling and reliability analyses: <ul style="list-style-type: none"> • Demand data • Net Energy for Load data • Controllable DSM data 	The responsible entity did not have documentation identifying the scope and details of the actual and forecast data to be reported for system modeling and reliability analyses.
MOD-016-1.1	R1.1.	The aggregated and dispersed data submittal requirements shall ensure that consistent data is supplied for Reliability Standards TPL-005, TPL-006, MOD-010, MOD-011, MOD-012, MOD-013, MOD-014, MOD-015, MOD-016, MOD-017, MOD-018, MOD-019, MOD-020, and MOD-021. The data submittal requirements shall stipulate that	The responsible entity failed to ensure that consistent data is supplied for one of the Reliability Standards as specified in R1.1.	The responsible entity failed to ensure that consistent data is supplied for two of the Reliability Standards as specified in R1.1.	The responsible entity failed to ensure that consistent data is supplied for three of the Reliability Standards as specified in R1.1.	The responsible entity failed to ensure that consistent data is supplied for four or more of the Reliability Standards as specified in R1.1.

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		each Load-Serving Entity count its customer Demand once and only once, on an aggregated and dispersed basis, in developing its actual and forecast customer Demand values.				OR The responsible entity failed to stipulate that each Load-Serving Entity count its customer Demand once and only once, on an aggregated and dispersed basis, in developing its actual and forecast customer Demand values.
MOD-016-1.1	R2.	The Regional Reliability Organization shall distribute its documentation required in Requirement 1 and any changes to that documentation, to all Planning Authorities that work within its Region.	N/A	N/A	The Regional Reliability Organization distributed its documentation as specified in R1 but failed to distribute any changes to that documentation, to all Planning Authorities that work within its Region.	The Regional Reliability Organization failed to distribute its documentation as specified in R1 to all Planning Authorities that work within its Region.
MOD-016-1.1	R2.1.	The Regional Reliability Organization shall make this distribution within 30 calendar days of approval.	The Regional Reliability Organization distributed the documentation more than 30 but less than or equal to 37 calendar days following approval.	The Regional Reliability Organization made the distribution more than 37 but less than or equal to 51 calendar days following approval.	The Regional Reliability Organization made the distribution more than 51 but less than or equal to 58 calendar days following approval.	The Regional Reliability Organization failed to make the distribution more than 58 calendar days following approval.
MOD-016-1.1	R3.	The Planning Authority shall distribute its documentation required in R1 for reporting customer data and any changes to that documentation, to its Transmission Planners and	The responsible entity failed to distribute its documentation required in Requirement R1 and	The responsible entity failed to distribute its documentation required in	The responsible entity failed to distribute its documentation required in Requirement R1 and any changes to that	The responsible entity failed to distribute its documentation as specified in Requirement R1 to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Load-Serving Entities that work within its Planning Authority Area.	any changes to that documentation to 5% or less of all Transmission Planners and Load-Serving Entities that work within its Region. OR The responsible entity distributed the documentation more than 30 calendar days but less than or equal to 40 calendar days following approval.	Requirement R1 and any changes to that documentation to more than 5% up to (and including) 10% of all Transmission Planners and Load-Serving Entities that work within its Region. OR The responsible entity made the distribution more than 40 calendar days but less than or equal to 50 calendar days following approval.	documentation to more than 10% up to (and including) 15% of all Transmission Planners and Load-Serving Entities that work within its Region. OR The responsible entity made the distribution more than 50 calendar days but less than or equal to 60 calendar days following approval.	more than 15% of all Transmission Planners and Load-Serving Entities that work within its Region. OR The responsible entity failed to make the distribution more than 60 calendar days following approval.
MOD-016-1.1	R3.1.	The Planning Authority shall make this distribution within 30 calendar days of approval.	N/A	N/A	N/A	N/A
MOD-017-0.1	R1.	The Load-Serving Entity, Planning Authority, and Resource Planner shall each provide the following information annually on an aggregated Regional, subregional, Power Pool, individual system, or Load-Serving Entity basis to NERC, the Regional Reliability Organizations, and any other entities specified by the documentation in Standard MOD-016-1_R 1.	The responsible entity failed to provide one (1) of the elements of information as specified in R1.1, R1.2, R1.3 or R1.4 on an annual basis.	The responsible entity failed to provide two (2) of the elements of information as specified in R1.1, R1.2, R1.3 or R1.4 on an annual basis.	The responsible entity failed to provide three (3) of the elements of information as specified in R1.1, R1.2, R1.3 or R1.4 on an annual basis.	The responsible entity failed to provide all of the elements of information as specified in R1.1, R1.2, R1.3 and R1.4 on an annual basis.
MOD-017-0.1	R1.1.	Integrated hourly demands in megawatts (MW) for the prior year.	N/A	N/A	N/A	N/A
MOD-017-0.1	R1.2.	Monthly and annual peak hour actual demands in MW and Net Energy for Load in gigawatthours (GWh) for the prior year.	N/A	N/A	N/A	N/A

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MOD-017-0.1	R1.3.	Monthly peak hour forecast demands in MW and Net Energy for Load in GWh for the next two years.	N/A	N/A	N/A	N/A
MOD-017-0.1	R1.4.	Annual Peak hour forecast demands (summer and winter) in MW and annual Net Energy for load in GWh for at least five years and up to ten years into the future, as requested.	N/A	N/A	N/A	N/A
MOD-018-0	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner and Resource Planner's report of actual and forecast demand data (reported on either an aggregated or dispersed basis) shall:	N/A	The responsible entity's report failed to include one (1) of the items as specified in R1.1, R1.2, or R1.3.	The responsible entity's report failed to include two (2) of the items as specified in R1.1, R1.2, or R1.3.	The responsible entity's report failed to include any of the items as specified in R1.1, R1.2, and R1.3.
MOD-018-0	R1.1.	Indicate whether the demand data of nonmember entities within an area or Regional Reliability Organization are included, and	N/A	N/A	N/A	N/A
MOD-018-0	R1.2.	Address assumptions, methods, and the manner in which uncertainties are treated in the forecasts of aggregated peak demands and Net Energy for Load.	N/A	N/A	N/A	N/A
MOD-018-0	R1.3.	Items (MOD-018-0_R 1.1) and (MOD-018-0_R 1.2) shall be addressed as described in the reporting procedures developed for Standard MOD-016-1_R 1.	N/A	N/A	N/A	N/A
MOD-018-0	R2.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each report data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner on request (within 30 calendar days).	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner reported the data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner reported the data associated with Reliability Standard MOD-018-0_R1 to	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner reported the data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to report the data associated with Reliability Standard MOD-018-0_R1 to NERC, the Regional

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner more than 30 but less than or equal to 45 calendar days following the request.	NERC, the Regional Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner more than 45 but less than or equal to 60 calendar days following the request.	Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner more than 60 but less than or equal to 75 calendar days following the request.	Reliability Organization, Load-Serving Entity, Planning Authority, and Resource Planner more than 75 calendar days following the request.
MOD-019-0.1	R1.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner shall each provide annually its forecasts of interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard MOD-016-0_R 1.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to provide annually less than or equal to 25% of the interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to provide annually greater than 25% but less than or equal to 50% of the interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to provide annually greater than 50% but less than or equal to 75% of the interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to provide annually greater than 75% of the interruptible demands and Direct Control Load Management (DCLM) data for at least five years and up to ten years into the future, as requested, for summer and winter peak system conditions to NERC, the Regional Reliability Organizations, and other entities (Load-Serving Entities, Planning Authorities, and Resource Planners) as specified by the documentation in Reliability Standard

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			MOD-016-0_R 1.	Authorities, and Resource Planners) as specified by the documentation in Reliability Standard MOD-016-0_R1.	MOD-016-0_R1.	MOD-016-0_R1.
MOD-020-0	R1.	The Load-Serving Entity, Transmission Planner, and Resource Planner shall each make known its amount of interruptible demands and Direct Control Load Management (DCLM) to Transmission Operators, Balancing Authorities, and Reliability Coordinators on request within 30 calendar days.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner made known its amount of interruptible demands and Direct Control Load Management (DCLM) more than 30 but less than 45 calendar days following the request from Transmission Operators, Balancing Authorities, and Reliability Coordinators.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner made known its amount of interruptible demands and Direct Control Load Management (DCLM) more than 45 but less than 60 calendar days following the request from Transmission Operators, Balancing Authorities, and Reliability Coordinators.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner made known its amount of interruptible demands and Direct Control Load Management (DCLM) more than 60 but less than 75 calendar days following the request from Transmission Operators, Balancing Authorities, and Reliability Coordinators.	The Load-Serving Entity, Planning Authority, Transmission Planner, and Resource Planner failed to make known its amount of interruptible demands and Direct Control Load Management (DCLM) more than 75 calendar days following the request from Transmission Operators, Balancing Authorities, and Reliability Coordinators.
MOD-021-1	R1.	The Load-Serving Entity, Transmission Planner and Resource Planner's forecasts shall each clearly document how the Demand and energy effects of DSM programs (such as conservation, time-of-use rates, interruptible Demands, and Direct Control Load Management) are addressed.	Load-Serving Entity, Transmission Planner, and Resource Planner's forecasts document how the Demand and energy effects of DSM programs but failed to document how one (1)	Load-Serving Entity, Transmission Planner, and Resource Planner's forecasts document how the Demand and energy effects of DSM programs but failed to	Load-Serving Entity, Transmission Planner, and Resource Planner's forecasts document how the Demand and energy effects of DSM programs but failed to document how three (3) of the following	Load-Serving Entity, Transmission Planner, and Resource Planner's forecasts failed to document how the Demand and energy effects of DSM programs are addressed.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			of the following elements of the Demand and energy effects of DSM programs are addressed: conservation, time-of-use rates, interruptible Demands or Direct Control Load Management.	document how two (2) of the following elements of the Demand and energy effects of DSM programs are addressed: conservation, time-of-use rates, interruptible Demands or Direct Control Load Management.	elements of the Demand and energy effects of DSM programs are addressed: conservation, time-of-use rates, interruptible Demands or Direct Control Load Management.	
MOD-021-1	R2.	The Load-Serving Entity, Transmission Planner and Resource Planner shall each include information detailing how Demand-Side Management measures are addressed in the forecasts of its Peak Demand and annual Net Energy for Load in the data reporting procedures of Standard MOD-016-0_R1.	N/A	N/A	N/A	The Load-Serving Entity, Transmission Planner, and Resource Planner failed to include information detailing how Demand-Side Management measures are addressed in the forecasts of its Peak Demand and annual Net Energy for Load in the data reporting procedures of Standard MOD-016-0_R 1.
MOD-021-1	R3.	The Load-Serving Entity, Transmission Planner and Resource Planner shall each make documentation on the treatment of its DSM programs available to NERC on request (within 30 calendar days).	The Load-Serving Entity, Transmission Planner, and Resource Planner provided documentation on the treatment of its DSM programs more than 30 but less than 45 calendar days	The Load-Serving Entity, Transmission Planner, and Resource Planner provided documentation on the treatment of its DSM programs more than 45 but	The Load-Serving Entity, Transmission Planner, and Resource Planner provided documentation on the treatment of its DSM programs more than 60 but less than 75 calendar days following	The Load-Serving Entity, Transmission Planner, and Resource Planner failed to provide documentation on the treatment of its DSM programs more than 75 calendar days following the request

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			following the request from NERC.	less than 60 calendar days following the request from NERC.	the request from NERC.	from NERC.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
NUC-001-2	R1.	The Nuclear Plant Generator Operator shall provide the proposed NPIRs in writing to the applicable Transmission Entities and shall verify receipt.	The Nuclear Plant Generator Operator provided the NPIR's to the applicable entities but did not verify receipt.	The Nuclear Plant Generator Operator did not provide the proposed NPIR 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 applicable entities.
NUC-001-2	R2.	The Nuclear Plant Generator Operator and the applicable Transmission Entities shall have in effect one or more Agreements that include mutually agreed to NPIRs and document how the Nuclear Plant Generator Operator and the applicable Transmission Entities shall address and implement these NPIRs.	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.
NUC-001-2	R3.	Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall incorporate the NPIRs into their planning analyses of the electric system and shall communicate the results of these analyses to the Nuclear Plant Generator Operator.	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.
NUC-001-2	R4.	Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall:	The applicable Transmission Entity failed to incorporate one or more applicable NPIRs into their operating analyses.	The applicable Transmission Entity failed to incorporate any NPIRs into their operating analyses OR did not inform NPG operator when their ability of	The applicable Transmission Entity failed to operate the system to meet the NPIRs	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				assess the operation of the electric system affecting the NPIRs was lost.		
NUC-001-2	R4.1	Incorporate the NPIRs into their operating analyses of the electric system.	N/A	N/A	N/A	N/A
NUC-001-2	R4.2	Operate the electric system to meet the NPIRs.	N/A	N/A	N/A	N/A
NUC-001-2	R4.3	Inform the Nuclear Plant Generator Operator when the ability to assess the operation of the electric system affecting NPIRs is lost.	N/A	N/A	N/A	N/A
NUC-001-2	R5.	The Nuclear Plant Generator Operator shall operate per the Agreements developed in accordance with this standard.	N/A	N/A	N/A	The Nuclear Plant Generator Operator failed to operate per the Agreements developed in accordance with this standard.
NUC-001-2	R6.	Per the Agreements developed in accordance with this standard, the applicable Transmission Entities and the Nuclear Plant Generator Operator shall coordinate outages and maintenance activities which affect the NPIRs.	The Nuclear Operator or Transmission Entity failed to coordinate outages or maintenance activities in accordance with one or more of the <u>administrative</u> elements within the agreements.	The Nuclear Operator or Transmission Entity failed to provide outage or maintenance <u>schedules</u> to the appropriate parties as described in the agreement or on a time period consistent with the agreements.	The Nuclear Operator or Transmission Entity failed to coordinate one or more outages or maintenance activities in accordance the requirements of the agreements.	N/A
NUC-001-2	R7.	Per the Agreements developed in accordance with this standard, the Nuclear Plant Generator Operator shall inform the applicable Transmission Entities of actual or proposed changes to nuclear plant design,	The Nuclear Plant Generator Operator did not inform the applicable Transmission Entities	The Nuclear Plant Generator Operator did not inform the applicable Transmission	The Nuclear Plant Generator Operator did not inform the applicable Transmission Entities	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	of <u>proposed</u> changes to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	Entities of <u>actual</u> changes to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that <u>may</u> impact the ability of the electric system to meet the NPIRs.	of <u>actual</u> changes to nuclear plant design, configuration, operations, limits, protection systems, or capabilities that <u>directly impact</u> the ability of the electric system to meet the NPIRs.	
NUC-001-2	R8.	Per the Agreements developed in accordance with this standard, the applicable Transmission Entities shall inform the Nuclear Plant Generator Operator of actual or proposed changes to electric system design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	The applicable Transmission Entities did not inform the Nuclear Plant Generator Operator of <u>proposed</u> changes to transmission system design, configuration, operations, limits, protection systems, or capabilities that may impact the ability of the electric system to meet the NPIRs.	The applicable Transmission Entities did not inform the Nuclear Plant Generator Operator of <u>actual</u> changes to transmission system design, configuration, operations, limits, protection systems, or capabilities that <u>may</u> impact the ability of the electric system to meet the NPIRs.	The applicable Transmission Entities did not inform the Nuclear Plant Generator Operator of <u>actual</u> changes to transmission system design, configuration, operations, limits, protection systems, or capabilities that <u>directly impacts</u> the ability of the electric system to meet the NPIRs.	N/A
NUC-001-2	R9.	The Nuclear Plant Generator Operator and the applicable Transmission Entities shall include, as a minimum, the following elements within the agreement(s) identified in R2:	The agreement identified in R2. between the Nuclear Plant Generator Operator and the applicable Transmission Entities is missing one or more sub-components of R9.1.	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-components in R9.2,	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-components in

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			<u>(Retired)</u>	components in R9.2, R9.3 and R9.4.	R9.3 and R9.4.	R9.2, R9.3 and R9.4.
NUC-001-2	R9.1 <u>(Retired)</u>	Administrative elements:	N/A	N/A	N/A	N/A
NUC-001-2	R9.1.1 <u>(Retired)</u>	Definitions of key terms used in the agreement.	N/A	N/A	N/A	N/A
NUC-001-2	R9.1.2 <u>(Retired)</u>	Names of the responsible entities, organizational relationships, and responsibilities related to the NPIRs.	N/A	N/A	N/A	N/A
NUC-001-2	R9.1.3 <u>(Retired)</u>	A requirement to review the agreement(s) at least every three years.	N/A	N/A	N/A	N/A
NUC-001-2	R9.1.4 <u>(Retired)</u>	A dispute resolution mechanism.	N/A	N/A	N/A	N/A
NUC-001-2	R9.2	Technical requirements and analysis:	N/A	N/A	N/A	N/A
NUC-001-2	R9.2.1	Identification of parameters, limits, configurations, and operating scenarios included in the NPIRs and, as applicable, procedures for providing any specific data not provided within the agreement.	N/A	N/A	N/A	N/A
NUC-001-2	R9.2.2	Identification of facilities, components, and configuration restrictions that are essential for meeting the NPIRs.	N/A	N/A	N/A	N/A
NUC-001-2	R9.2.3	Types of planning and operational analyses performed specifically to support the NPIRs, including the frequency of studies and types of Contingencies and scenarios required.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3	Operations and maintenance coordination:	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.1	Designation of ownership of electrical facilities at the interface between the electric system and the nuclear plant and	N/A	N/A	N/A	N/A

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		responsibilities for operational control coordination and maintenance of these facilities.				
NUC-001-2	R9.3.2	Identification of any maintenance requirements for equipment not owned or controlled by the Nuclear Plant Generator Operator that are necessary to meet the NPIRs.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.3	Coordination of testing, calibration and maintenance of on-site and off-site power supply systems and related components.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.4	Provisions to address mitigating actions needed to avoid violating NPIRs and to address periods when responsible Transmission Entity loses the ability to assess the capability of the electric system to meet the NPIRs. These provisions shall include responsibility to notify the Nuclear Plant Generator Operator within a specified time frame.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.5	Provision for considering, within the restoration process, the requirements and urgency of a nuclear plant that has lost all off-site and on-site AC power.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.6	Coordination of physical and cyber security protection of the Bulk Electric System at the nuclear plant interface to ensure each asset is covered under at least one entity's plan.	N/A	N/A	N/A	N/A
NUC-001-2	R9.3.7	Coordination of the NPIRs with transmission system Special Protection Systems and underfrequency and undervoltage load shedding programs.	N/A	N/A	N/A	N/A
NUC-001-2	R9.4	Communications and training:	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
NUC-001-2	R9.4.1	Provisions for communications between the Nuclear Plant Generator Operator and Transmission Entities, including communications protocols, notification time requirements, and definitions of terms.	N/A	N/A	N/A	N/A
NUC-001-2	R9.4.2	Provisions for coordination during an off-normal or emergency event affecting the NPIRs, including the need to provide timely information explaining the event, an estimate of when the system will be returned to a normal state, and the actual time the system is returned to normal.	N/A	N/A	N/A	N/A
NUC-001-2	R9.4.3	Provisions for coordinating investigations of causes of unplanned events affecting the NPIRs and developing solutions to minimize future risk of such events.	N/A	N/A	N/A	N/A
NUC-001-2	R9.4.4	Provisions for supplying information necessary to report to government agencies, as related to NPIRs.	N/A	N/A	N/A	N/A
NUC-001-2	R9.4.5	Provisions for personnel training, as related to NPIRs.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PER-001-0.2	R1.	Each Transmission Operator and Balancing Authority shall provide operating personnel with the responsibility and authority to implement real-time actions to ensure the stable and reliable operation of the Bulk Electric System.	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.
PER-002-0	R1.	Each Transmission Operator and Balancing Authority shall be staffed with adequately trained operating personnel.	The responsible entity failed to staff 5% or less with adequately trained operating personnel.	The responsible entity 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.
PER-002-0	R2.	Each Transmission Operator and Balancing Authority shall have a training program for all operating personnel that are in:	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.
PER-002-0	R2.1.	Positions that have the primary responsibility, either directly or through communications with others, for the real-time operation of the interconnected Bulk Electric System.	N/A	N/A	N/A	N/A
PER-002-0	R2.2.	Positions directly responsible for complying with NERC standards.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PER-002-0	R3.	For personnel identified in Requirement R2, the Transmission Operator and Balancing Authority shall provide a training program meeting the following criteria:	The applicable entity did not comply with one of the four required elements.	The applicable entity did not comply with two of the four required elements.	The applicable entity did not comply with three of the four required elements.	The applicable entity did not comply with any of the four required elements.
PER-002-0	R3.1.	A set of training program objectives must be defined, based on NERC and Regional Reliability Organization standards, entity operating procedures, and applicable regulatory requirements. These objectives shall reference the knowledge and competencies needed to apply those standards, procedures, and requirements to normal, emergency, and restoration conditions for the Transmission Operator and Balancing Authority operating positions.	The responsible entity's training program objectives were incomplete (e.g. The responsible entity failed to define training program objectives for less than 25% of the applicable BA and TOP NERC and Regional Reliability Organizations standards, entity operating procedures, and regulatory requirements.)	The responsible entity's training program objectives were incomplete (e.g. The responsible entity failed to define training program objectives for 25% or more but less than 50% of the applicable BA & TOP NERC and Regional Reliability Organizations standards, entity operating procedures, and regulatory requirements.)	The responsible entity's training program objectives were incomplete (e.g. The responsible entity failed to define training program objectives for 50% or more but less than 75% of the applicable BA & TOP NERC and Regional Reliability Organizations standards, entity operating procedures, and regulatory requirements.)	The responsible entity's training program objectives were incomplete (e.g. The responsible entity failed to define training program objectives for 75% or more of the applicable BA & TOP NERC and Regional Reliability Organizations standards, entity operating procedures, and regulatory requirements.)
PER-002-0	R3.2.	The training program must include a plan for the initial and continuing training of Transmission Operator and Balancing Authority operating personnel. That plan shall address knowledge and competencies required for reliable system operations.	The responsible entity does not have a plan for continuing training of operating personnel. OR The responsible entity does not have a plan for initial training of operating personnel. OR The responsible entity's plan does not address the	The responsible entity does not have a plan for continuing training of operating personnel. OR The responsible entity does not have a plan for initial training of operating personnel. AND The responsible entity's plan does not address the	The responsible entity does not have a plan for continuing training of operating personnel. AND The responsible entity does not have a plan for initial training of operating personnel. OR The responsible entity's plan does not address the knowledge and competencies required for reliable system operations.	The responsible entity does not have a plan for continuing training of operating personnel. AND The responsible entity does not have a plan for initial training of operating personnel. AND The responsible entity's plan does not address the knowledge and competencies required for reliable system operations.

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			knowledge and competencies required for reliable system operations.	knowledge and competencies required for reliable system operations.		
PER-002-0	R3.3.	The training program must include training time for all Transmission Operator and Balancing Authority operating personnel to ensure their operating proficiency.	The responsible entity has produced the training program with more than 75% but less than 100% of operating personnel provided with training time.	The responsible entity has produced the training program with more than 50% but less than or equal to 75% of operating personnel provided with training time.	The responsible entity has produced the training program with more than 25% but less than or equal to 50% of operating personnel provided with training time.	The responsible entity has produced the training program with more than or equal to 0% but less than or equal to 25% of operating personnel provided with training time.
PER-002-0	R3.4.	Training staff must be identified, and the staff must be competent in both knowledge of system operations and instructional capabilities.	N/A	The responsible entity has produced the training program with training staff identified that lacks knowledge of system operations. OR The responsible entity has produced the training program with training staff identified that lacks instructional capabilities.	The responsible entity has produced the training program with training staff identified that lacks knowledge of system operations. AND The responsible entity has produced the training program with training staff identified that lacks instructional capabilities.	The responsible entity has produced the training program with no training staff identified.
PER-003-1	R1.	Each Reliability Coordinator shall staff its Real-time operating positions performing Reliability Coordinator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining a valid NERC Reliability Operator				The Reliability Coordinator failed to staff each Real-time operating position performing Reliability Coordinator reliability-related

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		certificate:				tasks with a System Operator having a valid NERC certificate as defined in Requirement R1.
PER-003-1	R2.	Each Transmission Operator shall staff its Real-time operating positions performing Transmission Operator reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates:				The Transmission Operator failed to staff each Real-time operating position performing Transmission Operator reliability-related tasks with a System Operator having a valid NERC certificate as defined in Requirement R2, Part 2.2.
PER-003-1	R3.	Each Balancing Authority shall staff its Real-time operating positions performing Balancing Authority reliability-related tasks with System Operators who have demonstrated minimum competency in the areas listed by obtaining and maintaining one of the following valid NERC certificates:				The Balancing Authority failed to staff each Real-time operating position performing Balancing Authority reliability-related tasks with a System Operator having a valid NERC certificate as defined in Requirement R3, Part 3.2.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PER-004-1	R3.	Reliability Coordinator operating personnel shall have a comprehensive understanding of the Reliability Coordinator Area and interactions with neighboring Reliability Coordinator Areas.	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.
PER-004-1	R4.	Reliability Coordinator operating personnel shall have an extensive understanding of the Balancing Authorities, Transmission Operators, and Generation 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.	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 Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and	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 Operators within the Reliability Coordinator Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment	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 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.	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 Coordinator Area, including the operating staff, operating practices and procedures, restoration priorities and objectives, outage plans, equipment capabilities, and operational restrictions.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			operational restrictions.	capabilities, and operational restrictions.		

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-001-1	R1.	Each Transmission Operator, Balancing Authority, and Generator Operator shall be familiar with the purpose and limitations of protection system schemes applied in its area.	N/A	N/A	The responsible entity failed to be familiar with the limitations of protection system schemes applied in its area.	The responsible entity failed to be familiar with the purpose of protection system schemes applied in its area.
PRC-001-1	R2.	Each Generator Operator and Transmission Operator shall notify reliability entities of relay or equipment failures as follows:	N/A	N/A	N/A	The responsible entity failed to notify any reliability entity of relay or equipment failures.
PRC-001-1	R2.1.	If a protective relay or equipment failure reduces system reliability, the Generator Operator shall notify its Transmission Operator and Host Balancing Authority. The Generator Operator shall take corrective action as soon as possible.	N/A	Notification of relay or equipment failure was not made to the Transmission Operator and Host Balancing Authority, but corrective action was taken.	Notification of relay or equipment failure was made to the Transmission Operator and Host Balancing Authority, but corrective action was not taken.	Notification of relay or equipment failure was not made to the Transmission Operator and Host Balancing Authority, and corrective action was not taken.
PRC-001-1	R2.2.	If a protective relay or equipment failure reduces system reliability, the Transmission Operator shall notify its Reliability Coordinator and affected Transmission Operators and Balancing Authorities. The Transmission Operator shall take corrective action as soon as possible.	N/A	Notification of relay or equipment failure was not made to the Reliability Coordinator and affected Transmission Operators and Balancing Authorities, but corrective action was taken.	Notification of relay or equipment failure was made to the Reliability Coordinator and affected Transmission Operators and Balancing Authorities, but corrective action was not taken.	Notification of relay or equipment failure was not made to the Reliability Coordinator and affected Transmission Operators and Balancing Authorities, and corrective action was not taken.
PRC-001-1	R3.	A Generator Operator or Transmission Operator shall coordinate new protective systems and changes as follows.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-001-1	R3.1.	Each Generator Operator shall coordinate all new protective systems and all protective system changes with its Transmission Operator and Host Balancing Authority.	The Generator Operator failed to coordinate one new protective system or protective system change with either its Transmission Operator or its Host Balancing Authority or both.	The Generator Operator failed to coordinate two new protective systems or protective system changes with either its Transmission Operator or its Host Balancing Authority, or both.	The Generator Operator failed to coordinate three new protective systems or protective system changes with either its Transmission Operator or its Host Balancing Authority, or both.	The Generator Operator failed to coordinate more than three new protective systems or protective system changes with its Transmission Operator or its Host Balancing Authority, or both.
PRC-001-1	R3.2.	Each Transmission Operator shall coordinate all new protective systems and all protective system changes with neighboring Transmission Operators and Balancing Authorities.	The Transmission Operator failed to coordinate one new protective system or protective system change with neighboring Transmission Operators or Balancing Authorities or both.	The Transmission Operator failed to coordinate two new protective systems or protective system changes with neighboring Transmission Operators or Balancing Authorities or both.	The Transmission Operator failed to coordinate three new protective systems or protective system changes with neighboring Transmission Operators or Balancing Authorities or both.	The Transmission Operator failed to coordinate more than three new protective systems or protective system changes with neighboring Transmission Operators or Balancing Authorities or both.
PRC-001-1	R4.	Each Transmission Operator shall coordinate protection systems on major transmission lines and interconnections with neighboring Generator Operators, Transmission Operators, and Balancing Authorities.	The Transmission Operator failed to coordinate protection systems on major transmission lines and interconnections with one of its neighboring Generator Operators, Transmission Operators, or Balancing Authorities.	The Transmission Operator failed to coordinate protection systems on major transmission lines and interconnections with two of its neighboring Generator Operators, Transmission Operators, or Balancing Authorities.	The Transmission Operator failed to coordinate protection systems on major transmission lines and interconnections with three of its neighboring Generator Operators, Transmission Operators, or Balancing Authorities.	The Transmission Operator failed to coordinate protection systems on major transmission lines and interconnections with three or more of its neighboring Generator Operators, Transmission Operators, and Balancing Authorities.
PRC-001-1	R5.	A Generator Operator or Transmission Operator shall coordinate changes in	N/A	N/A	The Generator Operator failed to notify its	The Generator Operator failed to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		generation, transmission, load or operating conditions that could require changes in the protection systems of others:			Transmission Operator at all of changes in generation or operating conditions that could require changes in the Transmission Operator's protection systems. (R5.1) OR The Transmission Operator failed to notify neighboring Transmission Operators at all of changes in generation, transmission, load, or operating conditions that could require changes in the other Transmission Operators' protection systems. (R5.2)	notify its Transmission Operator at all of changes in generation or operating conditions that could require changes in the Transmission Operator's protection systems. (R5.1) AND The Transmission Operator failed to notify neighboring Transmission Operators at all of changes in generation, transmission, load, or operating conditions that could require changes in the other Transmission Operators' protection systems. (R5.2)
PRC-001-1	R5.1.	Each Generator Operator shall notify its Transmission Operator in advance of changes in generation or operating conditions that could require changes in the Transmission Operator's protection systems.	N/A	N/A	N/A	N/A
PRC-001-1	R5.2.	Each Transmission Operator shall notify neighboring Transmission Operators in advance of changes in generation, transmission, load, or operating conditions that could require changes in the other Transmission Operators' protection systems.	N/A	N/A	N/A	N/A
PRC-001-1	R6.	Each Transmission Operator and Balancing Authority shall monitor the status of each	N/A	N/A	The responsible entity monitored the status of	The responsible entity failed to monitor the

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Special Protection System in their area, and shall notify affected Transmission Operators and Balancing Authorities of each change in status.			each Special Protection System in its area but notification of a change in status of a Special Protection System was not made to the affected Transmission Operators and Balancing Authorities.	status of each Special Protection System in its area, and did not notify affected Transmission Operators and Balancing Authorities of each change in status.
PRC-002-NPCC-01	R1.	Each Transmission Owner and Generator Owner shall provide Sequence of Event (SOE) recording capability by installing Sequence of Event recorders or as part of another device, such as a Supervisory Control And Data Acquisition (SCADA) Remote Terminal Unit (RTU), a generator plant Digital (or Distributed) Control System (DCS) or part of Fault recording equipment. This capability shall: [See standard for requirements of SOE recording capability]	The Transmission Owner or Generator Owner provided the Sequence of Event recording capability meeting the bulk of R1 but missed up to and including 10% of the total set, which is the product of the total number of locations in 1.1 times the total number of parameters in 1.2.	The Transmission Owner or Generator Owner provided the Sequence of Event recording capability meeting the bulk of R1 but missed more than 10% and up to and including 20% of the total set, which is the product of the total number of locations in 1.1 times the total number of parameters in 1.2.	The Transmission Owner or Generator Owner provided the Sequence of Event recording capability meeting the bulk of R1 but missed more than 20% and up to and including 30% of the total set, which is the product of the total number of locations in 1.1 times the total number of parameters in 1.2.	The Transmission Owner or Generator Owner provided the Sequence of Event recording capability meeting the bulk of R1 but missed more than 30% of the total set, which is the product of the total number of locations in 1.1 times the total number of parameters in 1.2.
PRC-002-NPCC-01	R2.	Each Transmission Owner shall provide Fault recording capability for the following Elements at facilities where Fault recording equipment is required to be installed as per R3: [See standard for list of elements]	The Transmission Owner provided the Fault recording capability meeting the bulk of R2 but missed up to and including 10% of the total set, which is the total number of Elements at all locations required to be installed as per R3 that meet the criteria listed in 2.1 through 2.6.	The Transmission Owner provided the Fault recording capability meeting the bulk of R2 but missed more than 10% and up to and including 20% of the total set, which is the total number of Elements at all locations required to be installed as per R3 that meet the	The Transmission Owner provided the Fault recording capability meeting the bulk of R2 but missed more than 20% and up to and including 30% of the total set, which is the total number of Elements at all locations required to be installed as per R3 that meet the criteria listed in 2.1 through 2.6.	The Transmission Owner provided the Fault recording capability meeting the bulk of R2 but missed more than 30% of the total set, which is the total number of Elements at all locations required to be installed as per R3 that meet the criteria listed in 2.1 through 2.6.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				criteria listed in 2.1 through 2.6.		
PRC-002-NPCC-01	R3.	Each Transmission Owner shall have Fault recording capability that determines the Current Zero Time for loss of Bulk Electric System (BES) transmission Elements.	N/A	N/A	N/A	The Transmission Owner failed to provide fault recording capability that determines the current zero time for loss of transmission Elements.
PRC-002-NPCC-01	R4.	Each Generator Owner shall provide Fault recording capability for Generating Plants at and above 200 MVA Capacity and connected through a generator step up (GSU) transformer to a Bulk Electric System Element unless Fault recording capability is already provided by the Transmission Owner.	The Generator Owner failed to provide Fault recording capability at up to and including 10% of its Generating Plants at and above 200 MVA Capacity and connected to a Bulk Electric System Element if Fault recording capability for that portion of the system is inadequate.	The Generator Owner failed to provide Fault recording capability at more than 10% and up to and including 20% of its Generating Plants at and above 200 MVA Capacity and connected to a Bulk Electric System Element if Fault recording capability for that portion of the system is inadequate.	The Generator Owner failed to provide Fault recording capability at more than 20% and up to 30% of its Generating Plants at and above 200 MVA Capacity and connected to a Bulk Electric System Element if Fault recording capability for that portion of the system is inadequate.	The Generator Owner failed to provide Fault recording capability at more than 30% of its Generating Plants at and above 200 MVA Capacity and connected to a Bulk Electric System Element if Fault recording capability for that portion of the system is inadequate.
PRC-002-NPCC-01	R5.	Each Transmission Owner and Generator Owner shall record for Faults, sufficient electrical quantities for each monitored Element to determine the following: [See standard for list]	The Transmission Owner or Generator Owner failed to record for the Faults up to and including 10% of the total set of parameters, which is the product of the total number of monitored Elements and the number of parameters	The Transmission Owner or Generator Owner failed to record for the Faults more than 10% and up to and including 20% of the total set of parameters, which is the product of the total number of monitored Elements	The Transmission Owner or Generator Owner failed to record for the Faults more than 20% and up to and including 30% of the total set of parameters, which is the product of the total number of monitored Elements and the number of parameters	The Transmission Owner or Generator Owner failed to record for the Faults more than 30% of the total set of parameters, which is the product of the total number of monitored Elements and the number of parameters listed in

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			listed in 5.1 through 5.5.	and the number of parameters listed in 5.1 through 5.5.	listed in 5.1 through 5.5.	5.1 through 5.5.
PRC-002-NPCC-01	R6.	Each Transmission Owner and Generator Owner shall provide Fault recording with the following capabilities: [See standard for list of capabilities]	<p>The Transmission Owner or Generator Owner failed to provide Fault recording capability for up to and including 10% of the total set of requirements, which is the product of the total number of monitored Elements and the total number of capabilities identified in 6.1 through 6.2.</p> <p>OR</p> <p>Failed to document additional triggers or deviations from the settings stipulated in 6.3 through 6.4 for up to 2 locations.</p>	<p>The Transmission Owner or Generator Owner failed to provide Fault recording capability for more than 10% and up to and including 20% of the total set of requirements, which is the product of the total number of monitored Elements and the total number of capabilities identified in 6.1 through 6.2.</p> <p>OR</p> <p>Failed to document additional triggers or deviations from the settings stipulated in 6.3 through 6.4 for more than two (2) and up to and including five (5) locations.</p>	<p>The Transmission Owner or Generator Owner failed to provide Fault recording capability for more than 20% and up to and including 30% of the total set of requirements, which is the product of the total number of monitored Elements and the total number of 6.1 through 6.2.</p> <p>OR</p> <p>Failed to document additional triggers or deviations from the settings stipulated in 6.3 through 6.4 for more than five (5) and up to and including ten (10) locations.</p>	<p>The Transmission Owner or Generator Owner failed to provide Fault recording capability for more than 30% of the total set of requirements, which is the product of the total number of monitored Elements and the total number of capabilities identified in 6.1 through 6.2.</p> <p>OR</p> <p>Failed to document additional triggers or deviations from the settings stipulated in 6.3 through 6.4 for more than ten (10) locations.</p>
PRC-002-NPCC-01	R7.	Each Reliability Coordinator shall establish its area's requirements for Dynamic Disturbance Recording (DDR) capability that: [See standard for further requirements]	The Reliability Coordinator failed to establish its area's requirements for up to and including 10% of the required DDR	The Reliability Coordinator failed to establish its area's requirements for more than 10% and up to and including	The Reliability Coordinator failed to establish its area's requirements for more than 20% and up to and including 30% of the	The Reliability Coordinator failed to establish its area's requirements for more than 30% of the required DDR

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			coverage for its area as per 7.1 and 7.2.	20% of the required DDR coverage for its area as per 7.1 and 7.2.	required DDR coverage for its area as per 7.1 and 7.2.	coverage for its area as per 7.1 and 7.2.
PRC-002-NPCC-01	R8.	Each Reliability Coordinator shall specify that DDRs installed, after the approval of this standard, function as continuous recorders.	N/A	N/A	N/A	The Reliability Coordinator failed to specify that DDRs installed function as continuous recorders.
PRC-002-NPCC-01	R9.	Each Reliability Coordinator shall specify that DDRs are installed with the following capabilities: [See standard for list of capabilities]	N/A	N/A	N/A	The Reliability Coordinator failed to specify that DDRs are installed without the capabilities listed in 9.1 through 9.3.
PRC-002-NPCC-01	R10.	Each Reliability Coordinator shall establish requirements such that the following quantities are monitored or derived where DDRs are installed: [See standard for quantities]	N/A	N/A	N/A	The Reliability Coordinator failed to ensure that the quantities listed in 10.1 through 10.5 are monitored or derived where DDRs are installed.
PRC-002-NPCC-01	R11.	Each Reliability Coordinator shall document additional settings and deviations from the required trigger settings described in R9 and the required list of monitored quantities as described in R10, and report this to the Regional Entity (RE) upon request.	The Reliability Coordinator failed to document and report to the Regional Entity upon request additional settings and deviations from the required trigger settings described in R9 and the required list of monitored quantities as described in R10 for up to two (2) facilities within the Reliability Coordinator's area	The Reliability Coordinator failed to document and report to the Regional Entity upon request additional settings and deviations from the required trigger settings described in R9 and the required list of monitored quantities as described in R10 for more than two (2) and up to five (5)	The Reliability Coordinator failed to document and report to the Regional Entity upon request additional settings and deviations from the required trigger settings described in R9 and the required list of monitored quantities as described in R10 for more than five (5) and up to ten (10) facilities within the Reliability Coordinator's area that have a DDR.	The Reliability Coordinator failed to document and report to the Regional Entity upon request additional settings and deviations from the required trigger settings described in R9 and the required list of monitored quantities as described in R10 for more than ten (10) facilities within the Reliability

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			that have a DDR.	facilities within the Reliability Coordinator's area that have a DDR.		Coordinator's area that have a DDR.
PRC-002-NPCC-01	R12.	Each Reliability Coordinator shall specify its DDR requirements including the DDR setting triggers established in R9 to the Transmission Owners and Generator Owners.	N/A	N/A	N/A	The Reliability Coordinator failed to specify to the Transmission Owners and Generator Owners its DDR requirements including the DDR setting triggers established in R9 but missed established setting triggers.
PRC-002-NPCC-01	R13.	Each Transmission Owner and Generator Owner that receives a request from the Reliability Coordinator to install a DDR shall acquire and install the DDR in accordance with R12. Reliability Coordinators, Transmission Owners, and Generator Owners shall mutually agree on an implementation schedule.	The Transmission Owner or Generator Owner failed to comply with the Reliability Coordinator's request installing the DDR in accordance with R12 for up to and including 10% of the requirement set of the Reliability Coordinator's request to install DDRs, with the requirement set being the total number of DDRs requested times the number of setting triggers specified for each DDR.	The Transmission Owner or Generator Owner failed to comply with the Reliability Coordinator's request installing the DDR in accordance with R12 for more than 10% and up to 20% of the requirement set requested by the Reliability Coordinator for installing DDRs, with the requirement set being the total number of DDRs requested times the number of setting triggers specified for each DDR.	The Transmission Owner or Generator Owner failed to comply with the Reliability Coordinator's request installing the DDR in accordance with R12 for more than 20% and up to 30% of the requirement set requested by the Reliability Coordinator for installing DDRs, with the requirement set being the total number of DDRs requested times the number of setting triggers specified for each DDR.	The Transmission Owner or Generator Owner failed to comply with the Reliability Coordinator's request installing the DDR in accordance with R12 for more than 30% of the requirement set requested by the Reliability Coordinator and installing DDRs, with the requirement set being the total number of DDRs requested times the number of setting triggers specified for each DDR OR

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						The Reliability Coordinator, Transmission Owners, and Generator Owners failed to mutually agree on an implementation schedule.
PRC-002-NPCC-01	R14.	Each Transmission Owner and Generator Owner shall establish a maintenance and testing program for stand alone DME (equipment whose only purpose is disturbance monitoring) that includes: [See standard for list of inclusions]	The Transmission Owner or Generator Owner established a maintenance and testing program for stand alone DME but provided incomplete data for any one (1) of 14.1 through 14.7.	The Transmission Owner or Generator Owner established a maintenance and testing program for stand alone DME but provided incomplete data for more than one (1) and up to and including three (3) of 14.1 through 14.7.	The Transmission Owner or Generator Owner established a maintenance and testing program for stand alone DME but provided incomplete data for more than three (3) and up to and including six (6) of 14.1 through 14.7.	The Transmission Owner or Generator Owner did not establish any maintenance and testing program for DME; OR The Transmission Owner or Generator Owner established a maintenance and testing program for DME but did not provide any data that meets all of 14.1 through 14.7.
PRC-002-NPCC-01	R15.	Each Reliability Coordinator, Transmission Owner and Generator Owner shall share data within 30 days upon request. Each Reliability Coordinator, Transmission Owner, and Generator Owner shall provide recorded disturbance data from DMEs within 30 days of receipt of the request in each of the following cases: [See standard for the two cases]	The Reliability Coordinator, Transmission Owner or Generator Owner provided recorded disturbance data from DMEs but was late for up to and including fifteen (15) days in	The Reliability Coordinator, Transmission Owner or Generator Owner provided recorded disturbance data from DMEs but was late for more than fifteen (15) days but	The Reliability Coordinator, Transmission Owner or Generator Owner provided recorded disturbance data from DMEs but was late for more than 30 days but less than and including	The Reliability Coordinator, Transmission Owner or Generator Owner provided recorded disturbance data from DMEs but was late for more than forty-five (45) days in meeting

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			meeting the requests of an entity, or entities in 15.1, or 15.2.	less than and including thirty (30) days in meeting the requests of an entity, or entities in 15.1 or 15.2.	forty-five (45) days in meeting the requests of an entity, or entities in 15.1 or 15.2.	the requests of an entity, or entities in 15.1 or 15.2.
PRC-002-NPCC-01	R16.	Each Reliability Coordinator, Transmission Owner and Generator Owner shall submit the data files conforming to the following format requirements: [See standard for format requirements]	The Reliability Coordinator, Transmission Owner or Generator Owner failed to submit up to and including two (2) data files in a format that meets the applicable format requirements in 16.1 through 16.3.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to submit more than two (2) and up to and including five (5) data files in a format that meets the applicable format requirements in 16.1 through 16.3.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to submit more than five (5) and up to and including ten (10) data files in a format that meets the applicable format requirements in 16.1 through 16.3.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to submit more than ten (10) data files in a format that meets the applicable format requirements in 16.1 through 16.3.
PRC-002-NPCC-01	R17.	Each Reliability Coordinator, Transmission Owner and Generator Owner shall maintain, record and provide to the Regional Entity (RE), upon request, the following data on the DMEs installed to meet this standard: [See standard for types of data]	The Reliability Coordinator, Transmission Owner or Generator Owner failed to maintain or provide to the Regional Entity, upon request up to and including two (2) of the items in 17.1 through 17.8.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to maintain or provide to the Regional Entity, upon request more than two (2) and up to and including four (4) of the items in 17.1 to 17.8.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to maintain or provide to the Regional Entity, upon request more than four (4) and up to and including six (6) of the items in 17.1 through 17.8.	The Reliability Coordinator, Transmission Owner or Generator Owner failed to maintain or provide to the Regional Entity, upon request more than six (6) of the items in 17.1 through 17.8.
PRC-004-1a	R1.	The Transmission Owner and any Distribution Provider that owns a transmission Protection System shall each analyze its transmission Protection System Misoperations and shall develop and implement a Corrective Action Plan to avoid	N/A	The responsible entity provided evidence of analyzing a Misoperation but the documentation and	N/A	The responsible entity did not perform an analysis of a Misoperation.

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		future Misoperations of a similar nature according to the Regional Reliability Organization's procedures developed for Reliability Standard PRC-003 Requirement 1.		implementation of the associated Corrective Action Plan was not provided.		
PRC-004-1a	R2.	The Generator Owner shall analyze its generator Protection System Misoperations, and shall develop and implement a Corrective Action Plan to avoid future Misoperations of a similar nature according to the Regional Reliability Organization's procedures developed for PRC-003 R1.	N/A	The Generator Owner provided evidence of analyzing a Misoperation but the documentation and implementation of the associated Corrective Action Plan was not provided.	N/A	The Generator Owner did not perform an analysis of a Misoperation.
PRC-004-1a	R3.	The Transmission Owner, any Distribution Provider that owns a transmission Protection System, and the Generator Owner shall each provide to its Regional Reliability Organization, documentation of its Misoperations analyses and Corrective Action Plans according to the Regional Reliability Organization's procedures developed for PRC-003 R1.	The responsible entity provided its Regional Reliability Organization with documentation of its Misoperations analyses and its Corrective Action Plans, but did not provide these according to the Regional Reliability Organization's procedures.	N/A	The responsible entity provided its Regional Reliability Organization with documentation of its Misoperations analyses but did not provide its Corrective Action Plans.	The responsible entity did not provide its Regional Reliability Organization with documentation of its Misoperations analyses and did not provide its Corrective Action Plans.
PRC-004-2a	R1.	The Transmission Owner and any Distribution Provider that owns a transmission Protection System shall each analyze its transmission Protection System Misoperations and shall develop and implement a Corrective Action Plan to avoid future Misoperations of a similar nature	Documentation of Misoperations is complete, but documentation of Corrective Action Plans is incomplete.	Documentation of Misoperations is incomplete, and documentation of Corrective Action Plans is incomplete.	Documentation of Misoperations is incomplete, and there are no associated Corrective Action Plans.	Misoperations have not been analyzed

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		according to the Regional Entity's procedures.				
PRC-004-2a	R2.	The Generator Owner shall analyze its generator Protection System Misoperations, and shall develop and implement a Corrective Action Plan to avoid future Misoperations of a similar nature according to the Regional Entity's procedures.	Documentation of Misoperations is complete, but documentation of Corrective Action Plans is incomplete.	Documentation of Misoperations is incomplete, and documentation of Corrective Action Plans is incomplete.	Documentation of Misoperations is incomplete, and there are no associated Corrective Action Plans.	Misoperations have not been analyzed
PRC-004-2a	R3.	The Transmission Owner, any Distribution Provider that owns a transmission Protection System, and the Generator Owner shall each provide to its Regional Entity, documentation of its Misoperations analyses and Corrective Action Plans according to the Regional Entity's procedures.	The responsible entity provided its Regional Reliability Organization with documentation of its Misoperations analyses and its Corrective Action Plans, but did not provide these according to the Regional Reliability Organization's procedures.	N/A	The responsible entity provided its Regional Reliability Organization with documentation of its Misoperations analyses but did not provide its Corrective Action Plans.	The responsible entity did not provide its Regional Reliability Organization with documentation of its Misoperations analyses and did not provide its Corrective Action Plans.
PRC-004-WECC-1	R1.	System Operators and System Protection personnel of the Transmission Owners and Generator Owners shall analyze all Protection System and RAS operations.	System Operating personnel of the Transmission Owner or Generator Owner did not review the Protection System Operation or RAS operation within 24 hours but did review the Protection System Operation or RAS operation within six business days.	System Operating personnel of the Transmission Owner or Generator Owner did not review the Protection System operation or RAS operation within six business days.	System Protection personnel of the Transmission Owner and Generator Owner did not analyze the Protection System operation or RAS operation within 20 business days but did analyze the Protection System operation or RAS operation within 25 business days.	System Protection personnel of the Transmission Owner or Generator Owner did not analyze the Protection System operation or RAS operation within 25 business days.
PRC-004-	R1.1.	System Operators shall review all tripping of transmission elements and RAS operations to				

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WECC-1		identify apparent Misoperations within 24 hours.				
PRC-004-WECC-1	R1.2.	System Protection personnel shall analyze all operations of Protection Systems and RAS within 20 business days for correctness to characterize whether a Misoperation has occurred that may not have been identified by System Operators.				
PRC-004-WECC-1	R2.	Transmission Owners and Generator Owners shall perform the following actions for each Misoperation of the Protection System or RAS. It is not intended that Requirements R2.1 through R2.4 apply to Protection System and/or RAS actions that appear to be entirely reasonable and correct at the time of occurrence and associated system performance is fully compliant with NERC Reliability Standards. If the Transmission Owner or Generator Owner later finds the Protection System or RAS operation to be incorrect through System Protection personnel analysis, the requirements of R2.1 through R2.4 become applicable at the time the Transmission Owner or Generator Owner identifies the Misoperation:				
PRC-004-WECC-1	R2.1.	If the Protection System or RAS has a Security-Based Misoperation and two or more Functionally Equivalent Protection Systems (FEPS) or Functionally Equivalent RAS (FERAS) remain in service to ensure Bulk Electric System (BES) reliability, the Transmission Owners or Generator Owners shall remove from service the Protection System or RAS that misoperated within 22 hours following identification of the Misoperation. Repair or replacement of the failed Protection System or RAS is at the	The Transmission Owner and Generator Owner did not remove from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required within 22 hours but did perform the requirements	The Transmission Owner and Generator Owner did not remove from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 24 hours but did	The Transmission Owner and Generator Owner did not perform the removal from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 28 hours but did perform the requirements within	The Transmission Owner and Generator Owner did not perform the removal from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required within 32 hours.

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		Transmission Owners' and Generator Owners' discretion.	within 24 hours.	perform the requirements within 28 hours.	32 hours.	
PRC-004-WECC-1	R2.2.	If the Protection System or RAS has a Security-Based Misoperation and only one FEPS or FERAS remains in service to ensure BES reliability, the Transmission Owner or Generator Owner shall perform the following.				
PRC-004-WECC-1	R2.2.1.	Following identification of the Protection System or RAS Misoperation, Transmission Owners and Generator Owners shall remove from service within 22 hours for repair or modification the Protection System or RAS that misoperated.	The Transmission Owner and Generator Owner did not remove from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required within 22 hours but did perform the requirements within 24 hours.	The Transmission Owner and Generator Owner did not remove from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 24 hours but did perform the requirements within 28 hours.	The Transmission Owner and Generator Owner did not perform the removal from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 28 hours but did perform the requirements within 32 hours.	The Transmission Owner and Generator Owner did not perform the removal from service, repair, or implement other compliance measures for the Protection System or RAS that misoperated as required within 32 hours.
PRC-004-WECC-1	R2.2.2.	The Transmission Owner or Generator Owner shall repair or replace any Protection System or RAS that misoperated with a FEPS or FERAS within 20 business days of the date of removal. The Transmission Owner or Generator Owner shall remove the Element from service or disable the RAS if repair or replacement is not completed within 20 business days.	The Transmission Owner and Generator Owner did not perform the required repairs, replacement, or system operation adjustments to comply with the requirements within 20 business days but did perform the required activities within 25 business days.	The Transmission Owner and Generator Owner did not perform the required repairs, replacement, or system operation adjustment to comply with the requirements within 25 business days but did perform the required activities	The Transmission Owner and Generator Owner did not perform the required repairs, replacement, or system operation adjustment to comply with the requirements within 28 business days but did perform the required activities within 30 business days.	The Transmission Owner and Generator Owner did not perform the required repairs, replacement, or system operation adjustments to comply with the requirements within 30 business days.

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				within 28 business days.		
PRC-004-WECC-1	R2.3.	If the Protection System or RAS has a Security-Based or Dependability-Based Misoperation and a FEPS and FERAS is not in service to ensure BES reliability, Transmission Owners or Generator Owners shall repair and place back in service within 22 hours the Protection System or RAS that misoperated. If this cannot be done, then Transmission Owners and Generator Owners shall perform the following.	The Transmission Operator and Generator Owner did not adjust generation to a reliable operating level, adjust the SOL and operate the facilities within established limits or implement other compliance measures for the Protection System or RAS that misoperated as required within 22 hours but did perform the requirements within 24 hours.	The Transmission Operator and Generator Owner did not adjust generation to a reliable operating level, adjust the SOL and operate the facilities within established limits or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 24 hours but did perform the requirements within 28 hours.	The Transmission Operator and Generator Owner did not adjust generation to a reliable operating level, adjust the SOL and operate the facilities within established limits or implement other compliance measures for the Protection System or RAS that misoperated as required in less than 28 hours but did perform the requirements within 32 hours.	The Transmission Operator and Generator Owner did not adjust generation to a reliable operating level, adjust the SOL and operate the facilities within established limits or implement other compliance measures for the Protection System or RAS that misoperated as required within 32 hours.
PRC-004-WECC-1	R2.3.1.	When a FEPS is not available, the Transmission Owners shall remove the associated Element from service.				
PRC-004-WECC-1	R2.3.2.	When FERAS is not available, then				
PRC-004-WECC-1	R2.3.2.1.	The Generator Owners shall adjust generation to a reliable operating level, or				
PRC-004-WECC-1	R2.3.2.2.	Transmission Operators shall adjust the SOL and operate the facilities within established limits.				
PRC-004-WECC-1	R2.4.	If the Protection System or RAS has a Dependability-Based Misoperation but has one or more FEPS or FERAS that operated correctly, the associated Element or	The Transmission Owner and Generator Owner did not perform the required	The Transmission Owner and Generator Owner did not perform the	The Transmission Owner and Generator Owner did not perform the required repairs,	The Transmission Owner and Generator Owner did not perform the required

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		transmission path may remain in service without removing from service the Protection System or RAS that failed, provided one of the following is performed.	repairs, replacement, or system operation adjustments to comply with the requirements within 20 business days but did perform the required activities within 25 business days.	required repairs, replacement, or system operation adjustment to comply with the requirements within 25 business days but did perform the required activities within 28 business days.	replacement, or system operation adjustment to comply with the requirements within 28 business days but did perform the required activities within 30 business days.	repairs, replacement, or system operation adjustments to comply with the requirements within 30 business days.
PRC-004-WECC-1	R2.4.1.	Transmission Owners or Generator Owners shall repair or replace any Protection System or RAS that misoperated with FEPS and FERAS within 20 business days of the date of the Misoperation identification, or				
PRC-004-WECC-1	R2.4.2.	Transmission Owners or Generator Owners shall remove from service the associated Element or RAS.				
PRC-004-WECC-1	R3.	Transmission Owners and Generation Owners shall submit Misoperation incident reports to WECC within 10 business days for the following.				
PRC-004-WECC-1	R3.1.	Identification of a Misoperation of a Protection System and/or RAS,	The Transmission Owner and Generator Owner did not report the Misoperation and corrective actions taken or planned to comply with the requirements within 10 business days but did perform the required activities within 15 business days.	The Transmission Owner and Generator Owner did not report the Misoperation and corrective actions taken or planned to comply with the requirements within 15 business days but did perform the required activities within 20 business days.	The Transmission Owner and Generator Owner did not report the Misoperation and corrective actions taken or planned to comply with the requirements within 20 business days but did perform the required activities within 25 business days.	The Transmission Owner and Generator Owner did not report the Misoperation and corrective actions taken or planned to comply with the requirements within 25 business days.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-004-WECC-1	R3.2.	Completion of repairs or the replacement of Protection System and/or RAS that misoperated.	The Transmission Owner and Generator Owner did not report the completion of repair or replacement of Protection System and/or RAS that misoperated to comply with the requirements within 10 business days of the completion but did perform the required activities within 15 business days.	The Transmission Owner and Generator Owner did not report the completion of repair or replacement of Protection System and/or RAS that misoperated to comply with the requirements within 15 business days of the completion but did perform the required activities within 20 business days.	The Transmission Owner and Generator Owner did not report the completion of repair or replacement of Protection System and/or RAS that misoperated to comply with the requirements within 20 business days of the completion but did perform the required activities within 25 business days.	The Transmission Owner and Generator Owner did not report the completion of repair or replacement of Protection System and/or RAS that misoperated to comply with the requirements within 25 business days of the completion.
PRC-005-1b	R1.	Each Transmission Owner and any Distribution Provider that owns a transmission Protection System and each Generator Owner that owns a generation Protection System shall have a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES. The program shall include:	N/A	The responsible entity had a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES, but the summary of maintenance and testing procedures was missing or incomplete. (R1.2)	The responsible entity had a Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES, but the maintenance and testing intervals and their basis were missing or incomplete. (R1.1)	The responsible entity failed to have Protection System maintenance and testing program for Protection Systems that affect the reliability of the BES.
PRC-005-1b	R1.1.	Maintenance and testing intervals and their basis.	N/A	N/A	N/A	N/A
PRC-005-1b	R1.2.	Summary of maintenance and testing procedures.	N/A	N/A	N/A	N/A
PRC-005-1b	R2.	Each Transmission Owner and any Distribution Provider that owns a	The responsible entity provided	Evidence Protection System devices were	Evidence Protection System devices were	Evidence Protection System devices were

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		transmission Protection System and each Generator Owner that owns a generation Protection System shall provide documentation of its Protection System maintenance and testing program and the implementation of that program to its Regional Reliability Organization on request (within 30 calendar days). The documentation of the program implementation shall include:	documentation of its Protection System maintenance and testing program more than 30 calendar days following a request from its Regional Reliability Organization and/or NERC. OR Evidence Protection System devices were maintained and tested within the defined intervals (R2.1 and R2.2) was missing 5% or less of the applicable devices.	maintained and tested within the defined intervals (R2.1 and R2.2) was missing more than 5% up to (and including) 10% of the applicable devices.	maintained and tested within the defined intervals (R2.1 and R2.2) was missing more than 10% up to (and including) 15% of the applicable devices.	maintained and tested within the defined intervals (R2.1 and R2.2) was missing more than 15% of the applicable devices.
PRC-005-1b	R2.1.	Evidence Protection System devices were maintained and tested within the defined intervals.	N/A	N/A	N/A	N/A
PRC-005-1b	R2.2.	Date each Protection System device was last tested/maintained.	N/A	N/A	N/A	N/A
PRC-006-1	R1.	Each Planning Coordinator shall develop and document criteria, including consideration of historical events and system studies, to select portions of the Bulk Electric System (BES), including interconnected portions of the BES in adjacent Planning Coordinator areas and Regional Entity areas that may form islands.	N/A	The Planning Coordinator developed and documented criteria but failed to include the consideration of historical events, to select portions of the BES, including interconnected portions of the BES in adjacent Planning Coordinator areas	The Planning Coordinator developed and documented criteria but failed to include the consideration of historical events and system studies, to select portions of the BES, including interconnected portions of the BES in adjacent Planning Coordinator areas and Regional Entity areas,	The Planning Coordinator failed to develop and document criteria to select portions of the BES, including interconnected portions of the BES in adjacent Planning Coordinator areas and Regional Entity areas, that may form islands.

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				<p>and Regional Entity areas that may form islands.</p> <p>OR</p> <p>The Planning Coordinator developed and documented criteria but failed to include the consideration of system studies, to select portions of the BES, including interconnected portions of the BES in adjacent Planning Coordinator areas and Regional Entity areas, that may form islands.</p>	that may form islands.	
PRC-006-1	R2.	Each Planning Coordinator shall identify one or more islands to serve as a basis for designing its UFLS program including: <i>[See Standard pdf for further information]</i>	N/A	The Planning Coordinator identified an island(s) to serve as a basis for designing its UFLS program but failed to include one (1) of the Parts as specified in Requirement R2, Parts 2.1, 2.2, or 2.3.	The Planning Coordinator identified an island(s) to serve as a basis for designing its UFLS program but failed to include two (2) of the Parts as specified in Requirement R2, Parts 2.1, 2.2, or 2.3.	<p>The Planning Coordinator identified an island(s) to serve as a basis for designing its UFLS program but failed to include all of the Parts as specified in Requirement R2, Parts 2.1, 2.2, or 2.3.</p> <p>OR</p> <p>The Planning Coordinator failed to identify any island(s) to serve as a basis for designing its UFLS</p>

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						program.
PRC-006-1	R3.	Each Planning Coordinator shall develop a UFLS program, including notification of and a schedule for implementation by UFLS entities within its area, that meets the following performance characteristics in simulations of underfrequency conditions resulting from an imbalance scenario, where an imbalance = [(load — actual generation output) / (load)], of up to 25 percent within the identified island(s). <i>[See Standard pdf for further information]</i>	N/A	The Planning Coordinator developed a UFLS program, including notification of and a schedule for implementation by UFLS entities within its area where imbalance = [(load — actual generation output) / (load)], of up to 25 percent within the identified island(s), but failed to meet one (1) of the performance characteristic in Requirement R3, Parts 3.1, 3.2, or 3.3 in simulations of underfrequency conditions.	The Planning Coordinator developed a UFLS program including notification of and a schedule for implementation by UFLS entities within its area where imbalance = [(load — actual generation output) / (load)], of up to 25 percent within the identified island(s), but failed to meet two (2) of the performance characteristic in Requirement R3, Parts 3.1, 3.2, or 3.3 in simulations of underfrequency conditions.	The Planning Coordinator developed a UFLS program including notification of and a schedule for implementation by UFLS entities within its area where imbalance = [(load — actual generation output) / (load)], of up to 25 percent within the identified island(s), but failed to meet all the performance characteristic in Requirement R3, Parts 3.1, 3.2, and 3.3 in simulations of underfrequency conditions. OR The Planning Coordinator failed to develop a UFLS program including notification of and a schedule for implementation by UFLS entities within its area
PRC-006-1	R4.	Each Planning Coordinator shall conduct and document a UFLS design assessment at least once every five years that determines	The Planning Coordinator	The Planning Coordinator conducted and	The Planning Coordinator conducted and documented a UFLS	The Planning Coordinator

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		through dynamic simulation whether the UFLS program design meets the performance characteristics in Requirement R3 for each island identified in Requirement R2. The simulation shall model each of the following: <i>[See Standard pdf for further information]</i>	conducted and documented a UFLS assessment at least once every five years that determined through dynamic simulation whether the UFLS program design met the performance characteristics in Requirement R3 for each island identified in Requirement R2 but the simulation failed to include one (1) of the items as specified in Requirement R4, Parts 4.1 through 4.7.	documented a UFLS assessment at least once every five years that determined through dynamic simulation whether the UFLS program design met the performance characteristics in Requirement R3 for each island identified in Requirement R2 but the simulation failed to include two (2) of the items as specified in Requirement R4, Parts 4.1 through 4.7.	assessment at least once every five years that determined through dynamic simulation whether the UFLS program design met the performance characteristics in Requirement R3 for each island identified in Requirement R2 but the simulation failed to include three (3) of the items as specified in Requirement R4, Parts 4.1 through 4.7.	conducted and documented a UFLS assessment at least once every five years that determined through dynamic simulation whether the UFLS program design met the performance characteristics in Requirement R3 but simulation failed to include four (4) or more of the items as specified in Requirement R4, Parts 4.1 through 4.7. OR The Planning Coordinator failed to conduct and document a UFLS assessment at least once every five years that determines through dynamic simulation whether the UFLS program design meets the performance characteristics in Requirement R3 for each island identified in Requirement R2
PRC-006-1	R5.	Each Planning Coordinator, whose area or portions of whose area is part of an island identified by it or another Planning	N/A	N/A	N/A	The Planning Coordinator, whose area or portions of

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		<p>Coordinator which includes multiple Planning Coordinator areas or portions of those areas, shall coordinate its UFLS program design with all other Planning Coordinators whose areas or portions of whose areas are also part of the same identified island through one of the following:</p> <ul style="list-style-type: none"> • Develop a common UFLS program design and schedule for implementation per Requirement R3 among the Planning Coordinators whose areas or portions of whose areas are part of the same identified island, or • Conduct a joint UFLS design assessment per Requirement R4 among the Planning Coordinators whose areas or portions of whose areas are part of the same identified island, or • Conduct an independent UFLS design assessment per Requirement R4 for the identified island, and in the event the UFLS design assessment fails to meet Requirement R3, identify modifications to the UFLS program(s) to meet Requirement R3 and report these modifications as recommendations to the other Planning Coordinators whose areas or portions of whose areas are also part of the same identified island and the ERO. 				<p>whose area is part of an island identified by it or another Planning Coordinator which includes multiple Planning Coordinator areas or portions of those areas, failed to coordinate its UFLS program design through one of the manners described in Requirement R5.</p>
PRC-006-1	R6.	<p>Each Planning Coordinator shall maintain a UFLS database containing data necessary to model its UFLS program for use in event analyses and assessments of the UFLS program at least once each calendar year, with no more than 15 months between maintenance activities.</p>	N/A	N/A	N/A	<p>The Planning Coordinator failed to maintain a UFLS database for use in event analyses and assessments of the UFLS program at least</p>

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						once each calendar year, with no more than 15 months between maintenance activities.
PRC-006-1	R7.	Each Planning Coordinator shall provide its UFLS database containing data necessary to model its UFLS program to other Planning Coordinators within its Interconnection within 30 calendar days of a request.	The Planning Coordinator provided its UFLS database to other Planning Coordinators more than 30 calendar days and up to and including 40 calendar days following the request.	The Planning Coordinator provided its UFLS database to other Planning Coordinators more than 40 calendar days but less than and including 50 calendar days following the request.	The Planning Coordinator provided its UFLS database to other Planning Coordinators more than 50 calendar days but less than and including 60 calendar days following the request.	The Planning Coordinator provided its UFLS database to other Planning Coordinators more than 60 calendar days following the request. OR The Planning Coordinator failed to provide its UFLS database to other Planning Coordinators.
PRC-006-1	R8.	Each UFLS entity shall provide data to its Planning Coordinator(s) according to the format and schedule specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database.	The UFLS entity provided data to its Planning Coordinator(s) more than 5 calendar days but less than or equal to 10 calendar days following the schedule specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database.	The UFLS entity provided data to its Planning Coordinator(s) more than 10 calendar days but less than or equal to 15 calendar days following the schedule specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database. OR	The UFLS entity provided data to its Planning Coordinator(s) more than 15 calendar days but less than or equal to 20 calendar days following the schedule specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database.	The UFLS entity provided data to its Planning Coordinator(s) more than 20 calendar days following the schedule specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database. OR The UFLS entity failed to provide data

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				The UFLS entity provided data to its Planning Coordinator(s) but the data was not according to the format specified by the Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database.		to its Planning Coordinator(s) to support maintenance of each Planning Coordinator's UFLS database.
PRC-006-1	R9.	Each UFLS entity shall provide automatic tripping of Load in accordance with the UFLS program design and schedule for application determined by its Planning Coordinator(s) in each Planning Coordinator area in which it owns assets.	The UFLS entity provided less than 100% but more than (and including) 95% of automatic tripping of Load in accordance with the UFLS program design and schedule for application determined by the Planning Coordinator(s) area in which it owns assets.	The UFLS entity provided less than 95% but more than (and including) 90% of automatic tripping of Load in accordance with the UFLS program design and schedule for application determined by the Planning Coordinator(s) area in which it owns assets.	The UFLS entity provided less than 90% but more than (and including) 85% of automatic tripping of Load in accordance with the UFLS program design and schedule for application determined by the Planning Coordinator(s) area in which it owns assets.	The UFLS entity provided less than 85% of automatic tripping of Load in accordance with the UFLS program design and schedule for application determined by the Planning Coordinator(s) area in which it owns assets.
PRC-006-1	R10.	Each Transmission Owner shall provide automatic switching of its existing capacitor banks, Transmission Lines, and reactors to control over-voltage as a result of underfrequency load shedding if required by the UFLS program and schedule for application determined by the Planning Coordinator(s) in each Planning Coordinator area in which the Transmission Owner owns transmission.	The Transmission Owner provided less than 100% but more than (and including) 95% automatic switching of its existing capacitor banks, Transmission Lines, and reactors to control over-voltage if	The Transmission Owner provided less than 95% but more than (and including) 90% automatic switching of its existing capacitor banks, Transmission Lines, and reactors to control over-	The Transmission Owner provided less than 90% but more than (and including) 85% automatic switching of its existing capacitor banks, Transmission Lines, and reactors to control over-voltage if required by the UFLS	The Transmission Owner provided less than 85% automatic switching of its existing capacitor banks, Transmission Lines, and reactors to control over-voltage if required by the UFLS program and schedule

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			required by the UFLS program and schedule for application determined by the Planning Coordinator(s) in each Planning Coordinator area in which the Transmission Owner owns transmission	voltage if required by the UFLS program and schedule for application determined by the Planning Coordinator(s) in each Planning Coordinator area in which the Transmission Owner owns transmission	program and schedule for application determined by the Planning Coordinator(s) in each Planning Coordinator area in which the Transmission Owner owns transmission	for application determined by the Planning Coordinator(s) in each Planning Coordinator area in which the Transmission Owner owns transmission
PRC-006-1	R11.	Each Planning Coordinator, in whose area a BES islanding event results in system frequency excursions below the initializing set points of the UFLS program, shall conduct and document an assessment of the event within one year of event actuation to evaluate: <i>[See Standard pdf for further information]</i>	The Planning Coordinator, in whose area a BES islanding event resulting in system frequency excursions below the initializing set points of the UFLS program, conducted and documented an assessment of the event and evaluated the parts as specified in Requirement R11, Parts 11.1 and 11.2 within a time greater than one year but less than or equal to 13 months of actuation.	The Planning Coordinator, in whose area a BES islanding event resulting in system frequency excursions below the initializing set points of the UFLS program, conducted and documented an assessment of the event and evaluated the parts as specified in Requirement R11, Parts 11.1 and 11.2 within a time greater than 13 months but less than or equal to 14 months of actuation.	The Planning Coordinator, in whose area a BES islanding event resulting in system frequency excursions below the initializing set points of the UFLS program, conducted and documented an assessment of the event and evaluated the parts as specified in Requirement R11, Parts 11.1 and 11.2 within a time greater than 14 months but less than or equal to 15 months of actuation. OR The Planning Coordinator, in whose area an islanding event resulting in system frequency excursions	The Planning Coordinator, in whose area a BES islanding event resulting in system frequency excursions below the initializing set points of the UFLS program, conducted and documented an assessment of the event and evaluated the parts as specified in Requirement R11, Parts 11.1 and 11.2 within a time greater than 15 months of actuation. OR The Planning Coordinator, in whose area an islanding event resulting in system frequency

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					<p>below the initializing set points of the UFLS program, conducted and documented an assessment of the event within one year of event actuation but failed to evaluate one (1) of the Parts as specified in Requirement R11, Parts 11.1 or 11.2.</p>	<p>excursions below the initializing set points of the UFLS program, failed to conduct and document an assessment of the event and evaluate the Parts as specified in Requirement R11, Parts 11.1 and 11.2.</p> <p>OR</p> <p>The Planning Coordinator, in whose area an islanding event resulting in system frequency excursions below the initializing set points of the UFLS program, conducted and documented an assessment of the event within one year of event actuation but failed to evaluate all of the Parts as specified in Requirement R11, Parts 11.1 and 11.2.</p>
PRC-006-1	R12.	Each Planning Coordinator, in whose islanding event assessment (per R11) UFLS program deficiencies are identified, shall conduct and document a UFLS design assessment to consider the identified deficiencies within two years of event actuation.	N/A	The Planning Coordinator, in which UFLS program deficiencies were identified per Requirement R11, conducted and documented a UFLS	The Planning Coordinator, in which UFLS program deficiencies were identified per Requirement R11, conducted and documented a UFLS	The Planning Coordinator, in which UFLS program deficiencies were identified per Requirement R11, conducted and documented a UFLS

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				design assessment to consider the identified deficiencies greater than two years but less than or equal to 25 months of event actuation.	design assessment to consider the identified deficiencies greater than 25 months but less than or equal to 26 months of event actuation.	design assessment to consider the identified deficiencies greater than 26 months of event actuation. OR The Planning Coordinator, in which UFLS program deficiencies were identified per Requirement R11, failed to conduct and document a UFLS design assessment to consider the identified deficiencies.
PRC-006-1	R13.	<p>Each Planning Coordinator, in whose area a BES islanding event occurred that also included the area(s) or portions of area(s) of other Planning Coordinator(s) in the same islanding event and that resulted in system frequency excursions below the initializing set points of the UFLS program, shall coordinate its event assessment (in accordance with Requirement R11) with all other Planning Coordinators whose areas or portions of whose areas were also included in the same islanding event through one of the following:</p> <ul style="list-style-type: none"> • Conduct a joint event assessment per Requirement R11 among the Planning Coordinators whose areas or portions of whose areas were included in the same islanding event, or • Conduct an independent event assessment per Requirement R11 that 	N/A	N/A	N/A	The Planning Coordinator, in whose area a BES islanding event occurred that also included the area(s) or portions of area(s) of other Planning Coordinator(s) in the same islanding event and that resulted in system frequency excursions below the initializing set points of the UFLS program, failed to coordinate its UFLS event assessment with all other Planning Coordinators whose

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		<p>reaches conclusions and recommendations consistent with those of the event assessments of the other Planning Coordinators whose areas or portions of whose areas were included in the same islanding event, or</p> <ul style="list-style-type: none"> Conduct an independent event assessment per Requirement R11 and where the assessment fails to reach conclusions and recommendations consistent with those of the event assessments of the other Planning Coordinators whose areas or portions of whose areas were included in the same islanding event, identify differences in the assessments that likely resulted in the differences in the conclusions and recommendations and report these differences to the other Planning Coordinators whose areas or portions of whose areas were included in the same islanding event and the ERO. 				<p>areas or portions of whose areas were also included in the same islanding event in one of the manners described in Requirement R13</p>
PRC-006-1	R14.	<p>Each Planning Coordinator shall respond to written comments submitted by UFLS entities and Transmission Owners within its Planning Coordinator area following a comment period and before finalizing its UFLS program, indicating in the written response to comments whether changes will be made or reasons why changes will not be made to the following: <i>[See Standard pdf for further information]</i></p>	N/A	N/A	N/A	<p>The Planning Coordinator failed to respond to written comments submitted by UFLS entities and Transmission Owners within its Planning Coordinator area following a comment period and before finalizing its UFLS program, indicating in the written response to comments whether changes were made or reasons why changes were not made to the</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						items in Parts 14.1 through 14.3.
PRC-007-0	R1.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall ensure that its UFLS program is consistent with its Regional Reliability Organization's UFLS program requirements.	The evaluation of the entity's UFLS program for consistency with its Regional Reliability Organization's UFLS program is incomplete or inconsistent in one or more of the Regional Reliability Organization program requirements, but is consistent with the required amount of load shedding.	The amount of load shedding is less than 95 percent of the Regional requirement in any of the load steps.	The amount of load shedding is less than 90 percent of the Regional requirement in any of the load steps.	The amount of load shedding is less than 85 percent of the Regional requirement in any of the load steps.
PRC-007-0	R2.	The Transmission Owner, Transmission Operator, Distribution Provider, and Load-Serving Entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide, and annually update, its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database.	The responsible entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) provided its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database but its annual update was late by 30 calendar days or less.	The responsible entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) provided its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database but its annual update was late by more than 30 calendar days but less than or equal to 40 calendar days	The responsible entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) provided its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database but its annual update was late by more than 40 calendar days but less than or equal to 50 calendar days.	The responsible entity that owns or operates a UFLS program (as required by its Regional Reliability Organization) did not provide its underfrequency data as necessary for its Regional Reliability Organization to maintain and update a UFLS program database, OR The responsible entity's annual update was late by more than 50 calendar days.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-007-0	R3.	The Transmission Owner and Distribution Provider that owns a UFLS program (as required by its Regional Reliability Organization) shall provide its documentation of that UFLS program to its Regional Reliability Organization on request (30 calendar days).	The responsible entity has provided the documentation in more than 30 calendar days but less than or equal to 40 calendar days.	The responsible entity has provided the documentation in more than 40 calendar days but less than or equal to 50 calendar days.	The responsible entity has provided the documentation in more than 50 calendar days but less than or equal to 60 calendar days.	The responsible entity has not provided the documentation for more than 60 calendar days.
PRC-008-0	R1.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall have a UFLS equipment maintenance and testing program in place. This UFLS equipment maintenance and testing program shall include UFLS equipment identification, the schedule for UFLS equipment testing, and the schedule for UFLS equipment maintenance.	The UFLS equipment identification, testing schedule or maintenance schedule for the responsible entity's UFLS equipment maintenance and testing program was missing 5% or less of the applicable equipment.	The UFLS equipment identification, testing schedule, or maintenance schedule for the responsible entity's UFLS equipment maintenance and testing program was missing for more than 5% up to (and including) 10% of the applicable equipment.	The UFLS equipment identification, testing schedule, or maintenance schedule for the responsible entity's UFLS equipment maintenance and testing program was missing more than 10% up to (and including) 15% of the applicable equipment.	The responsible entity failed to implement UFLS equipment maintenance and testing program. OR The UFLS equipment identification, testing schedule, or maintenance schedule for the responsible entity's UFLS equipment maintenance and testing program was missing more than 15% of the applicable equipment.
PRC-008-0	R2.	The Transmission Owner and Distribution Provider with a UFLS program (as required by its Regional Reliability Organization) shall implement its UFLS equipment maintenance and testing program and shall provide UFLS maintenance and testing program results to its Regional Reliability Organization and NERC on request (within 30 calendar days).	The responsible entity provided documentation of its UFLS equipment maintenance and testing program more than 30 calendar days following a request from its Regional Reliability Organization and/or NERC.	Evidence UFLS equipment was maintained and tested within the defined intervals was missing for more than 5% up to (and including) 10% of the applicable devices.	Evidence UFLS equipment was maintained and tested within the defined intervals was missing for more than 10% up to (and including) 15% of the applicable devices.	Evidence UFLS equipment was maintained and tested within the defined intervals was missing for more than 15% of the applicable devices.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			OR Evidence UFLS equipment was maintained and tested within the defined intervals was missing for 5% or less of the applicable devices.			
PRC-009-0	R1.	The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall analyze and document its UFLS program performance in accordance with its Regional Reliability Organization's UFLS program. The analysis shall address the performance of UFLS equipment and program effectiveness following system events resulting in system frequency excursions below the initializing set points of the UFLS program. The analysis shall include, but not be limited to:	The responsible entity that owns or operates a UFLS program failed to include one of the elements listed in PRC-009-0 R1.1 through R1.4 in the analysis of the performance of UFLS equipment and Program effectiveness, as described in PRC-009-0 R1, following system events resulting in system frequency excursions below the initializing set points of the UFLS program.	The responsible entity that owns or operates a UFLS program failed to include two of the elements listed in PRC-009-0 R1.1 through R1.4 in the analysis of the performance of UFLS equipment and Program effectiveness, as described in PRC-009-0 R1, following system events resulting in system frequency excursions below the initializing set points of the UFLS program.	The responsible entity that owns or operates a UFLS program failed to include three of the elements listed in PRC-009-0 R1.1 through R1.4 in the analysis of the performance of UFLS equipment and Program effectiveness, as described in PRC-009-0 R1, following system events resulting in system frequency excursions below the initializing set points of the UFLS program.	The responsible entity that owns or operates a UFLS program failed to conduct an analysis of the performance of UFLS equipment and Program effectiveness, as described in PRC-009-0 R1, following system events resulting in system frequency excursions below the initializing set points of the UFLS program.
PRC-009-0	R1.1.	A description of the event including initiating conditions.	N/A	N/A	N/A	N/A
PRC-009-0	R1.2.	A review of the UFLS set points and tripping times.	N/A	N/A	N/A	N/A
PRC-009-0	R1.3.	A simulation of the event.	N/A	N/A	N/A	N/A
PRC-009-0	R1.4.	A summary of the findings.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-009-0	R2.	The Transmission Owner, Transmission Operator, Load-Serving Entity, and Distribution Provider that owns or operates a UFLS program (as required by its Regional Reliability Organization) shall provide documentation of the analysis of the UFLS program to its Regional Reliability Organization and NERC on request 90 calendar days after the system event.	The responsible entity has provided the documentation in more than 90 calendar days but less than 105 calendar days.	The responsible entity has provided the documentation in more than 105 calendar days but less than 129 calendar days.	The responsible entity has provided the documentation in more than 129 calendar days but less than 145 calendar days.	The responsible entity has provided the documentation in 145 calendar days or more.
PRC-010-0	R1.	The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall periodically (at least every five years or as required by changes in system conditions) conduct and document an assessment of the effectiveness of the UVLS program. This assessment shall be conducted with the associated Transmission Planner(s) and Planning Authority(ies).	The responsible entity conducted an assessment of the effectiveness of its UVLS system within 5 years or as required by changes in system conditions but did not include the associated Transmission Planner(s) and Planning Authority(ies).	The responsible entity did not conduct an assessment of the effectiveness of its UVLS system for more than 5 years but did in less than or equal to 6 years. OR The assessment of the effectiveness of the responsible entity's UVLS system did not address one of the elements in R1 (R1.1.1 through R1.1.3).	The responsible entity did not conduct an assessment of the effectiveness of its UVLS system for more than 6 years but did in less than or equal to 7years. OR The assessment of the effectiveness of the responsible entity's UVLS system did not address two of the elements in R1 (R1.1.1 through R1.1.3).	The responsible entity did not conduct an assessment of the effectiveness of its UVLS system for more than 7 years. OR The assessment of the effectiveness of the responsible entity's UVLS system did not address any of the elements in R1 (R1.1.1 through R1.1.3).
PRC-010-0	R1.1.	This assessment shall include, but is not limited to:	N/A	N/A	N/A	N/A
PRC-010-0	R1.1.1.	Coordination of the UVLS programs with other protection and control systems in the Region and with other Regional Reliability Organizations, as appropriate.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-010-0	R1.1.2.	Simulations that demonstrate that the UVLS programs performance is consistent with Reliability Standards TPL-001-0, TPL-002-0, TPL-003-0 and TPL-004-0.	N/A	N/A	N/A	N/A
PRC-010-0	R1.1.3.	A review of the voltage set points and timing.	N/A	N/A	N/A	N/A
PRC-010-0	R2. <i>(Retired)</i>	The Load-Serving Entity, Transmission Owner, Transmission Operator, and Distribution Provider that owns or operates a UVLS program shall provide documentation of its current UVLS program assessment to its Regional Reliability Organization and NERC on request (30 calendar days).	The responsible entity provided documentation of its current UVLS program assessment more than 30 calendar but less than or equal to 40 calendar days following a request from its Regional Reliability Organization or NERC.	The responsible entity provided documentation of its current UVLS program assessment more than 40 calendar days but less than or equal to 50 calendar days following a request from its Regional Reliability Organization or NERC.	The responsible entity provided documentation of its current UVLS program assessment more than 50 calendar days but less than or equal to 60 calendar days following a request from its Regional Reliability Organization or NERC.	The responsible entity did not provide documentation of its current UVLS program assessment for more than 60 calendar days following a request from its Regional Reliability Organization or NERC.
PRC-011-0	R1.	The Transmission Owner and Distribution Provider that owns a UVLS system shall have a UVLS equipment maintenance and testing program in place. This program shall include:	The responsible entity's UVLS equipment maintenance and testing program did not address one of the subrequirements in R1.2 through R1.6. OR The responsible entity's UVLS program did not address one of the equipment classes as specified in R1.1.1 through R1.1.4.	The responsible entity's UVLS equipment maintenance and testing program did not address two of the subrequirements in R1.2 through R1.6. OR The responsible entity's UVLS program did not address two of the equipment classes as specified in R1.1.1	The responsible entity's UVLS equipment maintenance and testing program did not address three of the subrequirements in R1.1 through R1.6. OR The responsible entity's UVLS program did not address three of the equipment classes as specified in R1.1.1 through R1.1.4.	The responsible entity's UVLS equipment maintenance and testing program did not address four or more of the subrequirements in R1.2 through R1.6. OR The responsible entity's UVLS program did not address any of the equipment classes as specified in R1.1.1

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				through R1.1.4.		through R1.1.4.
PRC-011-0	R1.1.	The UVLS system identification which shall include but is not limited to:	N/A	N/A	N/A	N/A
PRC-011-0	R1.1.1.	Relays.	N/A	N/A	N/A	N/A
PRC-011-0	R1.1.2.	Instrument transformers.	N/A	N/A	N/A	N/A
PRC-011-0	R1.1.3.	Communications systems, where appropriate.	N/A	N/A	N/A	N/A
PRC-011-0	R1.1.4.	Batteries.	N/A	N/A	N/A	N/A
PRC-011-0	R1.2.	Documentation of maintenance and testing intervals and their basis.	N/A	N/A	N/A	N/A
PRC-011-0	R1.3.	Summary of testing procedure.	N/A	N/A	N/A	N/A
PRC-011-0	R1.4.	Schedule for system testing.	N/A	N/A	N/A	N/A
PRC-011-0	R1.5.	Schedule for system maintenance.	N/A	N/A	N/A	N/A
PRC-011-0	R1.6.	Date last tested/maintained.	N/A	N/A	N/A	N/A
PRC-011-0	R2.	The Transmission Owner and Distribution Provider that owns a UVLS system shall provide documentation of its UVLS equipment maintenance and testing program and the implementation of that UVLS equipment maintenance and testing program to its Regional Reliability Organization and NERC on request (within 30 calendar days).	The responsible entity provided documentation of its UVLS equipment maintenance and testing program more than 30 but less than or equal to 40 days following a request from its Regional Reliability Organization and/or NERC. OR Evidence UVLS equipment was maintained and tested within the defined intervals was missing	The responsible entity provided documentation of its UVLS equipment maintenance and testing program more than 40 but less than or equal to 50 days following a request from its Regional Reliability Organization and/or NERC. OR Evidence UVLS equipment was maintained and tested within the defined intervals was	The responsible entity provided documentation of its UVLS equipment maintenance and testing program more than 50 but less than or equal to 60 days following a request from its Regional Reliability Organization and/or NERC. OR Evidence UVLS equipment was maintained and tested within the defined intervals was missing for more than 10% up to (and including) 15% of the applicable devices.	The responsible entity did not provide documentation of its UVLS equipment maintenance and testing program for more than 60 days following a request from its Regional Reliability Organization and/or NERC. OR Evidence UVLS equipment was maintained and tested within the defined intervals was missing for more than 15% of

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			for 5% or less of the applicable devices.	missing for more than 5% up to (and including) 10% of the applicable devices.		the applicable devices.
PRC-015-0	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall maintain a list of and provide data for existing and proposed SPSs as specified in Reliability Standard PRC-013-0_R 1.	N/A	The responsible entity's list of existing or proposed SPSs did not address one of the subrequirements in R1.1 through R1.3 as specified in Reliability Standard PRC-013-0_R1.	The responsible entity's list of existing or proposed SPSs did not address two of the subrequirements in R1.1 through R1.3 as specified in Reliability Standard PRC-013-0_R1.	The responsible entity's list of existing or proposed SPSs did not address any of the subrequirements in R1.1 through R1.3 as specified in Reliability Standard PRC-013-0_R1.
PRC-015-0	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall have evidence it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures as defined in Reliability Standard PRC-012-0_R1 prior to being placed in service.	The responsible entity was not compliant in that evidence that it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures did not address one of the subrequirements in R1.1 through R1.9 as specified in Reliability Standard PRC-012-0_R1 prior to being placed in service.	The responsible entity was not compliant in that evidence that it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures did not address two of the subrequirements in R1.1 through R1.9 as specified in Reliability Standard PRC-012-0_R1 prior to being placed in service.	The responsible entity was not compliant in that evidence that it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures did not address three of the subrequirements in R1.1 through R1.9 as specified in Reliability Standard PRC-012-0_R1 prior to being placed in service.	The responsible entity was not compliant in that evidence that it reviewed new or functionally modified SPSs in accordance with the Regional Reliability Organization's procedures did not address four or more of the subrequirements in R1.1 through R1.9 as specified in Reliability Standard PRC-012-0_R1 prior to being placed in service.
PRC-015-0	R3.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of SPS data and	The responsible entity provided documentation of its	The responsible entity provided documentation of its	The responsible entity provided documentation of its SPS data and the	The responsible entity provided documentation of its

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		the results of studies that show compliance of new or functionally modified SPSs with NERC Reliability Standards and Regional Reliability Organization criteria to affected Regional Reliability Organizations and NERC on request (within 30 calendar days).	SPS data and the results of the studies that show compliance of new or functionally modified SPSs more than 30 calendar days but less than or equal to 40 calendar days following a request from its Regional Reliability Organization or NERC.	SPS data and the results of the studies that show compliance of new or functionally modified SPSs more than 40 calendar days but less than or equal to 50 calendar days following a request from its Regional Reliability Organization or NERC.	results of the studies that show compliance of new or functionally modified SPSs more than 50 calendar days but less than or equal to 60 calendar days following a request from its Regional Reliability Organization or NERC.	SPS data and the results of the studies that show compliance of new or functionally modified SPSs more than 60 calendar days following a request from its Regional Reliability Organization or NERC.
PRC-016-0.1	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall analyze its SPS operations and maintain a record of all misoperations in accordance with the Regional SPS review procedure specified in Reliability Standard PRC-012-0_R 1.	N/A	N/A	N/A	The responsible entity that owns an SPS did not analyze its SPS operations and maintain a record of all Misoperations in accordance with the Regional SPS review procedure specified in Reliability Standard PRC-012-0_R 1.
PRC-016-0.1	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall take corrective actions to avoid future misoperations.	For each Misoperation, the responsible entity that owns an SPS did not take 5% or less of the corrective actions designed to avoid future SPS Misoperations.	For each Misoperation, the responsible entity that owns an SPS did not take more than 5% up to (and including) 10% of the corrective actions designed to avoid future SPS Misoperations.	For each Misoperation, the responsible entity that owns an SPS did not take more than 10% up to (and including) 15% of the corrective actions designed to avoid future SPS Misoperations.	For each Misoperation, the responsible entity that owns an SPS did not take more than 15% of the corrective actions designed to avoid future SPS Misoperations.
PRC-016-	R3.	The Transmission Owner, Generator Owner,	The responsible entity	The responsible	The responsible entity	The responsible entity

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0.1		and Distribution Provider that owns an SPS shall provide documentation of the misoperation analyses and the corrective action plans to its Regional Reliability Organization and NERC on request (within 90 calendar days).	provided documentation of its SPS Misoperation analyses and the corrective action plans more than 90 calendar days but less than or equal to 120 calendar days following a request from its Regional Reliability Organization or NERC.	entity provided documentation of its SPS Misoperation analyses and the corrective action plans more than 120 calendar days but less than or equal to 130 calendar days following a request from its Regional Reliability Organization or NERC.	provided documentation of its SPS Misoperation analyses and the corrective action plans more than 130 calendar days but less than or equal to 140 calendar days following a request from its Regional Reliability Organization or NERC.	provided documentation of its SPS Misoperation analyses and the corrective action plans more than 140 calendar days following a request from its Regional Reliability Organization or NERC. OR Did not provide the documentation.
PRC-017-0	R1.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall have a system maintenance and testing program(s) in place. The program(s) shall include:	The responsible entity's SPS equipment maintenance and testing program did not address one of the subrequirements in R1.2 through R1.6. OR The responsible entity's SPS program did not address one of the equipment classes as specified in R1.1.1 through R1.1.4.	The responsible entity's SPS equipment maintenance and testing program did not address two of the subrequirements in R1.2 through R1.6. OR The responsible entity's SPS program did not address two of the equipment classes as specified in R1.1.1 through R1.1.4.	The responsible entity's SPS equipment maintenance and testing program did not address three of the subrequirements in R1.2 through R1.6. OR The responsible entity's SPS program did not address three of the equipment classes as specified in R1.1.1 through R1.1.4.	The responsible entity's SPS equipment maintenance and testing program did not address four or more of the subrequirements in R1.2 through R1.6. OR The responsible entity's SPS program did not address any of the equipment classes as specified in R1.1.1 through R1.1.4.
PRC-017-0	R1.1.	SPS identification shall include but is not limited to:	N/A	N/A	N/A	N/A
PRC-017-0	R1.1.1.	Relays.	N/A	N/A	N/A	N/A
PRC-017-0	R1.1.2.	Instrument transformers.	N/A	N/A	N/A	N/A

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PRC-017-0	R1.1.3.	Communications systems, where appropriate.	N/A	N/A	N/A	N/A
PRC-017-0	R1.1.4.	Batteries.	N/A	N/A	N/A	N/A
PRC-017-0	R1.2.	Documentation of maintenance and testing intervals and their basis.	N/A	N/A	N/A	N/A
PRC-017-0	R1.3.	Summary of testing procedure.	N/A	N/A	N/A	N/A
PRC-017-0	R1.4.	Schedule for system testing.	N/A	N/A	N/A	N/A
PRC-017-0	R1.5.	Schedule for system maintenance.	N/A	N/A	N/A	N/A
PRC-017-0	R1.6.	Date last tested/maintained.	N/A	N/A	N/A	N/A
PRC-017-0	R2.	The Transmission Owner, Generator Owner, and Distribution Provider that owns an SPS shall provide documentation of the program and its implementation to the appropriate Regional Reliability Organizations and NERC on request (within 30 calendar days).	The responsible entity provided documentation of its SPS maintenance and testing program more than 30 but less than or equal to 40 days following a request from its Regional Reliability Organization and/or NERC.	The responsible entity provided documentation of its SPS maintenance and testing program more than 40 but less than or equal to 50 days following a request from its Regional Reliability Organization and/or NERC.	The responsible entity provided documentation of its SPS maintenance and testing program more than 50 but less than or equal to 60 days following a request from its Regional Reliability Organization and/or NERC.	The responsible entity did not provide documentation of its SPS maintenance and testing program for more than 60 days following a request from its Regional Reliability Organization and/or NERC.
PRC-018-1	R1.	Each Transmission Owner and Generator Owner required to install DMEs by its Regional Reliability Organization (reliability standard PRC-002 Requirements 1-3) shall have DMEs installed that meet the following requirements:	N/A	N/A	The installation of DMEs does not include one of the subrequirements in R1.1 and R1.2.	The installation of DMEs does not include any of the subrequirements in R1.1 and R1.2.
PRC-018-1	R1.1.	Internal Clocks in DME devices shall be synchronized to within 2 milliseconds or less of Universal Coordinated Time scale (UTC)	N/A	N/A	N/A	N/A
PRC-018-1	R1.2.	Recorded data from each Disturbance shall be retrievable for ten calendar days.	N/A	N/A	N/A	N/A
PRC-018-1	R2.	The Transmission Owner and Generator Owner shall each install DMEs in	The responsible entity failed to install 5% or	The responsible entity failed to	The responsible entity failed to install more	The responsible entity failed to install more

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		accordance with its Regional Reliability Organization's installation requirements (reliability standard PRC-002 Requirements 1 through 3).	less of the DME devices in accordance with its Regional Reliability Organization's installation requirements as defined in PRC-002 R1 through R3.	install more than 5% up to (and including) 10% of the DME devices in accordance with its Regional Reliability Organization's installation requirements as defined in PRC-002 R1 through R3.	than 10% up to (and including) 15% of the DME devices in accordance with its Regional Reliability Organization's installation requirements as defined in PRC-002 R1 through R3.	than 15% of the DME devices in accordance with its Regional Reliability Organization's installation requirements as defined in PRC-002 R1 through R3.
PRC-018-1	R3.	The Transmission Owner and Generator Owner shall each maintain, and report to its Regional Reliability Organization on request, the following data on the DMEs installed to meet that region's installation requirements (reliability standard PRC-002 Requirements 1.1, 2.1 and 3.1):	Evidence that the responsible entity maintained data on the DMEs installed to meet that region's installation requirements was missing or not reported for one of the subrequirements in R3.1 through R3.8.	Evidence that the responsible entity maintained data on the DMEs installed to meet that region's installation requirements was missing or not reported for two of the subrequirements in R3.1 through R3.8.	Evidence that the responsible entity maintained data on the DMEs installed to meet that region's installation requirements was missing or not reported for three of the subrequirements in R3.1 through R3.8.	Evidence that the responsible entity maintained data on the DMEs installed to meet that region's installation requirements was missing or not reported for four or more of the subrequirements in R3.1 through R3.8.
PRC-018-1	R3.1.	Type of DME (sequence of event recorder, fault recorder, or dynamic disturbance recorder).	N/A	N/A	N/A	N/A
PRC-018-1	R3.2.	Make and model of equipment.	N/A	N/A	N/A	N/A
PRC-018-1	R3.3.	Installation location.	N/A	N/A	N/A	N/A
PRC-018-1	R3.4.	Operational status.	N/A	N/A	N/A	N/A
PRC-018-1	R3.5.	Date last tested.	N/A	N/A	N/A	N/A
PRC-018-1	R3.6.	Monitored elements, such as transmission circuit, bus section, etc.	N/A	N/A	N/A	N/A
PRC-018-1	R3.7.	Monitored devices, such as circuit breaker, disconnect status, alarms, etc.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-018-1	R3.8.	Monitored electrical quantities, such as voltage, current, etc.	N/A	N/A	N/A	N/A
PRC-018-1	R4.	The Transmission Owner and Generator Owner shall each provide Disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements (reliability standard PRC-002 Requirement 4).	The responsible entity did not provide 5% or less of the disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements.	The responsible entity did not provide more than 5% up to (and including) 10% of the disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements.	The responsible entity did not provide more than 10% up to (and including) 15% of the disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements.	The responsible entity did not provide more than 15% of the disturbance data (recorded by DMEs) in accordance with its Regional Reliability Organization's requirements.
PRC-018-1	R5.	The Transmission Owner and Generator Owner shall each archive all data recorded by DMEs for Regional Reliability Organization-identified events for at least three years.	5% or less of the responsible entity's data recorded by DMEs for Regional Reliability Organization-identified events was not archived for at least three years.	More than 5% up to (and including) 10% of the responsible entity's data recorded by DMEs for Regional Reliability Organization-identified events was not archived for at least three years.	More than 10% up to (and including) 15% of the responsible entity's data recorded by DMEs for Regional Reliability Organization-identified events was not archived for at least three years.	More than 15% of the responsible entity's data recorded by DMEs for Regional Reliability Organization-identified events was not archived for at least three years.
PRC-018-1	R6.	Each Transmission Owner and Generator Owner that is required by its Regional Reliability Organization to have DMEs shall have a maintenance and testing program for those DMEs that includes:	N/A	N/A	The responsible entity is not compliant in that the maintenance and testing program for DMEs does not include one of the elements in R6.1 and 6.2.	The responsible entity is not compliant in that the maintenance and testing program for DMEs does not include any of the elements in R6.1 and 6.2.
PRC-018-1	R6.1.	Maintenance and testing intervals and their basis.	The responsible entity's DME maintenance and testing program was	The responsible entity's DME maintenance and testing program was	The responsible entity's DME maintenance and testing program was non-compliant in that	The responsible entity's DME maintenance and testing program was

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			non-compliant in that documentation of maintenance and testing intervals and their basis was missing for no more than 25% of the DME equipment.	non-compliant in that documentation of maintenance and testing intervals and their basis was missing for more than 25% but less than or equal to 50% of the DME equipment.	documentation of maintenance and testing intervals and their basis was missing for more than 50% but less than or equal to 75% of the DME equipment.	non-compliant in that documentation of maintenance and testing intervals and their basis was missing for more than 75% of the DME equipment.
PRC-018-1	R6.2.	Summary of maintenance and testing procedures.	The responsible entity's DME maintenance and testing program was non-compliant in that the summary of maintenance and testing procedures documentation was missing for no more than 25% of the DME equipment.	The responsible entity's DME maintenance and testing program was non-compliant in that the summary of maintenance and testing procedures documentation was missing for more than 25% but less than or equal to 50% of the DME equipment.	The responsible entity's DME maintenance and testing program was non-compliant in that the summary of maintenance and testing procedures documentation was missing for more than 50% but less than or equal to 75% of the DME equipment.	The responsible entity's DME maintenance and testing program was non-compliant in that the summary of maintenance and testing procedures documentation was missing for more than 75% of the DME equipment.
PRC-021-1	R1.	Each Transmission Owner and Distribution Provider that owns a UVLS program to mitigate the risk of voltage collapse or voltage instability in the BES shall annually update its UVLS data to support the Regional UVLS program database. The following data shall be provided to the Regional Reliability Organization for each installed UVLS system:	UVLS data was provided but did not address one of the subrequirements in R1.1 through R1.5.	UVLS data was provided but did not address two of the subrequirements in R1.1 through R1.5.	UVLS data was provided but did not address three of the subrequirements in R1.1 through R1.5.	No annual UVLS data was provided. OR UVLS data was provided but did not address four or more of the subrequirements in R1.1 through R1.5.
PRC-021-1	R1.1.	Size and location of customer load, or percent of connected load, to be interrupted.	N/A	N/A	N/A	N/A
PRC-021-1	R1.2.	Corresponding voltage set points and overall	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		scheme clearing times.				
PRC-021-1	R1.3.	Time delay from initiation to trip signal.	N/A	N/A	N/A	N/A
PRC-021-1	R1.4.	Breaker operating times.	N/A	N/A	N/A	N/A
PRC-021-1	R1.5.	Any other schemes that are part of or impact the UVLS programs such as related generation protection, islanding schemes, automatic load restoration schemes, UFLS and Special Protection Systems.	N/A	N/A	N/A	N/A
PRC-021-1	R2.	Each Transmission Owner and Distribution Provider that owns a UVLS program shall provide its UVLS program data to the Regional Reliability Organization within 30 calendar days of a request.	The responsible entity updated its UVLS data more than 30 calendar days but less than or equal to 40 calendar days following a request from its Regional Reliability Organization.	The responsible entity updated its UVLS data more than 40 calendar days but less than or equal to 50 calendar days following a request from its Regional Reliability Organization.	The responsible entity updated its UVLS data more than 50 calendar days but less than or equal to 60 calendar days following a request from its Regional Reliability Organization.	The responsible entity did not update its UVLS data for more than 60 calendar days following a request from its Regional Reliability Organization.
PRC-022-1	R1.	Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program to mitigate the risk of voltage collapse or voltage instability in the BES shall analyze and document all UVLS operations and Misoperations. The analysis shall include:	The overall analysis program did not address one of the subrequirements in R1.1 through R1.5.	The overall analysis program did not address two of the subrequirements in R1.1 through R1.5.	The overall analysis program did not address three of the subrequirements in R1.1 through R1.5.	The responsible entity failed to analyze and document a UVLS operation and Misoperation. OR The overall analysis program did not address four or more of the subrequirements in R1.1 through R1.5.
PRC-022-1	R1.1.	A description of the event including initiating conditions.	N/A	N/A	N/A	N/A
PRC-022-1	R1.2.	A review of the UVLS set points and tripping times.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-022-1	R1.3.	A simulation of the event, if deemed appropriate by the Regional Reliability Organization. For most events, analysis of sequence of events may be sufficient and dynamic simulations may not be needed.	N/A	N/A	N/A	N/A
PRC-022-1	R1.4.	A summary of the findings.	N/A	N/A	N/A	N/A
PRC-022-1	R1.5.	For any Misoperation, a Corrective Action Plan to avoid future Misoperations of a similar nature.	N/A	N/A	N/A	N/A
PRC-022-1	R2. (Retired)	Each Transmission Operator, Load-Serving Entity, and Distribution Provider that operates a UVLS program shall provide documentation of its analysis of UVLS program performance to its Regional Reliability Organization within 90 calendar days of a request.	The responsible entity provided documentation of the analysis of UVLS program performance more than 90 calendar days but less than or equal to 120 calendar days following a request from its Regional Reliability Organization.	The responsible entity provided documentation of the analysis of UVLS program performance more than 120 calendar days but less than or equal to 130 calendar days following a request from its Regional Reliability Organization.	The responsible entity provided documentation of the analysis of UVLS program performance more than 130 calendar days but less than or equal to 140 calendar days following a request from its Regional Reliability Organization.	The responsible entity did not provide documentation of the analysis of UVLS program performance for more than 140 calendar days following a request from its Regional Reliability Organization.
PRC-023-1	R1.	Each Transmission Owner, Generator Owner, and Distribution Provider shall use any one of the following criteria (R1.1 through R1.13) for any specific circuit relay terminal to prevent its phase protective relay settings from limiting transmission system loadability while maintaining reliable protection of the Bulk Electric System for all fault conditions. Each Transmission Owner, Generator Owner, and Distribution Provider shall evaluate relay loadability at 0.85 per unit voltage and a power factor angle of 30 degrees: [Mitigation Time Horizon: Long		Evidence that relay settings comply with criteria in R1.1 through 1.13 exists, but evidence is incomplete or incorrect for one or more of the subrequirements.		Relay settings do not comply with any of the sub requirements R1.1 through R1.13 OR Evidence does not exist to support that relay settings comply with one of the criteria in subrequirements R1.1 through R1.13.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Term Planning].				
PRC-023-1	R2.	The Transmission Owner, Generator Owner, or Distribution Provider that uses a circuit capability with the practical limitations described in R1.6, R1.7, R1.8, R1.9, R1.12, or R1.13 shall use the calculated circuit capability as the Facility Rating of the circuit and shall obtain the agreement of the Planning Coordinator, Transmission Operator, and Reliability Coordinator with the calculated circuit capability. [Time Horizon: Long Term Planning]	Criteria described in R1.6, R1.7, R1.8, R1.9, R1.12, or R1.13 was used but evidence does not exist that agreement was obtained in accordance with R2.			
PRC-023-1	R3.	The Planning Coordinator shall determine which of the facilities (transmission lines operated at 100 kV to 200 kV and transformers with low voltage terminals connected at 100 kV to 200 kV) in its Planning Coordinator Area are critical to the reliability of the Bulk Electric System to identify the facilities from 100 kV to 200 kV that must meet Requirement 1 to prevent potential cascade tripping that may occur when protective relay settings limit transmission loadability. [Time Horizon: Long Term Planning]		Provided the list of facilities critical to the reliability of the Bulk Electric System to the appropriate Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers between 31 days and 45 days after the list was established or updated.	Provided the list of facilities critical to the reliability of the Bulk Electric System to the appropriate Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers between 46 days and 60 days after list was established or updated.	Does not have a process in place to determine facilities that are critical to the reliability of the Bulk Electric System. OR Does not maintain a current list of facilities critical to the reliability of the Bulk Electric System, OR Did not provide the list of facilities critical to the reliability of the Bulk Electric System to the appropriate Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers, or provided the list more than 60

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						days after the list was established or updated.
PRC-023-2	R1	Each Transmission Owner, Generator Owner, and Distribution Provider shall use any one of the following criteria (Requirement R1, criteria 1 through 13) for any specific circuit terminal to prevent its phase protective relay settings from limiting transmission system loadability while maintaining reliable protection of the BES for all fault conditions. Each Transmission Owner, Generator Owner, and Distribution Provider shall evaluate relay loadability at 0.85 per unit voltage and a power factor angle of 30 degrees. [See Standard for Criteria]	N/A	N/A	N/A	The responsible entity did not use any one of the following criteria (Requirement R1 criterion 1 through 13) for any specific circuit terminal to prevent its phase protective relay settings from limiting transmission system loadability while maintaining reliable protection of the Bulk Electric System for all fault conditions. OR The responsible entity did not evaluate relay loadability at 0.85 per unit voltage and a power factor angle of 30 degrees.
PRC-023-2	R2	Each Transmission Owner, Generator Owner, and Distribution Provider shall set its out-of-step blocking elements to allow tripping of phase protective relays for faults that occur during the loading conditions used to verify transmission line relay loadability per Requirement R1.	N/A	N/A	N/A	The responsible entity failed to ensure that its out-of-step blocking elements allowed tripping of phase protective relays for faults that occur during the loading conditions used to verify transmission line relay loadability per Requirement R1.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
PRC-023-2	R3	Each Transmission Owner, Generator Owner, and Distribution Provider that uses a circuit capability with the practical limitations described in Requirement R1, criterion 6, 7, 8, 9, 12, or 13 shall use the calculated circuit capability as the Facility Rating of the circuit and shall obtain the agreement of the Planning Coordinator, Transmission Operator, and Reliability Coordinator with the calculated circuit capability.	N/A	N/A	N/A	The responsible entity that uses a circuit capability with the practical limitations described in Requirement R1 criterion 6, 7, 8, 9, 12, or 13 did not use the calculated circuit capability as the Facility Rating of the circuit. OR The responsible entity did not obtain the agreement of the Planning Coordinator, Transmission Operator, and Reliability Coordinator with the calculated circuit capability.
PRC-023-2	R4	Each Transmission Owner, Generator Owner, and Distribution Provider that chooses to use Requirement R1 criterion 2 as the basis for verifying transmission line relay loadability shall provide its Planning Coordinator, Transmission Operator, and Reliability Coordinator with an updated list of circuits associated with those transmission line relays at least once each calendar year, with no more than 15 months between reports.	N/A	N/A	N/A	The responsible entity did not provide its Planning Coordinator, Transmission Operator, and Reliability Coordinator with an updated list of circuits that have transmission line relays set according to the criteria established in

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						Requirement R1 criterion 2 at least once each calendar year, with no more than 15 months between reports.
PRC-023-2	R5	Each Transmission Owner, Generator Owner, and Distribution Provider that sets transmission line relays according to Requirement R1 criterion 12 shall provide an updated list of the circuits associated with those relays to its Regional Entity at least once each calendar year, with no more than 15 months between reports, to allow the ERO to compile a list of all circuits that have protective relay settings that limit circuit capability.	N/A	N/A	N/A	The responsible entity did not provide its Regional Entity, with an updated list of circuits that have transmission line relays set according to the criteria established in Requirement R1 criterion 12 at least once each calendar year, with no more than 15 months between reports.
PRC-023-2	R6	Each Planning Coordinator shall conduct an assessment at least once each calendar year, with no more than 15 months between assessments, by applying the criteria in Attachment B to determine the circuits in its Planning Coordinator area for which Transmission Owners, Generator Owners, and Distribution Providers must comply with Requirements R1 through R5. The Planning Coordinator shall: <i>[See standard for what the Planning Coordinator shall do]</i>	N/A	The Planning Coordinator used the criteria established within Attachment B to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met parts 6.1 and 6.2, but more than 15 months and less than 24 months lapsed between	The Planning Coordinator used the criteria established within Attachment B to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met parts 6.1 and 6.2, but 24 months or more lapsed between assessments. OR The Planning	The Planning Coordinator failed to use the criteria established within Attachment B to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard. OR The Planning Coordinator used the criteria established

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				<p>assessments.</p> <p>OR</p> <p>The Planning Coordinator used the criteria established within Attachment B at least once each calendar year, with no more than 15 months between assessments to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met 6.1 and 6.2 but failed to include the calendar year in which any criterion in Attachment B first applies.</p> <p>OR</p> <p>The Planning Coordinator used the criteria established within Attachment B at least once each calendar year, with no more than 15 months between assessments to determine the</p>	<p>Coordinator used the criteria established within Attachment B at least once each calendar year, with no more than 15 months between assessments to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met 6.1 and 6.2 but provided the list of circuits to the Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers within its Planning Coordinator area between 46 days and 60 days after list was established or updated. (part 6.2)</p>	<p>within Attachment B, at least once each calendar year, with no more than 15 months between assessments to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard but failed to meet parts 6.1 and 6.2.</p> <p>OR</p> <p>The Planning Coordinator used the criteria established within Attachment B at least once each calendar year, with no more than 15 months between assessments to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard but failed to maintain the list of circuits determined according to the process described in Requirement R6. (part 6.1)</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				<p>circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met 6.1 and 6.2 but provided the list of circuits to the Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers within its Planning Coordinator area between 31 days and 45 days after the list was established or updated. (part 6.2)</p>		<p>OR</p> <p>The Planning Coordinator used the criteria established within Attachment B at least once each calendar year, with no more than 15 months between assessments to determine the circuits in its Planning Coordinator area for which applicable entities must comply with the standard and met 6.1 but failed to provide the list of circuits to the Reliability Coordinators, Transmission Owners, Generator Owners, and Distribution Providers within its Planning Coordinator area or provided the list more than 60 days after the list was established or updated. (part 6.2)</p> <p>OR</p> <p>The Planning Coordinator failed to determine the circuits in its Planning Coordinator area for</p>

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						which applicable entities must comply with the standard.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
TOP-001-1a	R1.	Each Transmission Operator shall have the responsibility and clear decision-making authority to take whatever actions are needed to ensure the reliability of its area and shall exercise specific authority to alleviate operating emergencies.	N/A	N/A	N/A	The Transmission Operator has no evidence that clear decision-making authority exists to assure reliability in its area or has failed to exercise this authority to alleviate operating emergencies.
TOP-001-1a	R2.	Each Transmission Operator shall take immediate actions to alleviate operating emergencies including curtailing transmission service or energy schedules, operating equipment (e.g., generators, phase shifters, breakers), shedding firm load, etc.	N/A	N/A	N/A	The Transmission Operator failed to have evidence that it took immediate actions to alleviate operating emergencies including curtailing transmission service or energy schedules, operating equipment (e.g., generators, phase shifters, breakers), shedding firm load, etc.
TOP-001-1a	R3.	Each Transmission Operator, Balancing Authority, and Generator Operator shall comply with reliability directives issued by the Reliability Coordinator, and each Balancing Authority and Generator Operator shall comply with reliability directives issued by the Transmission Operator, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances the Transmission Operator, Balancing Authority, or Generator Operator shall immediately inform the	N/A	N/A	N/A	The responsible entity failed to comply with reliability directives issued by the Reliability Coordinator or the Transmission Operator (when applicable), when said directives would not have resulted in actions that would violate safety,

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Reliability Coordinator or Transmission Operator of the inability to perform the directive so that the Reliability Coordinator or Transmission Operator can implement alternate remedial actions.				equipment, regulatory or statutory requirements, or under circumstances that said directives would have resulted in actions that would violate safety, equipment, regulatory or statutory requirements the responsible entity failed to inform the Reliability Coordinator or Transmission Operator (when applicable) of the inability to perform the directive so that the Reliability Coordinator or Transmission Operator could implement alternate remedial actions.
TOP-001-1a	R4.	Each Distribution Provider and Load-Serving Entity shall comply with all reliability directives issued by the Transmission Operator, including shedding firm load, unless such actions would violate safety, equipment, regulatory or statutory requirements. Under these circumstances, the Distribution Provider or Load-Serving Entity shall immediately inform the Transmission Operator of the inability to perform the directive so that the Transmission Operator can implement alternate remedial actions.	N/A	N/A	N/A	The responsible entity failed to comply with all reliability directives issued by the Transmission Operator, including shedding firm load, when said directives would not have resulted in actions that would violate safety, equipment, regulatory or statutory requirements, or under

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						circumstances when said directives would have violated safety, equipment, regulatory or statutory requirements, the responsible entity failed to immediately inform the Transmission Operator of the inability to perform the directive so that the Transmission Operator could implement alternate remedial actions.
TOP-001-1a	R5.	Each Transmission Operator shall inform its Reliability Coordinator and any other potentially affected Transmission Operators of real-time or anticipated emergency conditions, and take actions to avoid, when possible, or mitigate the emergency.	N/A	The Transmission Operator failed to inform its Reliability Coordinator and any other potentially affected Transmission Operators of real-time or anticipated emergency conditions, but did take actions to avoid, when possible, or mitigate the emergency.	N/A	The Transmission Operator failed to inform its Reliability Coordinator and any other potentially affected Transmission Operators of real-time or anticipated emergency conditions, and failed to take actions to avoid, when possible, or mitigate the emergency.
TOP-001-1a	R6.	Each Transmission Operator, Balancing Authority, and Generator Operator shall render all available emergency assistance to others as requested, provided that the requesting entity has implemented its comparable emergency procedures, unless such actions would violate safety, equipment, or regulatory or statutory requirements.	N/A	N/A	N/A	The responsible entity failed to render all available emergency assistance to others as requested, after the requesting entity had implemented its comparable

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						emergency procedures, when said assistance would not have resulted in actions that would violate safety, equipment, or regulatory or statutory requirements.
TOP-001-1a	R7.	Each Transmission Operator and Generator Operator shall not remove Bulk Electric System facilities from service if removing those facilities would burden neighboring systems unless:	N/A	N/A	N/A	The responsible entity removed Bulk Electric System facilities from service and removal of said facilities burdened a neighboring system, without complying with the applicable requirements listed in R7.1 through R7.3.
TOP-001-1a	R7.1.	For a generator outage, the Generator Operator shall notify and coordinate with the Transmission Operator. The Transmission Operator shall notify the Reliability Coordinator and other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.	N/A	N/A	N/A	N/A
TOP-001-1a	R7.2.	For a transmission facility, the Transmission Operator shall notify and coordinate with its Reliability Coordinator. The Transmission Operator shall notify other affected Transmission Operators, and coordinate the impact of removing the Bulk Electric System facility.	N/A	N/A	N/A	N/A
TOP-001-1a	R7.3.	When time does not permit such notifications and coordination, or when immediate action is required to prevent a hazard to the public,	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		lengthy customer service interruption, or damage to facilities, the Generator Operator shall notify the Transmission Operator, and the Transmission Operator shall notify its Reliability Coordinator and adjacent Transmission Operators, at the earliest possible time.				
TOP-001-1a	R8.	During a system emergency, the Balancing Authority and Transmission Operator shall immediately take action to restore the Real and Reactive Power Balance. If the Balancing Authority or Transmission Operator is unable to restore Real and Reactive Power Balance it shall request emergency assistance from the Reliability Coordinator. If corrective action or emergency assistance is not adequate to mitigate the Real and Reactive Power Balance, then the Reliability Coordinator, Balancing Authority, and Transmission Operator shall implement firm load shedding.	N/A	N/A	N/A	The responsible entity failed to take immediate actions to restore the Real and Reactive Power Balance during a system emergency. OR The responsible entity failed to request emergency assistance from the Reliability Coordinator during a period when it was unable to restore the Real and Reactive Power Balance, OR During a period when corrective actions or emergency assistance was not adequate to mitigate the Real and Reactive Power Balance, the responsible entity failed to implement firm load shedding.
TOP-002-2.1b	R1.	Each Balancing Authority and Transmission Operator shall maintain a set of current plans	N/A	N/A	The responsible entity maintained a set of	The responsible entity failed to maintain a set

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		that are designed to evaluate options and set procedures for reliable operation through a reasonable future time period. In addition, each Balancing Authority and Transmission Operator shall be responsible for using available personnel and system equipment to implement these plans to ensure that interconnected system reliability will be maintained.			current plans that were designed to evaluate options and set procedures for reliable operation through a reasonable future time period, but failed to utilize available personnel and system equipment to implement these plans to ensure that interconnected system reliability would be maintained.	of current plans that were designed to evaluate options and set procedures for reliable operation through a reasonable future time period.
TOP-002-2.1b	R2.	Each Balancing Authority and Transmission Operator shall ensure its operating personnel participate in the system planning and design study processes, so that these studies contain the operating personnel perspective and system operating personnel are aware of the planning purpose.	N/A	N/A	N/A	The responsible entity failed to ensure its operating personnel participated in the system planning and design study processes.
TOP-002-2.1b	R3.	Each Load-Serving Entity and Generator Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider. Each Balancing Authority and Transmission Service Provider shall coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.	N/A	The Load-Serving Entity or Generator Operator failed to coordinate (where confidentiality agreements allow) its seasonal operations with its Host Balancing Authority and Transmission Service Provider, or the Balancing Authority or Transmission Service Provider failed to coordinate its seasonal	N/A	The Load-Serving Entity or Generator Operator failed to coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal operations with its Host Balancing Authority and Transmission Service Provider, or the Balancing Authority or Transmission Service Provider failed

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				operations with its Transmission Operator.		to coordinate its current-day, next-day, and seasonal operations with its Transmission Operator.
TOP-002-2.1b	R4.	Each Balancing Authority and Transmission Operator shall coordinate (where confidentiality agreements allow) its current-day, next-day, and seasonal planning and operations with neighboring Balancing Authorities and Transmission Operators and with its Reliability Coordinator, so that normal Interconnection operation will proceed in an orderly and consistent manner.	N/A	The responsible entity failed to coordinate (where confidentiality agreements allow) one of the following three categories of operations (current-day, next-day or seasonal) with the applicable entity(ies)	The responsible entity failed to coordinate (where confidentiality agreements allow) two of the following three categories of operations (current-day, next-day or seasonal) with the applicable entity(ies)	The responsible entity failed to coordinate (where confidentiality agreements allow) all three of the following categories of operations (current-day, next-day or seasonal) with the applicable entity(ies)
TOP-002-2.1b	R5.	Each Balancing Authority and Transmission Operator shall plan to meet scheduled system configuration, generation dispatch, interchange scheduling and demand patterns.	N/A	N/A	N/A	The responsible entity failed to plan to meet scheduled system configuration, generation dispatch, interchange scheduling and demand patterns.
TOP-002-2.1b	R6.	Each Balancing Authority and Transmission Operator shall plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1 Contingency planning) in accordance with NERC, Regional Reliability Organization, subregional, and local reliability requirements.	N/A	N/A	N/A	The responsible entity failed to plan to meet unscheduled changes in system configuration and generation dispatch (at a minimum N-1 Contingency planning) in accordance with NERC, Regional Reliability Organization, subregional and local reliability

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						requirements.
TOP-002-2.1b	R7.	Each Balancing Authority shall plan to meet capacity and energy reserve requirements, including the deliverability/capability for any single Contingency.	N/A	N/A	N/A	The Balancing Authority failed to plan to meet capacity and energy reserve requirements, including the deliverability/capability for any single Contingency.
TOP-002-2.1b	R8.	Each Balancing Authority shall plan to meet voltage and/or reactive limits, including the deliverability/capability for any single contingency.	N/A	N/A	N/A	The Balancing Authority failed to plan to meet voltage and/or reactive limits, including the deliverability/capability for any single contingency.
TOP-002-2.1b	R9.	Each Balancing Authority shall plan to meet Interchange Schedules and Ramps.	N/A	N/A	N/A	The Balancing Authority failed to plan to meet Interchange Schedules and Ramps.
TOP-002-2.1b	R10.	Each Balancing Authority and Transmission Operator shall plan to meet all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs).	N/A	N/A	N/A	The responsible entity failed to plan to meet all System Operating Limits (SOLs) and Interconnection Reliability Operating Limits (IROLs).
TOP-002-2.1b	R11.	The Transmission Operator shall perform seasonal, next-day, and current-day Bulk Electric System studies to determine SOLs. Neighboring Transmission Operators shall utilize identical SOLs for common facilities. The Transmission Operator shall update	N/A	N/A	The Transmission Operator performed seasonal, next-day, and current-day Bulk Electric System studies, reflecting	The Transmission Operator failed to perform seasonal, next-day, or current-day Bulk Electric System studies,

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		these Bulk Electric System studies as necessary to reflect current system conditions; and shall make the results of Bulk Electric System studies available to the Transmission Operators, Balancing Authorities (subject confidentiality requirements), and to its Reliability Coordinator.			current system conditions, to determine SOLs, but failed to make the results of Bulk Electric System studies available to all of the Transmission Operators, Balancing Authorities (subject confidentiality requirements), or to its Reliability Coordinator.	reflecting current system conditions, to determine SOLs.
TOP-002-2.1b	R12.	The Transmission Service Provider shall include known SOLs or IROLs within its area and neighboring areas in the determination of transfer capabilities, in accordance with filed tariffs and/or regional Total Transfer Capability and Available Transfer Capability calculation processes.	N/A	N/A	N/A	The Transmission Service Provider failed to include known SOLs or IROLs within its area and neighboring areas in the determination of transfer capabilities, in accordance with filed tariffs and/or regional Total Transfer Capability and Available Transfer Capability calculation processes.
TOP-002-2.1b	R13.	At the request of the Balancing Authority or Transmission Operator, a Generator Operator shall perform generating real and reactive capability verification that shall include, among other variables, weather, ambient air and water conditions, and fuel quality and quantity, and provide the results to the Balancing Authority or Transmission Operator operating personnel as requested.	N/A	N/A	N/A	The Generator Operator failed to perform generating real and reactive capability verification that included, among other variables, weather, ambient air and water conditions,

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						and fuel quality and quantity, or failed to provide the results of generating real and reactive verifications Balancing Authority or Transmission Operator operating personnel, when requested.
TOP-002-2.1b	R14.	Generator Operators shall, without any intentional time delay, notify their Balancing Authority and Transmission Operator of changes in capabilities and characteristics including but not limited to:	N/A	N/A	N/A	The Generator Operator failed to notify its Balancing Authority or Transmission Operator of changes in capabilities and characteristics including real output capabilities.
TOP-002-2.1b	R14.1.	Changes in real output capabilities.	N/A	N/A	N/A	N/A
TOP-002-2.1b	R15.	Generation Operators shall, at the request of the Balancing Authority or Transmission Operator, provide a forecast of expected real power output to assist in operations planning (e.g., a seven-day forecast of real output).	N/A	N/A	N/A	The Generator Operator failed to provide, at the request of the Balancing Authority or Transmission Operator, a forecast of expected real power output to assist in operations planning (e.g., a seven-day forecast of real output).
TOP-002-2.1b	R16.	Subject to standards of conduct and confidentiality agreements, Transmission	N/A	N/A	N/A	The Transmission Operator failed to

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		Operators shall, without any intentional time delay, notify their Reliability Coordinator and Balancing Authority of changes in capabilities and characteristics including but not limited to:				notify their Reliability Coordinator and Balancing Authority of changes in capabilities and characteristics, within the terms and conditions of standards of conduct and confidentiality agreements.
TOP-002-2.1b	R16.1.	Changes in transmission facility status.	N/A	N/A	N/A	The Transmission Operator failed to notify their Reliability Coordinator and Balancing Authority of changes in transmission facility status, within the terms and conditions of standards of conduct and confidentiality agreements.
TOP-002-2.1b	R16.2.	Changes in transmission facility rating.	N/A	N/A	N/A	The Transmission Operator failed to notify their Reliability Coordinator and Balancing Authority of changes in transmission facility rating, within the terms and conditions of standards of conduct and confidentiality agreements.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
TOP-002-2.1b	R17.	Balancing Authorities and Transmission Operators shall, without any intentional time delay, communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.	N/A	N/A	N/A	The responsible entity failed to communicate the information described in the requirements R1 to R16 above to their Reliability Coordinator.
TOP-002-2.1b	R18.	Neighboring Balancing Authorities, Transmission Operators, Generator Operators, Transmission Service Providers, and Load-Serving Entities shall use uniform line identifiers when referring to transmission facilities of an interconnected network.	N/A	N/A	N/A	The responsible entity failed to use uniform line identifiers when referring to transmission facilities of an interconnected network.
TOP-002-2.1b	R19.	Each Balancing Authority and Transmission Operator shall maintain accurate computer models utilized for analyzing and planning system operations.	N/A	N/A	N/A	The responsible entity failed to maintain accurate computer models utilized for analyzing and planning system operations.
TOP-004-2	R1.	Each Transmission Operator shall operate within the Interconnection Reliability Operating Limits (IROLs) and System Operating Limits (SOLs).	N/A	N/A	N/A	The Transmission Operator failed to operate within the Interconnection Reliability Operating Limits (IROLs) and System Operating Limits (SOLs).
TOP-004-2	R2.	Each Transmission Operator shall operate so that instability, uncontrolled separation, or cascading outages will not occur as a result of the most severe single contingency.	N/A	N/A	N/A	The Transmission Operator failed to operate so that instability, uncontrolled separation, or cascading outages

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						would not occur as a result of the most severe single contingency.
TOP-004-2	R3.	Each Transmission Operator shall operate to protect against instability, uncontrolled separation, or cascading outages resulting from multiple outages, as specified by its Reliability Coordinator.	N/A	N/A	N/A	The Transmission Operator failed to operate to protect against instability, uncontrolled separation, or cascading outages resulting from multiple outages, as specified by Reliability Coordinator policy.
TOP-004-2	R4.	If a Transmission Operator enters an unknown operating state (i.e., any state for which valid operating limits have not been determined), it will be considered to be in an emergency and shall restore operations to respect proven reliable power system limits within 30 minutes.	N/A	N/A	N/A	The Transmission Operator entered an unknown operating state (i.e., any state for which valid operating limits have not been determined), and failed to restore operations to respect proven reliable power system limits for more than 30 minutes.
TOP-004-2	R5.	Each Transmission Operator shall make every effort to remain connected to the Interconnection. If the Transmission Operator determines that by remaining interconnected, it is in imminent danger of violating an IROL or SOL, the Transmission Operator may take such actions, as it deems necessary, to protect its area.	N/A	N/A	N/A	The Transmission Operator did not make every effort to remain connected to the Interconnection except when the Transmission Operator determined that by remaining

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						interconnected, it was in imminent danger of violating an IROL or SOL.
TOP-004-2	R6.	Transmission Operators, individually and jointly with other Transmission Operators, shall develop, maintain, and implement formal policies and procedures to provide for transmission reliability. These policies and procedures shall address the execution and coordination of activities that impact inter- and intra-Regional reliability, including:	The Transmission Operator, individually and jointly with other Transmission Operators, developed, maintained, and implemented formal policies and procedures to provide for transmission reliability, addressing the execution and coordination of activities that impact inter- and intra-Regional reliability, but failed to include information required by one of the subrequirements R6.1 thru R6.4	The Transmission Operator, individually and jointly with other Transmission Operators, developed, maintained, and implemented formal policies and procedures to provide for transmission reliability, addressing the execution and coordination of activities that impact inter- and intra-Regional reliability, but failed to include information required by 2 of the subrequirements R6.1 thru R6.4.	The Transmission Operator, individually and jointly with other Transmission Operators, developed, maintained, and implemented formal policies and procedures to provide for transmission reliability, addressing the execution and coordination of activities that impact inter- and intra-Regional reliability, but failed to include information required by 3 of the subrequirements R6.1 thru R6.4.	The Transmission Operator, failed to develop, maintain, and implement formal policies and procedures to provide for transmission reliability, addressing the execution and coordination of activities that impact inter- and intra-Regional reliability. If formal policies and procedures were developed, such policies and procedures failed to include any of the information required in subrequirements R6.1 thru R6.4.
TOP-004-2	R6.1.	Monitoring and controlling voltage levels and real and reactive power flows.	N/A	N/A	N/A	N/A
TOP-004-2	R6.2.	Switching transmission elements.	N/A	N/A	N/A	N/A
TOP-004-2	R6.3.	Planned outages of transmission elements.	N/A	N/A	N/A	N/A
TOP-004-2	R6.4.	Responding to IROL and SOL violations.	N/A	N/A	N/A	N/A
TOP-007-0	R1.	A Transmission Operator shall inform its Reliability Coordinator when an IROL or SOL has been exceeded and the actions being taken to return the system to within	N/A	N/A	The Transmission Operator informed its Reliability Coordinator when an IROL or SOL had been exceeded but	The Transmission Operator failed to inform its Reliability Coordinator when an IROL or SOL had

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		limits.			failed to provide the actions being taken to return the system to within limits.	been exceeded.
TOP-007-0	R2.	Following a Contingency or other event that results in an IROL violation, the Transmission Operator shall return its transmission system to within IROL as soon as possible, but not longer than 30 minutes.	Following a Contingency or other event that resulted in an IROL violation of a magnitude of 5% or less, the Transmission Operator failed to return its transmission system to within the IROL in less than or equal to 35 minutes.	Following a Contingency or other event that resulted in an IROL violation, the Transmission Operator failed to return its transmission system to within the IROL in accordance with the following: (a) an IROL with a magnitude of 5% or less for a period of time greater than 35 minutes but less than or equal to 45 minutes, or (b) an IROL with a magnitude of more than 5% up to (and including) 10% for a period of time less than or equal to 40 minutes, or (c) an IROL with a magnitude of more than 10% up to (and including) 15% for a period of time less than or equal to 35 minutes.	Following a Contingency or other event that resulted in an IROL violation, the Transmission Operator failed to return its transmission system to within the IROL in accordance with the following: (a) an IROL with a magnitude of 5% or less for a period of time greater than 45 minutes, or (b) an IROL with a magnitude of more than 5% up to (and including) 10% for a period of time greater than 40 minutes, or (c) an IROL with a magnitude of more than 10% up to (and including) 15% for a period of time greater than 35 minutes but less than or equal to 45 minutes, or (d) an IROL with a magnitude of more than 15% up to (and including) 20% for a	Following a Contingency or other event that resulted in an IROL violation, the Transmission Operator failed to return its transmission system to within the IROL in accordance with the following: (a) an IROL with a magnitude of more than 10% up to (and including) 15% for a period of time greater than 45 minutes, or (b) an IROL with a magnitude of more than 15% up to (and including) 20% for a period of time greater than 40 minutes, or (c) an IROL with a magnitude of more than 20% up to (and including) 25% for a period of time greater than 35 minutes, or (d) an IROL with a magnitude of more than 25% for a period of greater than 30 minutes.

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					period of time less than or equal to 40 minutes, or (e) an IROL with a magnitude of more than 20% up to (and including) 25% for a period of time less than or equal to 35 minutes.	
TOP-007-0	R3.	A Transmission Operator shall take all appropriate actions up to and including shedding firm load, or directing the shedding of firm load, in order to comply with Requirement R 2.	N/A	N/A	N/A	The Transmission Operator failed to take all appropriate actions up to and including shedding firm load, or directing the shedding of firm load, in order to return the transmission system to IROL within 30 minutes.
TOP-007-0	R4.	The Reliability Coordinator shall evaluate actions taken to address an IROL or SOL violation and, if the actions taken are not appropriate or sufficient, direct actions required to return the system to within limits.	N/A	N/A	N/A	The Reliability Coordinator failed to evaluate actions taken to address an IROL or SOL violation and, if the actions taken were not appropriate or sufficient, direct actions required to return the system to within limits.
TOP-008-1	R1.	The Transmission Operator experiencing or contributing to an IROL or SOL violation shall take immediate steps to relieve the condition, which may include shedding firm load.	N/A	N/A	N/A	The Transmission Operator experiencing or contributing to an IROL or SOL violation failed to take immediate steps to

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						relieve the condition, which may have included shedding firm load.
TOP-008-1	R2.	Each Transmission Operator shall operate to prevent the likelihood that a disturbance, action, or inaction will result in an IROL or SOL violation in its area or another area of the Interconnection. In instances where there is a difference in derived operating limits, the Transmission Operator shall always operate the Bulk Electric System to the most limiting parameter.	N/A	N/A	The Transmission Operator operated to prevent the likelihood that a disturbance, action, or inaction would result in an IROL or SOL violation in its area or another area of the Interconnection but failed to operate the Bulk Electric System to the most limiting parameter in instances where there was a difference in derived operating limits.	The Transmission Operator failed to operate to prevent the likelihood that a disturbance, action, or inaction would result in an IROL or SOL violation in its area or another area of the Interconnection.
TOP-008-1	R3.	The Transmission Operator shall disconnect the affected facility if the overload on a transmission facility or abnormal voltage or reactive condition persists and equipment is endangered. In doing so, the Transmission Operator shall notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection prior to switching, if time permits, otherwise, immediately thereafter.	N/A	N/A	The Transmission Operator disconnected the affected facility when the overload on a transmission facility or abnormal voltage or reactive condition persisted and equipment was endangered but failed to notify its Reliability Coordinator and all neighboring Transmission Operators impacted by the disconnection either prior to	The Transmission Operator failed to disconnect the affected facility when the overload on a transmission facility or abnormal voltage or reactive condition persisted and equipment was endangered.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					switching, if time permitted, otherwise, immediately thereafter.	
TOP-008-1	R4.	The Transmission Operator shall have sufficient information and analysis tools to determine the cause(s) of SOL violations. This analysis shall be conducted in all operating timeframes. The Transmission Operator shall use the results of these analyses to immediately mitigate the SOL violation.	N/A	N/A	The Transmission Operator had sufficient information and analysis tools to determine the cause(s) of SOL violations and used the results of these analyses to immediately mitigate the SOL violation(s), but failed to conduct these analyses in all operating timeframes.	The Transmission Operator failed to have sufficient information and analysis tools to determine the cause(s) of SOL violations or failed to use the results of analyses to immediately mitigate the SOL violation.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
TPL-001-0.1	R1.	The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission system is planned such that, with all transmission facilities in service and with normal (pre-contingency) operating procedures in effect, the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services at all Demand levels over the range of forecast system demands, under the conditions defined in Category A of Table I. To be considered valid, the Planning Authority and Transmission Planner assessments shall:	The responsible entity is non-compliant with 25% or less of the sub-components.	The responsible entity is non-compliant with more than 25% but less than 50% of the sub-components.	The responsible entity is non-compliant with 50% or more but less than 75% of the sub-components.	The responsible entity is non-compliant with 75% or more of the sub-components.
TPL-001-0.1	R1.1.	Be made annually.	N/A	N/A	N/A	The assessments were not made on an annual basis.
TPL-001-0.1	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	The responsible entity has failed to demonstrate a valid assessment for the long-term period, but a valid assessment for the near-term period exists.	The responsible entity has failed to demonstrate a valid assessment for the near-term period, but a valid assessment for the long-term period exists.	N/A	The responsible entity has failed to demonstrate a valid assessment for the near-term period AND long-term planning period.
TPL-001-0.1	R1.3.	Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category A of Table 1 (no contingencies). The specific elements selected (from each of the following categories) shall be acceptable to the associated Regional Reliability	The responsible entity is non-compliant with 25% or less of the sub-components.	The responsible entity is non-compliant with more than 25% but less than 50% of the sub-components.	The responsible entity is non-compliant with 50% or more but less than 75% of the sub-components.	The responsible entity is non-compliant with 75% or more of the sub-components.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		Organization(s).				
TPL-001-0.1	R1.3.1.	Cover critical system conditions and study years as deemed appropriate by the entity performing the study.	N/A	N/A	N/A	The responsible entity has failed to cover critical system conditions and study years as deemed appropriate.
TPL-001-0.1	R1.3.2.	Be conducted annually unless changes to system conditions do not warrant such analyses.	The responsible entity's most recent long-term studies (and/or system simulation testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.	The responsible entity's most recent near-term studies (and/or system simulation testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.	N/A	The responsible entity's most recent near-term studies (and/or system testing) AND most recent long-term studies (and/or system simulation testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.
TPL-001-0.1	R1.3.3.	Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.	N/A	N/A	N/A	The responsible entity failed to produce evidence of a past or current year long-term study and/or system simulation testing (beyond 5-year planning horizon) when past or current year near-term studies and/or system simulation testing

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						show marginal conditions that may require longer lead-time solutions.
TPL-001-0.1	R1.3.4.	Have established normal (pre-contingency) operating procedures in place.	N/A	N/A	N/A	No precontingency operating procedures are in place for existing facilities.
TPL-001-0.1	R1.3.5.	Have all projected firm transfers modeled.	The system model(s) used for current or past analysis did not properly represent up to (but less than) 25% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 25% or more but less than 50% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 50% or more but less than 75% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 75% or more of the firm transfers to/from the responsible entity's service territory.
TPL-001-0.1	R1.3.6.	Be performed for selected demand levels over the range of forecast system demands.	N/A	N/A	N/A	The responsible entity has failed to produce evidence of a valid current or past study and/or system simulation testing reflecting analysis over a range of forecast system demands.
TPL-001-0.1	R1.3.7.	Demonstrate that system performance meets Table 1 for Category A (no contingencies).	N/A	N/A	N/A	No past or current study results exist showing pre-contingency system analysis.
TPL-001-0.1	R1.3.8.	Include existing and planned facilities.	The responsible entity's transmission model used for past or current studies and/or	The responsible entity's transmission model used for past or current studies and/or	N/A	The responsible entity's transmission model used for past or current studies and/or

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			system simulation testing properly reflects existing facilities, but is deficient in reflecting planned facilities.	system simulation testing properly reflects planned facilities, but is deficient in reflecting existing facilities.		system simulation testing is deficient in reflecting existing AND planned facilities.
TPL-001-0.1	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	N/A	N/A	N/A	The responsible entity has failed to ensure in a past or current study and/or system simulation testing that sufficient reactive power resources are available to meet required system performance.
TPL-001-0.1	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category A.	N/A	N/A	N/A	The responsible entity has failed to demonstrate that a corrective action plan exists in order to satisfy Category A planning requirements.
TPL-001-0.1	R2.	When system simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-001-0_R1, the Planning Authority and Transmission Planner shall each:	N/A	The responsible entity has failed to review the continuing need for previously identified facility additions through subsequent annual assessments. (R2.2)	The responsible entity provided documented evidence of corrective action plans in order to satisfy Category A planning requirements, but failed to include an implementation schedule with in-service dates (R2.1.1 and R2.1.2) OR The responsible entity	The responsible entity has failed to provide documented evidence of corrective action plans in order to satisfy Category A planning requirements. (R2.1)

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					failed to consider necessary lead times to implement its corrective action plan. (R2.1.3)	
TPL-001-0.1	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon.	N/A	N/A	N/A	N/A
TPL-001-0.1	R2.1.1.	Including a schedule for implementation.	N/A	N/A	N/A	N/A
TPL-001-0.1	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	N/A	N/A	N/A	N/A
TPL-001-0.1	R2.1.3.	Consider lead times necessary to implement plans.	N/A	N/A	N/A	N/A
TPL-001-0.1	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	N/A	N/A	N/A	N/A
TPL-001-0.1	R3.	The Planning Authority and Transmission Planner shall each document the results of these reliability assessments and corrective plans and shall annually provide these to its respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	N/A	The responsible entity documented the results of its reliability assessments and corrective plans but did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization	N/A	The responsible entity DID NOT document the results of its annual reliability assessments and corrective plans AND did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization
TPL-002-0b	R1.	The Planning Authority and Transmission Planner shall each demonstrate through a	The responsible entity is non-compliant with	The responsible entity is non-compliant with	The responsible entity is non-compliant with	The responsible entity is non-compliant with

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		valid assessment that its portion of the interconnected transmission system is planned such that the Network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand levels over the range of forecast system demands, under the contingency conditions as defined in Category B of Table I. To be valid, the Planning Authority and Transmission Planner assessments shall:	25% or less of the sub-components.	more than 25% but less than 50% of the sub-components.	50% or more but less than 75% of the sub-components.	75% or more of the sub-components.
TPL-002-0b	R1.1.	Be made annually.	N/A	N/A	N/A	The assessments were not made on an annual basis.
TPL-002-0b	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	The responsible entity has failed to demonstrate a valid assessment for the long-term period, but a valid assessment for the near-term period exists.	The responsible entity has failed to demonstrate a valid assessment for the near-term period, but a valid assessment for the long-term period exists.	N/A	The responsible entity has failed to demonstrate a valid assessment for the near-term period AND long-term planning period.
TPL-002-0b	R1.3.	Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category B of Table 1 (single contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).	The responsible entity is non-compliant with 25% or less of the sub-components.	The responsible entity is non-compliant with more than 25% but less than 50% of the sub-components.	The responsible entity is non-compliant with 50% or more but less than 75% of the sub-components.	The responsible entity is non-compliant with 75% or more of the sub-components.
TPL-002-0b	R1.3.1.	Be performed and evaluated only for those Category B contingencies that would produce the more severe System results or impacts. The rationale for the contingencies	N/A	The responsible entity provided evidence through current or past studies and/or	N/A	The responsible entity did not provided evidence through current or past studies

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.		system simulation testing that selected NERC Category B contingencies were evaluated, however, no rationale was provided to indicate why the remaining Category B contingencies for their system were not evaluated.		and/or system simulation testing to indicate that any NERC Category B contingencies were evaluated.
TPL-002-0b	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	N/A	N/A	N/A	The responsible entity has failed to cover critical system conditions and study years as deemed appropriate.
TPL-002-0b	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	The responsible entity's most recent long-term studies (and/or system simulation testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.	The responsible entity's most recent near-term studies (and/or system simulation testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.	N/A	The responsible entity's most recent near-term studies (and/or system simulation testing) AND most recent long-term studies (and/or system testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system simulation testing) are no longer valid.
TPL-002-0b	R1.3.4.	Be conducted beyond the five-year horizon	N/A	N/A	N/A	The responsible entity

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		only as needed to address identified marginal conditions that may have longer lead-time solutions.				failed to produce evidence of a past or current year long-term study and/or system simulation testing (beyond 5-year planning horizon) when past or current year near-term studies and/or system simulation testing show marginal conditions that may require longer lead-time solutions.
TPL-002-0b	R1.3.5.	Have all projected firm transfers modeled.	The system model(s) used for current or past analysis did not properly represent up to (but less than) 25% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 25% or more but less than 50% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 50% or more but less than 75% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 75% or more of the firm transfers to/from the responsible entity's service territory.
TPL-002-0b	R1.3.6.	Be performed and evaluated for selected demand levels over the range of forecast system Demands.	N/A	N/A	N/A	The responsible entity has failed to produce evidence of a valid current or past study and/or system simulation testing reflecting analysis over a range of forecast system demands.
TPL-002-0b	R1.3.7.	Demonstrate that system performance meets Category B contingencies.	N/A	N/A	N/A	No past or current study results exist showing Category B

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						contingency system analysis.
TPL-002-0b	R1.3.8.	Include existing and planned facilities.	The responsible entity's transmission model used for past or current studies and/or system simulation testing properly reflects existing facilities, but is deficient in reflecting planned facilities.	The responsible entity's transmission model used for past or current studies and/or system simulation testing properly reflects planned facilities, but is deficient in reflecting existing facilities.	N/A	The responsible entity's transmission model used for past or current studies and/or system simulation testing is deficient in reflecting existing AND planned facilities.
TPL-002-0b	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	N/A	N/A	N/A	The responsible entity has failed to ensure in a past or current study and/or system simulation testing that sufficient reactive power resources are available to meet required system performance.
TPL-002-0b	R1.3.10.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	N/A	N/A	The responsible entity's transmission model used for past or current studies is deficient with respect to the effects of planned protection systems, including any backup or redundant systems.	The responsible entity's transmission model used for past or current studies is deficient with respect to the effects of existing protection systems, including any backup or redundant systems.
TPL-002-0b	R1.3.11.	Include the effects of existing and planned control devices.	N/A	N/A	The responsible entity's transmission model used for past or current studies is deficient with respect	The responsible entity's transmission model used for past or current studies is deficient with respect

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					to the effects of planned control devices.	to the effects of existing control devices.
TPL-002-0b	R1.3.12.	Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at those demand levels for which planned (including maintenance) outages are performed.	N/A	N/A	N/A	The responsible entity's transmission model used for past or current studies is deficient with respect to the inclusion of planned maintenance outages of bulk electric transmission facilities.
TPL-002-0b	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category B of Table I.	N/A	N/A	N/A	The responsible entity has failed to demonstrate that a corrective action plan exists in order to satisfy Category B planning requirements.
TPL-002-0b	R1.5.	Consider all contingencies applicable to Category B.	The responsible entity has considered the NERC Category B contingencies applicable to their system, but was deficient with respect to 25% or less of all applicable contingencies.	The responsible entity has considered the NERC Category B contingencies applicable to their system, but was deficient with respect to more than 25% but less than 50% of all applicable contingencies.	The responsible entity has considered the NERC Category B contingencies applicable to their system, but was deficient with respect to more than 50% but less than 75% of all applicable contingencies.	The responsible entity has considered the NERC Category B contingencies applicable to their system, but was deficient 75% or more of all applicable contingencies.
TPL-002-0b	R2.	When System simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-002-0_R1, the Planning Authority and Transmission Planner shall each:	N/A	The responsible entity has failed to review the continuing need for previously identified facility	The responsible entity provided documented evidence of corrective action plans in order to satisfy Category B	The responsible entity has failed to provide documented evidence of corrective action plans in order to

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				additions through subsequent annual assessments. (R2.2)	planning requirements, but failed to include a implementation schedule with in-service dates (R2.1.1 and R2.1.2) OR The responsible entity failed to consider necessary lead times to implement its corrective action plan. (R2.1.3)	satisfy Category B planning requirements. (R2.1)
TPL-002-0b	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	N/A	N/A	N/A	N/A
TPL-002-0b	R2.1.1.	Including a schedule for implementation.	N/A	N/A	N/A	N/A
TPL-002-0b	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	N/A	N/A	N/A	N/A
TPL-002-0b	R2.1.3.	Consider lead times necessary to implement plans.	N/A	N/A	N/A	N/A
TPL-002-0b	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the continuing need for identified system facilities. Detailed implementation plans are not needed.	N/A	N/A	N/A	N/A
TPL-002-0b	R3.	The Planning Authority and Transmission Planner shall each document the results of its Reliability Assessments and corrective plans and shall annually provide the results to its respective Regional Reliability Organization(s), as required by the Regional Reliability Organization.	N/A	The responsible entity documented the results of its reliability assessments and corrective plans but did not annually provide them to its respective NERC	N/A	The responsible entity DID NOT document the results of its annual reliability assessments and corrective plans AND did not annually provide them to its

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Regional Reliability Organization(s) as required by the Regional Reliability Organization.		respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization.
TPL-003-0a	R1.	The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission systems is planned such that the network can be operated to supply projected customer demands and projected Firm (non-recallable reserved) Transmission Services, at all demand Levels over the range of forecast system demands, under the contingency conditions as defined in Category C of Table I (attached). The controlled interruption of customer Demand, the planned removal of generators, or the Curtailment of firm (non-recallable reserved) power transfers may be necessary to meet this standard. To be valid, the Planning Authority and Transmission Planner assessments shall:	The responsible entity is non-compliant with 25% or less of the sub-components.	The responsible entity is non-compliant with more than 25% but less than 50% of the sub-components.	The responsible entity is non-compliant with 50% or more but less than 75% of the sub-components.	The responsible entity is non-compliant with 75% or more of the sub-components.
TPL-003-0a	R1.1.	Be made annually.	N/A	N/A	N/A	The assessments were not made on an annual basis.
TPL-003-0a	R1.2.	Be conducted for near-term (years one through five) and longer-term (years six through ten) planning horizons.	The responsible entity has failed to demonstrate a valid assessment for the long-term period, but a valid assessment for the near-term period exists.	The responsible entity has failed to demonstrate a valid assessment for the near-term period, but a valid assessment for the long-term period exists.	N/A	The responsible entity has failed to demonstrate a valid assessment for the near-term period AND long-term planning period.
TPL-003-0a	R1.3.	Be supported by a current or past study and/or system simulation testing that	The responsible entity is non-compliant with	The responsible entity is non-compliant with	The responsible entity is non-compliant with	The responsible entity is non-compliant with

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		addresses each of the following categories, showing system performance following Category C of Table 1 (multiple contingencies). The specific elements selected (from each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).	25% or less of the sub-components.	more than 25% but less than 50% of the sub-components.	50% or more but less than 75% of the sub-components.	75% or more of the sub-components.
TPL-003-0a	R1.3.1.	Be performed and evaluated only for those Category C contingencies that would produce the more severe system results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.	N/A	The responsible entity provided evidence through current or past studies that selected NERC Category C contingencies were evaluated, however, no rationale was provided to indicate why the remaining Category C contingencies for their system were not evaluated.	N/A	The responsible entity did not provide evidence through current or past studies to indicate that any NERC Category C contingencies were evaluated.
TPL-003-0a	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	N/A	N/A	N/A	The responsible entity has failed to cover critical system conditions and study years as deemed appropriate.
TPL-003-0a	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	The responsible entity's most recent long-term studies (and/or system simulation testing) were not performed in the most recent annual	The responsible entity's most recent near-term studies (and/or system simulation testing) were not performed in the most recent	N/A	The responsible entity's most recent near-term studies (and/or system simulation testing) AND most recent long-term studies

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.	annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system testing) are no longer valid.		(and/or system testing) were not performed in the most recent annual period AND significant system changes (actual or proposed) indicate that past studies (and/or system simulation testing) are no longer valid.
TPL-003-0a	R1.3.4.	Be conducted beyond the five-year horizon only as needed to address identified marginal conditions that may have longer lead-time solutions.	N/A	N/A	N/A	The responsible entity failed to produce evidence of a past or current year long-term study and/or system simulation testing (beyond 5-year planning horizon) when past or current year near-term studies and/or system testing show marginal conditions that may require longer lead-time solutions.
TPL-003-0a	R1.3.5.	Have all projected firm transfers modeled.	The system model(s) used for current or past analysis did not properly represent up to (but less than) 25% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 25% or more but less than 50% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 50% or more but less than 75% of the firm transfers to/from the responsible entity's service territory.	The system model(s) used for current or past analysis did not properly represent 75% or more of the firm transfers to/from the responsible entity's service territory.
TPL-003-0a	R1.3.6.	Be performed and evaluated for selected demand levels over the range of forecast	N/A	N/A	N/A	The responsible entity has failed to produce

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		system demands.				evidence of a valid current or past study and/or system simulation testing reflecting analysis over a range of forecast system demands.
TPL-003-0a	R1.3.7.	Demonstrate that System performance meets Table 1 for Category C contingencies.	N/A	N/A	N/A	No past or current study results exists showing Category C contingency system analysis.
TPL-003-0a	R1.3.8.	Include existing and planned facilities.	The responsible entity's transmission model used for past or current studies and/or system simulation testing properly reflects existing facilities, but is deficient in reflecting planned facilities.	The responsible entity's transmission model used for past or current studies and/or system simulation testing properly reflects planned facilities, but is deficient in reflecting existing facilities.	N/A	The responsible entity's transmission model used for past or current studies and/or system simulation testing is deficient in reflecting existing AND planned facilities.
TPL-003-0a	R1.3.9.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet System performance.	N/A	N/A	N/A	The responsible entity has failed to ensure in a past or current study and/or system simulation testing that sufficient reactive power resources are available to meet required system performance.
TPL-003-0a	R1.3.10.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	N/A	N/A	The responsible entity's transmission model used for past or current studies is	The responsible entity's transmission model used for past or current studies is

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
					deficient with respect to the effects of planned protection systems, including any backup or redundant systems.	deficient with respect to the effects of existing protection systems, including any backup or redundant systems.
TPL-003-0a	R1.3.11.	Include the effects of existing and planned control devices.	N/A	N/A	The responsible entity's transmission model used for past or current studies is deficient with respect to the effects of planned control devices.	The responsible entity's transmission model used for past or current studies is deficient with respect to the effects of existing control devices.
TPL-003-0a	R1.3.12.	Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at those Demand levels for which planned (including maintenance) outages are performed.	N/A	N/A	N/A	The responsible entity's transmission model used for past or current studies is deficient with respect to the inclusion of planned maintenance outages of bulk electric transmission facilities.
TPL-003-0a	R1.4.	Address any planned upgrades needed to meet the performance requirements of Category C.	N/A	N/A	N/A	The responsible entity has failed to demonstrate that a corrective action plan exists in order to satisfy Category C planning requirements.
TPL-003-0a	R1.5.	Consider all contingencies applicable to Category C.	The responsible entity has considered the NERC Category C contingencies applicable to their	The responsible entity has considered the NERC Category C contingencies applicable to their	The responsible entity has considered the NERC Category C contingencies applicable to their	The responsible entity has considered the NERC Category C contingencies applicable to their

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			system, but was deficient with respect to 25% or less of all applicable contingencies.	system, but was deficient with respect to more than 25% but less than 50% of all applicable contingencies.	system, but was deficient with respect to more than 50% but less than 75% of all applicable contingencies.	system, but was deficient 75% or more of all applicable contingencies.
TPL-003-0a	R2.	When system simulations indicate an inability of the systems to respond as prescribed in Reliability Standard TPL-003-0_R1, the Planning Authority and Transmission Planner shall each:	N/A	The responsible entity has failed to review the continuing need for previously identified facility additions through subsequent annual assessments. (R2.2)	The responsible entity provided documented evidence of corrective action plans in order to satisfy Category C planning requirements, but failed to include an implementation schedule with in-service dates. (R2.1.1 and R2.1.2) OR The responsible entity failed to consider necessary lead times to implement its corrective action plan. (R2.1.3)	The responsible entity has failed to provide documented evidence of corrective action plans in order to satisfy Category C planning requirements. (R2.1)
TPL-003-0a	R2.1.	Provide a written summary of its plans to achieve the required system performance as described above throughout the planning horizon:	N/A	N/A	N/A	N/A
TPL-003-0a	R2.1.1.	Including a schedule for implementation.	N/A	N/A	N/A	N/A
TPL-003-0a	R2.1.2.	Including a discussion of expected required in-service dates of facilities.	N/A	N/A	N/A	N/A
TPL-003-0a	R2.1.3.	Consider lead times necessary to implement plans.	N/A	N/A	N/A	N/A
TPL-003-0a	R2.2.	Review, in subsequent annual assessments, (where sufficient lead time exists), the	N/A	N/A	N/A	N/A

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		continuing need for identified system facilities. Detailed implementation plans are not needed.				
TPL-003-0a	R3.	The Planning Authority and Transmission Planner shall each document the results of these Reliability Assessments and corrective plans and shall annually provide these to its respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	N/A	The responsible entity documented the results of its reliability assessments and corrective plans but did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization.	N/A	The responsible entity DID NOT document the results of its annual reliability assessments and corrective plans AND did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization.
TPL-004-0	R1.	The Planning Authority and Transmission Planner shall each demonstrate through a valid assessment that its portion of the interconnected transmission system is evaluated for the risks and consequences of a number of each of the extreme contingencies that are listed under Category D of Table I. To be valid, the Planning Authority's and Transmission Planner's assessment shall:	The responsible entity is non-compliant with one of the sub-components of requirement R1.3 (R1.3.1 through R1.3.9). OR The responsible entity has considered the NERC Category D contingencies applicable to their system, but was deficient with respect to 5% or less of all applicable contingencies. (R1.4)	The responsible entity is non-compliant with two of the sub-components of requirement R1.3 (R1.3.1 through 1.3.9). OR The responsible entity has considered the NERC Category D contingencies applicable to their system, but was deficient with respect to more than 5% up to (and including) 10% of all applicable contingencies. (R1.4)	The responsible entity is non-compliant with three of the sub-components of requirement R1.3 (R1.3.1 through 1.3.9). OR The responsible entity has considered the NERC Category D contingencies applicable to their system, but was deficient with respect to more than 10% up to (and including) 15% of all applicable contingencies. (R1.4)	The responsible entity did not perform the transmission assessments annually. (R1.1) OR The responsible entity has failed to demonstrate a valid assessment for the near-term planning period. (R1.2) OR The responsible entity is non-compliant with four or more of the sub-components of requirement R1.3 (R1.3.1 through 1.3.9).

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						OR The responsible entity has considered the NERC Category D contingencies applicable to its system, but was deficient with respect to more than 15% of all applicable contingencies. (R1.4)
TPL-004-0	R1.1.	Be made annually.	N/A	N/A	N/A	N/A
TPL-004-0	R1.2.	Be conducted for near-term (years one through five).	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.	Be supported by a current or past study and/or system simulation testing that addresses each of the following categories, showing system performance following Category D contingencies of Table I. The specific elements selected (from within each of the following categories) for inclusion in these studies and simulations shall be acceptable to the associated Regional Reliability Organization(s).	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.1.	Be performed and evaluated only for those Category D contingencies that would produce the more severe system results or impacts. The rationale for the contingencies selected for evaluation shall be available as supporting information. An explanation of why the remaining simulations would produce less severe system results shall be available as supporting information.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.2.	Cover critical system conditions and study years as deemed appropriate by the responsible entity.	N/A	N/A	N/A	N/A

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TPL-004-0	R1.3.3.	Be conducted annually unless changes to system conditions do not warrant such analyses.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.4.	Have all projected firm transfers modeled.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.5.	Include existing and planned facilities.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.6.	Include Reactive Power resources to ensure that adequate reactive resources are available to meet system performance.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.7.	Include the effects of existing and planned protection systems, including any backup or redundant systems.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.8.	Include the effects of existing and planned control devices.	N/A	N/A	N/A	N/A
TPL-004-0	R1.3.9.	Include the planned (including maintenance) outage of any bulk electric equipment (including protection systems or their components) at those demand levels for which planned (including maintenance) outages are performed.	N/A	N/A	N/A	N/A
TPL-004-0	R1.4.	Consider all contingencies applicable to Category D.	N/A	N/A	N/A	N/A
TPL-004-0	R2.	The Planning Authority and Transmission Planner shall each document the results of its reliability assessments and shall annually provide the results to its entities' respective NERC Regional Reliability Organization(s), as required by the Regional Reliability Organization.	N/A	The responsible entity documented the results of its reliability assessments but did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization.	N/A	The responsible entity DID NOT document the results of its annual reliability assessments AND did not annually provide them to its respective NERC Regional Reliability Organization(s) as required by the Regional Reliability Organization.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
VAR-001-2	R1.	Each Transmission Operator, individually and jointly with other Transmission Operators, shall ensure that formal policies and procedures are developed, maintained, and implemented for monitoring and controlling voltage levels and Mvar flows within their individual areas and with the areas of neighboring Transmission Operators.	The applicable entity did not ensure the development and/or maintenance and/or implementation of formal policies and procedures, as directed by the requirement, affecting 5% or less of their individual and neighboring areas voltage levels and Mvar flows.	The applicable entity did not ensure the development and/or maintenance and/or implementation of formal policies and procedures, as directed by the requirement, affecting between 5-10% of their individual and neighboring areas voltage levels and Mvar flows.	The applicable entity did not ensure the development and/or maintenance and/or implementation of formal policies and procedures, as directed by the requirement, affecting 10-15%, inclusive, of their individual and neighboring areas voltage levels and Mvar flows.	The applicable entity did not ensure the development and/or maintenance and/or implementation of formal policies and procedures, as directed by the requirement, affecting greater than 15% of their individual and neighboring areas voltage levels and Mvar flows.
VAR-001-2	R2.	Each Transmission Operator shall acquire sufficient reactive resources – which may include, but is not limited to, reactive generation scheduling; transmission line and reactive resource switching; and controllable load – within its area to protect the voltage levels under normal and Contingency conditions. This includes the Transmission Operator’s share of the reactive requirements of interconnecting transmission circuits.	The Transmission Operator acquired 95% but less than 100% 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 Transmission Operator acquired 90% but less than 95% 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 Transmission Operator acquired 85% but less than 90% 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 Transmission Operator acquired less than 85% 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.
VAR-001-2	R3.	The Transmission Operator shall specify criteria that exempts generators from compliance with the requirements defined in Requirement 4, and Requirement 6.1.	N/A	N/A	N/A	The Transmission Operator did not specify criteria that exempts generators from compliance with

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						the requirements defined in Requirement 4, and Requirement 6.1. to all of the parties involved.
VAR-001-2	R3.1.	Each Transmission Operator shall maintain a list of generators in its area that are exempt from following a voltage or Reactive Power schedule.	The Transmission Operator maintain 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 shall represent less than 25% of those eligible for the list	The Transmission Operator maintain 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 shall represent less than 50% of those eligible for the list	The Transmission Operator maintain 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 shall represent less than 75% of those eligible for the list	The Transmission Operator maintain 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 shall represent 75% or more of those eligible for the list.
VAR-001-2	R3.2.	For each generator that is on this exemption list, the Transmission Operator shall notify the associated Generator Owner.	The Transmission Operator failed to notify up to 25% of the associated Generator Owner of each generator that are on this exemption list.	The Transmission Operator failed to notify 25% up to 50% of the associated Generator Owners of each generator that are on this exemption list.	The Transmission Operator failed to notify 50% up to 75% of the associated Generator Owner of each generator that are on this exemption list.	The Transmission Operator failed to notify 75% up to 100% of the associated Generator Owner of each generator that are on this exemption list.
VAR-001-2	R4.	Each Transmission Operator shall specify a voltage or Reactive Power schedule ⁴ at the interconnection between the generator facility and the Transmission Owner's facilities to be maintained by each generator. The Transmission Operator shall provide the voltage or Reactive Power schedule to the	N/A	N/A	The Transmission Operator provide Voltage or Reactive Power schedules were for some but not all generating units as required in R4.	The Transmission Operator provide No evidence that voltage or Reactive Power schedules were provided to Generator Operators as required

⁴ The voltage schedule is a target voltage to be maintained within a tolerance band during a specified period.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
		associated Generator Operator and direct the Generator Operator to comply with the schedule in automatic voltage control mode (AVR in service and controlling voltage).				in R4.
VAR-001-2	R5. <i>(Retired)</i>	Each Purchasing-Selling Entity and Load Serving Entity shall arrange for (self-provide or purchase) reactive resources – which may include, but is not limited to, reactive generation scheduling; transmission line and reactive resource switching; and controllable load– to satisfy its reactive requirements identified by its Transmission Service Provider.	The applicable entity did not arrange for reactive resources, as directed by the requirement, affecting 5% or less of its reactive requirements.	The applicable entity did not arrange for reactive resources, as directed by the requirement, affecting between 5-10% of its reactive requirements.	The applicable entity did not arrange for reactive resources, as directed by the requirement, affecting 10-15%, inclusive, of its reactive requirements.	The applicable entity did not arrange for reactive resources, as directed by the requirement, affecting greater than 15% of its reactive requirements.
VAR-001-2	R6.	The Transmission Operator shall know the status of all transmission Reactive Power resources, including the status of voltage regulators and power system stabilizers.	The applicable entity 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 applicable entity 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 between 5-10% of the required resources.	The applicable entity 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 10-15%, inclusive, of the required resources.	The applicable entity 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 15% or greater of required resources.
VAR-001-2	R6.1.	When notified of the loss of an automatic voltage regulator control, the Transmission Operator shall direct the Generator Operator to maintain or change either its voltage schedule or its Reactive Power schedule.	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

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
						schedule in accordance with R6.1.
VAR-001-2	R7.	The Transmission Operator shall be able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow.	The applicable entity was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting 5% or less of the required devices.	The applicable entity was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting between 5-10% of the required devices.	The applicable entity was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting 10-15%, inclusive, of the required devices.	The applicable entity was not able to operate or direct the operation of devices necessary to regulate transmission voltage and reactive flow, affecting greater than 15% of the required devices.
VAR-001-2	R8.	Each Transmission Operator shall operate or direct the operation of capacitive and inductive reactive resources within its area – which may include, but is not limited to, reactive generation scheduling; transmission line and reactive resource switching; controllable load; and, if necessary, load shedding – to maintain system and Interconnection voltages within established limits.	The applicable entity did 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 applicable entity did operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting between 5-10% of the required resources.	The applicable entity did operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting 10-15%, inclusive, of the required resources.	The applicable entity did operate or direct the operation of capacitive and inductive reactive resources or load shedding within its area, as directed by the requirement, affecting greater than 15% of the required resources.
VAR-001-2	R9.	Each Transmission Operator shall maintain reactive resources – which may include, but is not limited to, reactive generation scheduling; transmission line and reactive resource switching; and controllable load– to support its voltage under first Contingency conditions.	The Transmission Operator maintains 95% or more of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator maintains 85% or more but less than 95% of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator maintains 75% or more but less than 85% of the reactive resources needed to support its voltage under first Contingency conditions.	The Transmission Operator maintains less than 75% of the reactive resources needed to support its voltage under first Contingency conditions.
VAR-001-2	R9.1.	Each Transmission Operator shall disperse and locate the reactive resources so that the resources can be applied effectively and quickly when Contingencies occur.	The applicable entity did not disperse and/or locate the reactive resources, as directed in	The applicable entity did not disperse and/or locate the reactive resources, as	The applicable entity did not disperse and/or locate the reactive resources, as directed	The applicable entity did not disperse and/or locate the reactive resources, as directed

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			the requirement, affecting 5% or less of the resources.	directed in the requirement, affecting between 5-10% of the resources.	in the requirement, affecting 10-15%, inclusive, of the resources.	in the requirement, affecting greater than 15% of the resources.
VAR-001-2	R10.	Each Transmission Operator shall correct IROL or SOL violations resulting from reactive resource deficiencies (IROL violations must be corrected within 30 minutes) and complete the required IROL or SOL violation reporting.	The applicable entity did not correct the IROL or SOL violations and/or complete the required IROL or SOL violation reporting, as directed by the requirement, affecting 5% or less of the violations.	The applicable entity did not correct the IROL or SOL violations and/or complete the required IROL or SOL violation reporting, as directed by the requirement, affecting between 5-10% of the violations.	The applicable entity did not correct the IROL or SOL violations and/or complete the required IROL or SOL violation reporting, as directed by the requirement, affecting 10-15%, inclusive, of the violations.	The applicable entity did not correct the IROL or SOL violations and/or complete the required IROL or SOL violation reporting, as directed by the requirement, affecting greater than 15% of the violations.
VAR-001-2	R11.	After consultation with the Generator Owner regarding necessary step-up transformer tap changes, the Transmission Operator shall provide documentation to the Generator Owner specifying the required tap changes, a timeframe for making the changes, and technical justification for these changes.	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.	N/A
VAR-001-2	R12.	The Transmission Operator shall direct corrective action, including load reduction, necessary to prevent voltage collapse when reactive resources are insufficient.	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.

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
VAR-002-1.1b	R1.	The Generator Operator shall operate each generator connected to the interconnected transmission system in the automatic voltage control mode (automatic voltage regulator in service and controlling voltage) unless the Generator Operator has notified the Transmission Operator.	N/A	N/A	N/A	The responsible entity did not operate each generator in the automatic voltage control mode and failed to notify the Transmission Operator as identified in R1.
VAR-002-1.1b	R2.	Unless exempted by the Transmission Operator, each Generator Operator shall maintain the generator voltage or Reactive Power output (within applicable Facility Ratings. [1] as directed by the Transmission Operator	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.	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% OR 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	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%	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%. OR 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

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
				Reactive Power schedule directed by the Transmission Operator. OR The Generator Operator failed to provide an explanation of why the voltage schedule could not be met.		directed by the Transmission Operator and the Generator Operator failed to provide an explanation of why the voltage schedule could not be met.
VAR-002-1.1b	R2.1.	When a generator's automatic voltage regulator is out of service, the Generator Operator shall 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.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R2.2.	When directed to modify voltage, the Generator Operator shall comply or provide an explanation of why the schedule cannot be met.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R3.	Each Generator Operator shall notify its associated Transmission Operator as soon as practical, but within 30 minutes of any of the following:	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
VAR-002-1.1b	R3.1.	A status or capability change on any generator Reactive Power resource, including the status of each automatic voltage regulator and power system stabilizer and the expected duration of the change in status or capability.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
VAR-002-1.1b	R3.2.	A status or capability change on any other Reactive Power resources under the Generator Operator's control and the expected duration of the change in status or capability.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R4.	The Generator Owner shall provide the following to its associated Transmission Operator and Transmission Planner within 30 calendar days of a request.	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 OR The information was provided in more than 30, but less than or equal to 35 calendar days of the request.	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 OR The information was provided in more than 35, but less than or equal to 40 calendar days of the request.	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 OR The information was provided in more than 40, but less than or equal to 45 calendar days of the request.	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 OR The information was provided in more than 45 calendar days of the request.
VAR-002-1.1b	R4.1.	For generator step-up transformers and auxiliary transformers with primary voltages equal to or greater than the generator terminal voltage:	N/A	N/A	N/A	N/A
VAR-002-1.1b	R4.1.1.	Tap settings.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R4.1.2.	Available fixed tap ranges.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R4.1.3.	Impedance data.	N/A	N/A	N/A	N/A
VAR-002-1.1b	R4.1.4.	The +/- voltage range with step-change in % for load-tap changing transformers.	N/A	N/A	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
VAR-002-1.1b	R5.	After consultation with the Transmission Operator regarding necessary step-up transformer tap changes, the Generator Owner shall ensure that transformer tap positions are changed according to the specifications provided by the Transmission Operator, unless such action would violate safety, an equipment rating, a regulatory requirement, or a statutory requirement.	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.
VAR-002-1.1b	R5.1.	If the Generator Operator can't comply with the Transmission Operator's specifications, the Generator Operator shall notify the Transmission Operator and shall provide the technical justification.	N/A	N/A	N/A	The responsible entity failed to notify the Transmission Operator and to provide technical justification.
VAR-002-WECC-1	R1.	Generator Operators and Transmission Operators shall have AVR in service and in automatic voltage control mode 98% of all operating hours for synchronous generators or synchronous condensers. Generator Operators and Transmission Operators may exclude hours for R1.1 through R1.10 to achieve the 98% requirement. [See Standard pdf for R1.1 through R1.10]	AVR is in service less than 98% but at least 90% or more of all hours during which the synchronous generating unit or synchronous condenser is on line for each calendar quarter.	AVR is in service less than 90% but at least 80% or more of all hours during which the synchronous generating unit or synchronous condenser is on line for each calendar quarter.	AVR is in service less than 80% but at least 70% or more of all hours during which the synchronous generating unit or synchronous condenser is on line for each calendar quarter.	AVR is in service less than 70% of all hours during which the synchronous generating unit or synchronous condenser is on line for each calendar quarter.
VAR-002-WECC-1	R2.	Generator Operators and Transmission Operators shall have documentation identifying the number of hours excluded for each requirement in R1.1 through R1.10.	There shall be a Lower Level of non-compliance if documentation is incomplete with any requirement R1.1	There shall be a Moderate Level of non-compliance if the Generator Operator does not have documentation to	N/A	N/A

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Standard Number	Requirement Number	Text of Requirement	Lower VSL	Moderate VSL	High VSL	Severe VSL
			through R1.10.	demonstrate compliance with any requirement R1.1 through R1.10.		
VAR-501-WECC-1	R1.	Generator Operators shall have PSS in service 98% of all operating hours for synchronous generators equipped with PSS. Generator Operators may exclude hours for R1.1 through R1.12 to achieve the 98% requirement. [<i>See Standard pdf for R1.1 through R1.12</i>]	PSS is in service less than 98% but at least 90% or more of all hours during which the synchronous generating unit is on line for each calendar quarter.	PSS is in service less than 90% but at least 80% or more of all hours during which the synchronous generating unit is on line for each calendar quarter.	PSS is in service less than 80% but at least 70% or more of all hours during which the synchronous generating unit is on line for each calendar quarter.	PSS is in service less than 70% of all hours during which the synchronous generating unit is on line for each calendar quarter.
VAR-501-WECC-1	R2.	Generator Operators shall have documentation identifying the number of hours excluded for each requirement in R1.1 through R1.12.	There shall be a Lower Level of non-compliance if documentation is incomplete with any requirement R1.1 through R1.12.	There shall be a Moderate Level of non-compliance if the Generator Operator does not have documentation to demonstrate compliance with any requirement R1.1 through R1.12.	N/A	N/A

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NERC Reliability Standards VSL Change History Table:

Date	Standard	Requirement	Action
9/25/12	BAL-005-0.2b, EOP-001-0.1b, EOP-002-3.1, PER-001-0.2 & TOP-002-2.1b		FERC approved Errata - Added
<u>TBD</u>	<u>BAL-005-0.2b, CIP-001-2a, CIP-003-3, CIP-003-4, CIP-005-3a, CIP-005-4a, CIP-007-3, CIP-007-4, EOP-004-1, FAC-002-1, FAC-008-1, FAC-008-3, FAC-010-2.1, FAC-011-2, FAC-013-2, INT-007-1, IRO-016-1, NUC-001-2, PRC-010-0, PRC-022-1, VAR-001-2</u>		<u>Various VSLs retired as part of the Paragraph 81 project (Project 2013-02)</u>